



Assessing IDH's contribution to public good impacts at scale (2016- 2020)

Midterm evaluation on the existing evidence behind IDH's impact stories

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Preface

The objective of IDH — the Sustainable Trade Initiative — is to improve the economic, social and environmental sustainability of production systems in developing countries through sector systemic change. To achieve this, IDH deploys three strategies: convene sector actors throughout the supply chain, co-invest in the implementation of projects and adapt, learn and innovate the approach ensuring it can be embedded and institutionalized. The impact themes IDH focuses on are i) Smallholder Inclusion; ii) Mitigation of Deforestation; iii) Gender Equality and Empowerment; iv) Responsible Agrochemical Management; and v) Living Wage and Working Conditions.

In 2016, IDH selected Wageningen University & Research (WUR) and KPMG Advisory N.V. (hereinafter 'KPMG') to design and deliver a five-year impact evaluation program on the IDH 2016-2020 Multi-Year Plan. The goal of the impact evaluation program is to improve the IDH programs and their contribution to sustainable development. In 2017, the consortium partners delivered a well-received first assessment report. After a joint assessment of the partnership, KPMG was appointed to execute the midterm evaluation based on the original methodology, including an academic expert panel to validate the findings.

This Midterm Evaluation Report provides an understanding of the extent to which changes in business practices, improved sector governance and field level sustainability with respect to the five impact themes have occurred, what the progress was compared to the first assessment, and whether a contribution of IDH can be measured.

As per the methodology used for the first assessment, the analytical framework for assessing IDH's contribution is based on an innovative combination of information from different sources that provide detailed and reliable insights into the existing evidence base and the registered direction of change. The triangulation of information from in-depth stakeholder interviews, data provided by IDH through a data room (external reports, strategy documents and minutes of key meetings, RMF data, etc.), sector survey, expert validation and staff round table discussions permits to reconstruct a dynamic 'impact story' that offers key insights into the evidence base behind the pathways toward systematic sector change.

A team of independent academic experts (one per impact theme) validated the feasibility of the impact pathways and contextualized this with recent literature. They reflected on draft conclusions of our assessment and made recommendations to mitigate potential evidence gaps with regard to the end line. Their feedback was incorporated in the final version of the report. The following experts were on the panel: Yuca Waarts, MSc, Dr. Eric Arets (both from Wageningen University & Research), Dr. Anna Laven (KIT Royal Tropical Institute), Emeritus professor Graham Matthews (Imperial College London) and Dr. Patrick Belser (International Labour Organization).

For some of their Proofs of Concept (PoCs), IDH performs additional in-depth (third-party) impact research. These were selected based on maturity and measurability of the project, representation, proportionality and additionality. The activities in these PoCs need to show that the impact is scalable. These in-depth studies have been an important source of information in order to conclude whether impact can be seen in these programs.

Compared to this first assessment, IDH made measurable progress and created impact throughout the result areas Improved Sector Governance, Change of Business Practices and Field Level Sustainability across four impact themes. For the impact theme Gender Equality and Empowerment, it is too early to measure impact. This theme was not included in the first assessment, as it was only established as impact theme in 2017. In the report, we discuss the existing evidence behind IDH's impact stories and share reflections of independent experts on our findings.

The report has been prepared by a team from KPMG Advisory N.V. coordinated by Brigitte Campfens, and under the overall guidance of Jerwin Tholen. We thank Andrea Bolhuis, Janne Dietz, Bas Evers, Claudiu-Cristi Antonovici, Shanice Kromokarso and Christiaan van der Spijk for their invaluable contributions and combined efforts in preparing this study. We are furthermore grateful to the aforementioned experts and the IDH staff for providing access to information and feedback on earlier drafts.

KPMG Advisory N.V.

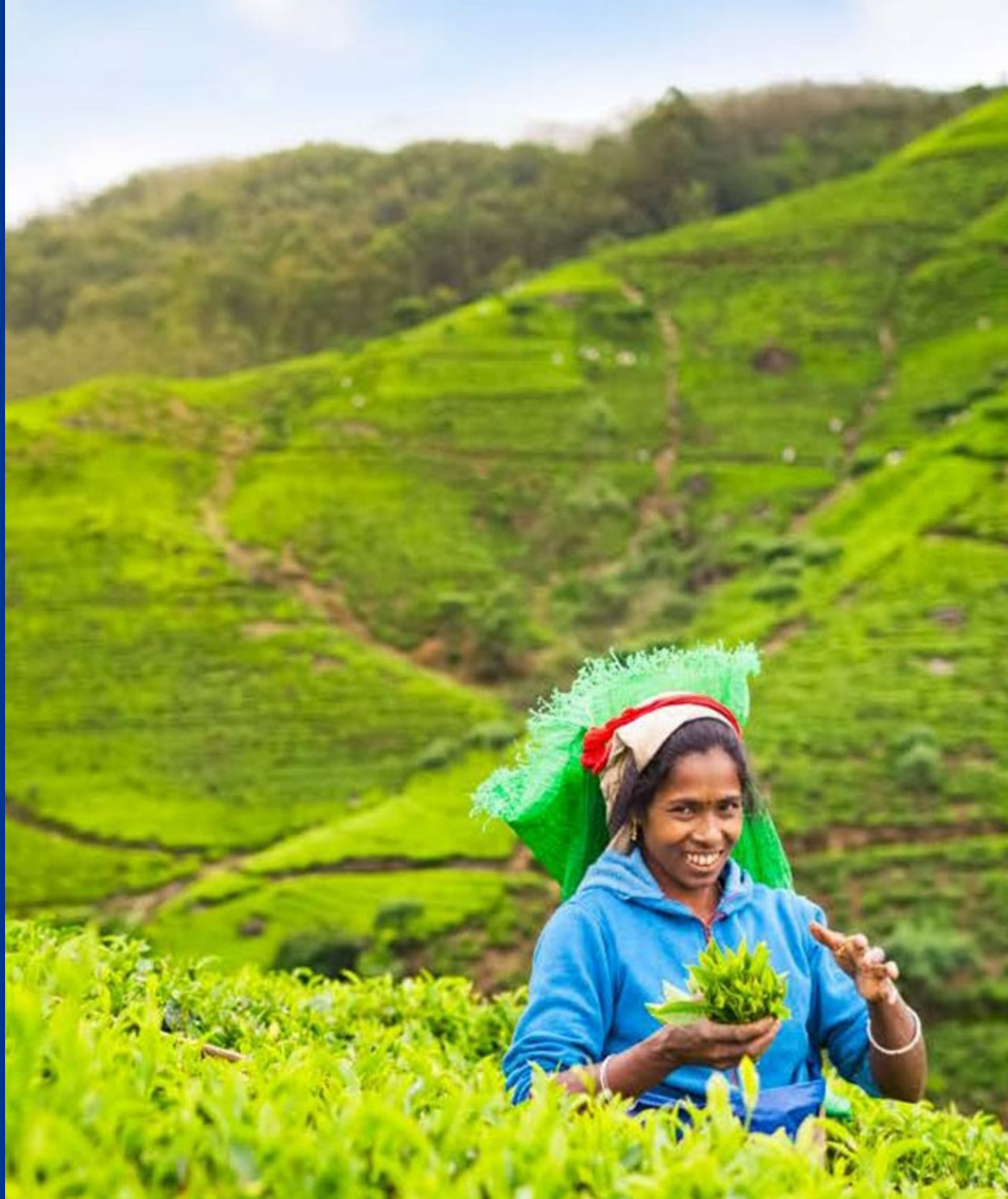
Jerwin Tholen
Director Sustainability

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Executive summary



Executive summary [1/3]

IDH has been contributing to improvement of the sustainability of production systems in developing countries through supply chains since 2008. As a result:

- 5 million farmers (35% women) were reached through training and other services;
- 5,6 million hectares were brought under sustainable production practices;
- 8,5 million hectares of forest are sustainably managed;
- 250 million euro of private sector investments were leveraged in IDH's programs.

IDH is on track to meet most of its 2016–2020 targets to date (IDH Annual Report 2018).






Some of IDH's initiatives only took off recently and therefore will need time to achieve impact. The landscape approach to mitigate deforestation is really a long-term approach that started only a few years ago. Therefore, the increased uptake of sustainably produced forest-risk commodities in markets, for instance, can not be expected yet.

In 2016, a [first assessment](#) was done to measure IDH's contribution to impact. Compared to this first assessment, IDH made clear progress and impact is created in the result areas **Improved Sector Governance, Change of Business Practices and Field Level Sustainability** across four impact themes (Table E.1). For the impact theme Gender Equality and Empowerment, it is too early to measure impact. Gender was only established as impact theme in 2017 and therefore it was not included in the first assessment. For each theme, IDH selected programs and geographies to focus their efforts.

Improved Sector Governance

- IDH is very successful in convening multi-stakeholder coalitions to increase sustainability in many different supply chains. IDH's contribution is recognized by stakeholders across all themes (output level)
- At outcome level, the evidence base has significantly grown compared to the first assessment. Tangible outcome is measured for the majority of programs for the themes Smallholder Inclusion, Responsible Agrochemical Management (RAM) and Living Wage and Working Conditions. Examples are public-private partnerships (Vietnam, Ethiopia), banning of hazardous pesticides (spices, tea) and local governments investing in the sector (cocoa — Côte d'Ivoire). With respect to mitigation of deforestation and gender equality and empowerment, the evidence base is less broad, due to their relative limited maturity. Nevertheless, first results are visible, like the Initiative for Sustainable Landscapes (ISLA) action plan put forward in South West Mau Forest (Kenya).
- The investments IDH made in PoC research strengthened the evidence base. Results at impact level demonstrated by (elements of) improved enabling environment are now visible with respect to smallholder inclusion (BCI — cotton, Farm & Cooperative Investment Program (FCIP) — cocoa), RAM (BCI — cotton) and living wage (Malawi Tea 2020)).

Table E.1 Progress compared to the first assessment

Impact theme	Result Area	Output	Outcome		Impact	
		Midterm	First assessment	Midterm	First assessment	Midterm
 Smallholder Inclusion	SG	●	●	●	●	●
	BP	●	●*	●	●	●
	FL	●	●	●	●	●
 Mitigation of Deforestation	SG	●	●	●	●	●
	BP	●	●	●	●	●
	FL	●	●	●	●	●
 Gender Equality and Empowerment	SG	●	n.a.	●	n.a.	●
	BP	●	n.a.	●	n.a.	●
	FL	●	n.a.	●	n.a.	●
 RAM	SG	●	●	●	●	●
	BP	●	●	●	●	●
	FL	●	●	●	●	●
 Living Wage and Working Conditions	SG	●	●	●	●	●
	BP	●	●	●	●	●
	FL	●	●	●	●	●

No evidence		●
Limited evidence / minority of programs	Change unclear / contradicting	●
	Change only	●
	Change & contribution	●
Moderate / strong evidence / majority of programs	Change only	●
	Change & contribution	●
Sector Governance		SG
Business Practices		BP
Field Level Sustainability		FL

* In case two outcomes, the circle is split

Executive summary [2/3]

Change of business practices

- IDH successfully jump-starts processes with frontrunners through convening and providing (initial) co-funding for SDMs, co-investments in landscapes, access to high-quality inputs and creating increased demand for sustainable ingredients.
- However, IDH has limited control at outcome level (for instance, scaling successful SDMs, integrating gender, etc.). One of the strongest examples of changing business practices, to which IDH directly contributed, is the impressive list of CFI commitments to ban deforestation in Ghana and Côte d'Ivoire by approximately 85% of the cocoa market. The most progress is booked with regard to the impact theme Living Wage; due to the MT 2020 initiative, all Malawi tea estates are committed to implement policies and activities to improve working conditions and to increase tea wage. For gender equality and empowerment, the first achievement at outcome level, to really change HR policies, has taken place in Ethiopia (flowers).
- IDH clearly contributes to increased market demand in different sectors, with BCI as most compelling example and through its role in sector platforms with a sector-wide commitment (FSI, SIFAV, SSI). It is still difficult to link increased market demand to the specific IDH landscapes. To date, the commitment of Carrefour in Brazil is one of the best examples of a commitment to start sourcing sustainably from one of the landscapes.

Field level sustainability

- IDH's contribution to interventions with regard to field level sustainability is clearly visible and acknowledged by stakeholders. Examples are SDMs (or elements thereof), PPIs (deforestation), awareness raising (gender) and contributions to collective bargaining agreement in the Malawi tea sector.
- Evidence of adoption of good agricultural practices (GAP) is, however, more limited and often only expressed in terms of the ratio of farmers licensed vs trained under a specific sustainability program, like BCI (reported through IDH's RMF) and not third-party verified. Compared to the first assessment, the evidence base on adoption of practices for the themes Smallholder Inclusion and Responsible Agrochemical Management has not been strengthened. New PoC research could not yet conclude on this. This is considered a risk, as adoption of good practices is a pre-requisite for especially farmer profitability and income, proven adoption of GAP is essential as a proxy for field level impact.
- In the first assessment, outcome and impact level change for responsible agrochemical management were contributed to IDH (in cotton). This was based on the interview results. However, new research could not prove the contribution yet although BCI farmers clearly outperform other farmers.

IDH played a key role to achieve change with regard to all impact themes and IDH's contribution is recognized by external stakeholders. IDH's strength clearly lies in convening different stakeholders and jump-start processes with frontrunners, both through knowledge providing as by (co)-funding. As a result, an increasing number of farmers, workers and community members are reached. Evidence on these factors is strongest (Figure E.2).

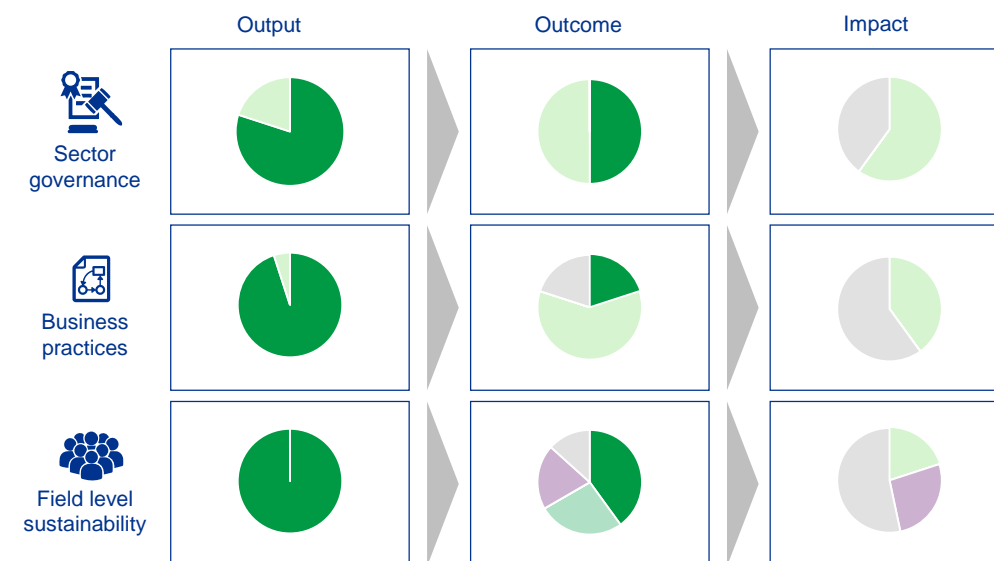
A quick scan of recent literature did not result in new insights with respect to the plausibility of the impact pathways. These are still seen as plausible. However, it did raise a concern that research results on potentially successful approaches will always be mixed; comparability of local and market conditions and level of enabling environment should always be taken into account. Impact level results are mainly measured through PoC studies but there is no PoC study yet, proving the targeted impact across all result areas. The most advanced and proven models come from the cotton program (BCI model) and the tea program (Malawi 2020). Both the BCI model as well as the Malawi 2020 approach seem to be ready to replicate.

To monitor progress for accountability and steering at project level, IDH collects data through the Results Measurement Framework (RMF). This data is collected per program for respective landscape and not per impact theme. Five indicators of the RMF were identified to strengthen the evidence base of the midterm evaluation.

The level of impact that IDH achieved could only be measured by the extent to which the evidence covered the various programs for respective landscapes in scope.

The academic expert panel (Yuca Waarts (WUR), Eric Arets (WUR), Anna Laven (KIT), Graham Matthews (Imperial College London) and Patrick Belser (ILO)) confirmed the plausibility of the impact pathways and provided us a written response to endorse our conclusions.

Figure E.2 Integrated dashboard across all themes





Executive summary [3/3]

The midterm evaluation shows important achievements at outcome level for all impact themes. Following the impact pathways, these results are expected to translate into changes at impact level. Whether this has actually taken place and if IDH's contribution could be identified, will be verified in the end line. IDH's Proof of Concept Research Strategy* foresees in research in 2020 for seven selected Proofs of Concept, and as such should provide an evidence base for this. Nevertheless, potential gaps are identified. To mitigate these, and to strengthen the evidence toward the end line, our recommendations to IDH are:

- a) Ensure that qualitative research through in-depth interviews by including a process tracing approach is incorporated both in future PoC research and in the end line evaluation (as was done in the impact study cotton). This recommendation was made in the first assessment and is still valid. In-depth interviews can capture what has happened after policies and commitments were created, and whether they indeed resulted in actions that can be expected to benefit farmers and workers, and the environment.
- b) Ensure that the foreseen impact studies and end lines for current PoCs as mentioned in IDH's Proof of Concept Research Strategy*, are executed to strengthen the evidence. Ensure they include both impact measurement at field level as planned and measurement of the adoption of practices as a proxy for impact.
- c) Include ex post evaluation of SDMs to assess whether they resulted in actual change for businesses and farmers.
- d) Specify certain ambitions better, e.g. what is meant by 'business cases' (only economical or broader), 'embedded sustainability at corporate level' (only for a specific commodity or for all commodities, products and services a company sources), enabling environment and impact at field level ('improved living wage' is not an achievable ambition).
- e) Reconsider, with regard to the 2020–2025 strategy, if and how the RMF could potentially strengthen a future impact measurement.

On the next pages, our conclusions with regard to observed change and IDH's contribution per impact theme are shown. The impact pathways serve as vehicle to visualize our findings.

* See Appendix First Assessment Report, chapter 2



Observed change and contribution — 'Smallholder Inclusion'

Figure E.3 Final dashboard 'Smallholder Inclusion'



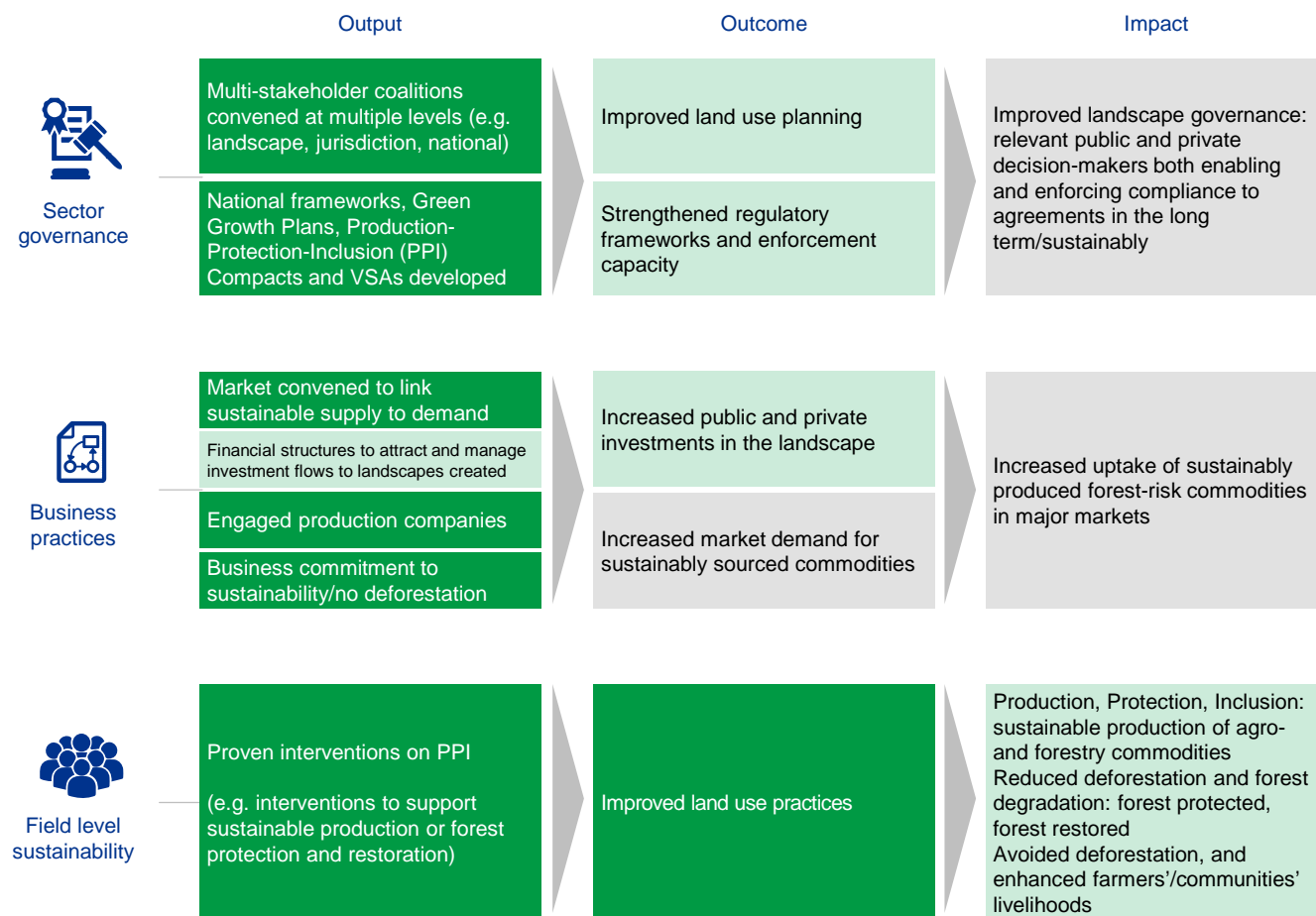
Key:

- no evidence for change found
- change found, but no contribution
- change found, contribution IDH proven
- In case change and/or contribution was found for minority of the programs/landscapes in scope, light purple/light green was applied.



Observed change and contribution — 'Mitigation of Deforestation'

Figure E.4 Final dashboard 'Mitigation of Deforestation'



Key:

- no evidence for change found
- change found, but no contribution
- change found, contribution IDH proven
- In case change and/or contribution was found for minority of the programs/landscapes in scope, light purple/light green was applied.



Observed change and contribution — 'Gender Equality and Empowerment'

Figure E.5 Final dashboard 'Gender Equality and Empowerment'



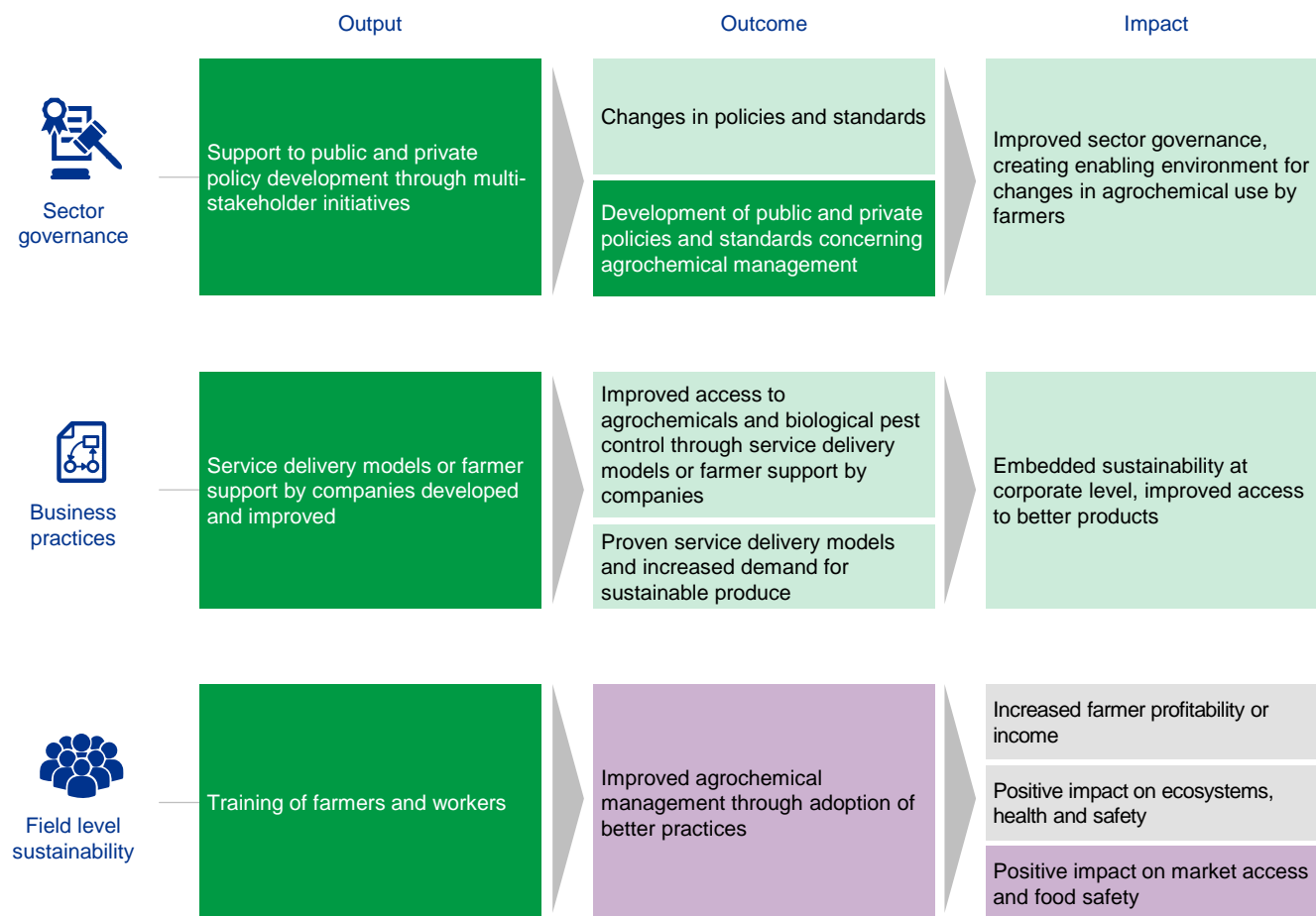
Key:

- no evidence for change found
- change found, but no contribution
- change found, contribution IDH proven
- In case change and/or contribution was found for minority of the programs/landscapes in scope, light purple/light green was applied.



Observed change and contribution — 'Responsible Agrochemical Management'

Figure E.6 Final dashboard 'Responsible Agrochemical Management'



Key:

- no evidence for change found
- change found, but no contribution
- change found, contribution IDH proven
- In case change and/or contribution was found for minority of the programs/landscapes in scope, light purple/light green was applied.



Observed change and contribution — 'Living Wage and Working Conditions'

Figure E.7 Final dashboard 'Living Wage and Working Conditions'



Key:

- no evidence for change found
- change found, but no contribution
- change found, contribution IDH proven
- In case change and/or contribution was found for minority of the programs/landscapes in scope, light purple/light green was applied.



IDH's Management Response



IDH's Management Response to the Mid Term Impact Evaluation by KPMG [1/2]



The IDH 2016-2020 Multi-Year Plan aims to innovate for deep impact at scale. IDH has learned in the period 2008-2015 that boosting private sector investments in certification alone is not sufficient to deliver this impact. Hence, we designed beyond certification, innovative finance and local convening strategies and designed specific impact pathways for Smallholder farmer inclusion, Mitigation of deforestation, Responsible agrochemicals management, and Living wage and working conditions. In 2017 we added Gender equality as our fifth impact theme, as to raise the bar to this cross-cutting issue.

The first assessment by WUR and KPMG in 2017 confirmed the validity of these impact pathways and provided a methodology for a portfolio-wide impact evaluation. We are pleased that two years later, this mid term evaluation shows that IDH is well under way to deliver impact through its strategy of market transformation on vital externalities for sustainable development. The original research design for the 5-year program has been tested and scrutinized in this process and we conclude that our chosen approach is still valid.

This research shows substantial evidence of the effectiveness our work, at output, outcome and even impact levels. It also gives direction to improvements for the next period. We did not manage to implement every baseline recommendations on data collection and research, and are grateful for the constructive feedback from KPMG and the academic experts that have validated the findings on how to mend these gaps before the final evaluation.

Investing in a solid evaluation approach

We realize it's a challenge to conduct a portfolio wide evaluation of an organization as diverse and agile as IDH. Yet, the unique evaluation design made it possible to do exactly this. The approach for such portfolio wide evaluation necessarily, includes various data sources, both from IDH as well as third party sources. Key take away for us is to invest more into qualitative assessments of our work on changing business practices and sector governance, while securing solid third-party evaluations on our field level outcomes. We need better insight in farmer adoption rates, complementing our economic data from service delivery models we work with to improve farmer livelihoods.

While we were challenged on some impact themes to prove the IDH contribution, we find it crucial keep sight of our core role to convene public and private partners to change the way they operate. At the end of the day, for our interventions to last, they need to make the difference, not us.

Adapting to changing contexts

Thanks to solid partnerships with our donors we manage to balance accountability for a five-year program strategy, with the agility required to respond to both lessons learned and to changing realities in our field. This mid term evaluation shows that IDH stays true to commitments that were made at the start of this five-year program period and to our five impact pathways.

At the same time, we do adjust to changing realities and new insights. In our drive to mitigate deforestation for instance, we now invest more than foreseen in developing new sourcing designs for companies to boost demand for deforestation free commodities and incentive local stakeholders to ensure deforestation free production. Similarly we are shifting gears in our cocoa and coffee programs. With global market prices being lower than the cost of production, farmers will not invest in better agricultural practices, climate change adaptation or mitigation of deforestation. Hence we need to work on living incomes for smallholder farmers in these sectors, changing procurement practices, and securing higher incomes through better (financial) services to farmers and diversification. In tea we will broaden our living wage work to other East-African countries beyond Malawi combined with global living wage commitments by the industry, to prevent negative consequences for the Malawian tea industry.

We are challenged by short-termism in company shareholder behavior, at the expense of investing in sustainability. Yet we see opportunity for jobs, income and sustainable production as new markets emerge in producing countries with growing urbanization and new middle classes. As a consequence, IDH is investing more into agricultural production systems for local markets, and into sharing lessons learned on sustainable manufacturing from Asia into the African context.

Adapting to our learnings and changing realities, IDH maintains accountable. Any changes to our strategy are being recorded and agreed to in our reporting cycle. This provides a strong basis for the end-term evaluation in 2021.



IDH's Management Response to the Mid Term Impact Evaluation by KPMG [2/2]

Implementing the recommendations

The evaluators provided us with many good recommendations for follow-up in three categories: strengthening the evidence base, specifying impact pathways, and suggestions on programs. Management has assessed them and will secure follow-up on most of them, to secure a further solidification of the evidence base for the end-line evaluation.

1. Ensure that qualitative research through in-depth interviews by including a process tracing approach is incorporated both in future Proof of Concepts (PoC) research and in the end line evaluation (as was done in the impact study cotton).

IDH is aware of the need for qualitative methodology to capture results on outcome level in our programs. We will strengthen our current Results Measurement Framework (RMF) with POC research we have established, with a central role for a qualitative methodology, as we believe this is the best way to understand changes in business practice and sector governance. Over the coming year IDH is piloting not only process tracing but also outcome harvesting in our program M&E.

2. Ensure that the foreseen impact studies and end lines for current PoCs are executed in time to strengthen the evidence base. Ensure they include both impact measurement at field level as planned and the adoption of practices as a proxy for impact.

We have enough resources and commitment across the organization to fully implement our PoC research agenda before by the end of the program.

3. Include former post evaluation of SDMs to assess whether they resulted in actual change for businesses and farmers.

With the strengthened team for business intelligence around SDMs we foresee a significant higher level of analytics from our existing data base. Also, through the Farmfit program we are investing in additional (primary) data collection around SDMs to assess action change for business and farmers. SDMs are central to IDH and hence are becoming central to our M&E as well.

4. Specify certain ambitions better, e.g. what is meant by 'business cases' (only economical or broader), 'embedded sustainability at corporate level' (only for a specific commodity or for all commodities, products and services a company sources), enabling environment and impact at field level ('improved living wage' is not an achievable ambition).

IDH will further specify some of the terminology we use in our programs. Often we notice that by trying to find overarching (grouping) categories for activities and outcomes the specificity of the program behind it is lost. Were possible we will bring this richness into the description and find definitions where they are lacking. At the same time we want to keep away from too much complexity.

5. Reconsider, with regard to the 2020–2025 strategy, if and how the RMF could potentially strengthen a future impact measurement.

In the design of the current impact measurement framework the RMF plays an important role. Our evaluation design relied on monitoring data as a source of (sometimes) verified primary data. Within IDH we took this as a learning that monitoring data can only be used as a triangulation source and will never measure up to impact measurement standards. Therefore, for the next program strategy, data collection for impact research will not happen through the regular RMF monitoring channels.

Conclusion

The Mid Term Impact Evaluation demonstrates evidence of the results of our work. It provides us with an agenda toward the final evaluation, both to improve our data and definitions, and to deliver on the impact pathways defined. We are grateful to both our evaluators and the IDH Impact Committee of our Supervisory Board for their continued feedback and guidance. ”



1 Introduction





1. Introduction [1/2]

1.1 Midterm Program Evaluation as part of IDH Impact evaluation 2016–2020

In 2016, IDH requested Wageningen University & Research (WUR) and KPMG Advisory N.V. hereinafter 'KPMG') to design and conduct a five-year impact evaluation program. This program is implemented between 2016 and 2020, and supervised by the IDH Impact Committee. WUR and KPMG conducted a first assessment study in 2016 which provided a first synthesis of the available impact evidence for each impact theme as well as per result area.

The Midterm Program Evaluation is conducted by KPMG and builds upon the methodology designed for the baseline. This impact assessment aims to improve the IDH programs and their contribution to sustainable development. The End Line Program Evaluation will be conducted in 2021.

1.2 IDH's strategy to achieve systemic change

IDH — the Sustainable Trade Initiative was founded in 2008. Its objective is to improve the economic, social and environmental sustainability of production systems in developing countries, focusing on internationally traded commodities.

IDH convenes governments, civil society organizations and companies in public-private action-oriented coalitions across global commodity supply chains. IDH co-creates and prototypes private-sector-driven solutions that are to be internalized by businesses, in an enabling environment of effective public-private collaboration. These Proofs of Concept (PoCs) are set up to help upscale and accelerate global sustainable production and trade. IDH has defined a PoC as follows: *"proven, scalable, private sector-driven solutions which are internalized by the businesses that IDH work with, in an enabling environment of effective public-private collaboration and within viable economic mechanisms."* IDH's target is for two-thirds of all PoCs to be successful. Approaches are designed to drive sustainability from niche to norm, delivering impact on the Sustainable Development Goals.

To this end, IDH deploys several strategies:

- Convening: IDH bundles public and private interests and strengths to solve complex issues and unlock large-scale sustainable production and trade
- Co-investing: through co-funding, IDH leverages business interests to drive sustainable sector transformation
- Learning & Innovation: IDH pilots, evaluates and disseminates lessons learnt and best practices

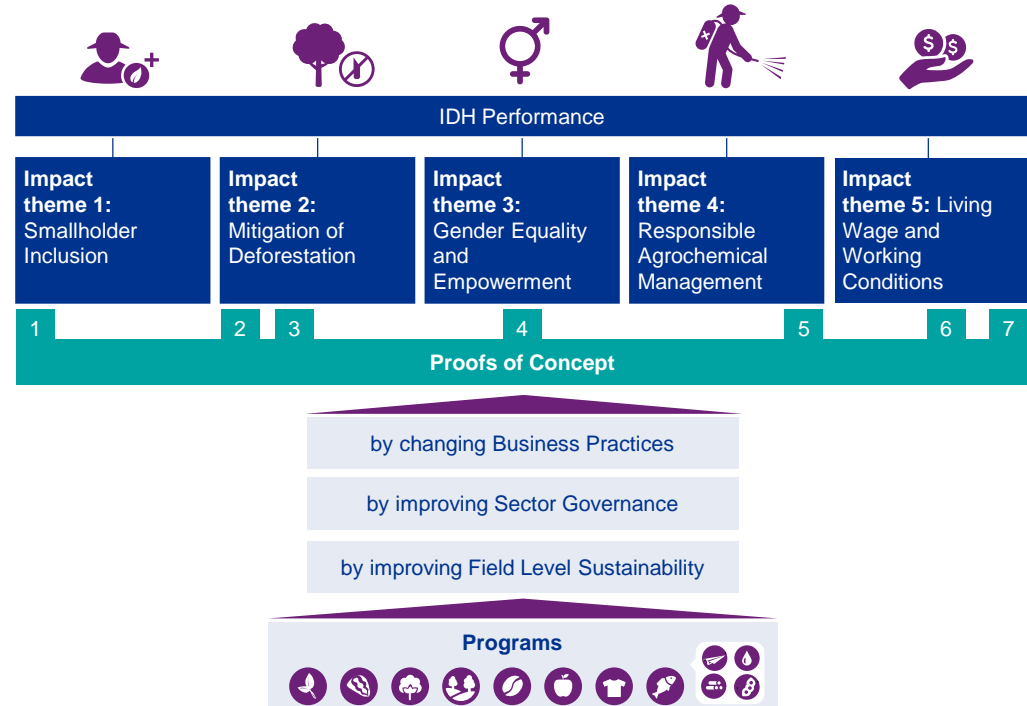
Across all interventions, IDH has defined five cross-cutting impact themes that help them to reach the SDGs.

These impact themes are:

1. Smallholder Inclusion
2. Mitigation of Deforestation
3. Gender Equality and Empowerment
4. Responsible Agrochemical Management
5. Living Wage and Working Conditions

For each impact theme, an impact pathway is formulated, of which the plausibility was assessed in the first assessment through literature review. IDH's activities, inputs and outputs are related to one of these impact pathways. These pathways were used as the starting point for the evidence assessment on IDH's actual contribution. The table on the next page summarizes which programs are covered by which impact theme.

Figure 1.1 IDH impact themes, result areas and programs



1. Introduction [2/2]

Table 1.2 IDH commodity programs connected to each impact theme

Programs	Impact themes				
	Smallholder	Deforestation	Gender	RAM	Living wage
Apparel			♀		
Aquaculture					
Cocoa			♀		
Coffee			♀		
Cotton			♀		
Fresh & Ingredients			♀		
Tea			♀		
IDH landscapes					
<i>Brazil</i>					
<i>Cote d'Ivoire</i>					
<i>Ethiopia</i>					
<i>Indonesia</i>					
<i>Kenya</i>					
<i>Liberia</i>					
<i>Vietnam</i>					

1.3 Report structure

This report is structured as follows:

In Chapter 2, we present the research approach and methodology used for evaluating IDH's work in the impact themes. The results per impact theme are discussed in the chapters 3 to 7. The evidence base per impact theme is listed in Appendix 5. In the respective chapters, reference is made to a specific source. Chapter 8 captures the overall recommendations and conclusions on the way ahead. In Appendix 1, a list of used abbreviations can be found.



2 Research approach





2. Research approach [1/3]

2.1 Methodological approach

The research methodology applied for this Midterm Program Evaluation builds upon the methodology described in the first report (see Chapter 2 of 'Assessing our contribution to public good impacts (2016–2020): First assessment report on the existing evidence behind IDH's impact stories'). Figure 2.1 visualizes the methodology and refinements made:

- For the midterm, we validated the impact pathways of the intervention logics which were designed in the first assessment
- We designed a new assessment framework to assess the grown evidence base
- Evidence for the midterm was collected by IDH before the assessment started, and during the assessment by KPMG through the sector survey and stakeholder interviews
- Contextualizing was done through the collaboration with an expert panel including a quick scan of recent literature
- Next to validation through result workshops with IDH stakeholders, validation was done by the expert panel

Figure 2.1 The contribution analysis framework



2.2 Our approach in detail

First we validated the impact pathways for each impact theme and developed an assessment framework. The panel of expert confirmed plausibility of the impact pathways. The impact pathways reflect IDH's expectations about the causal relations between its support activities and their final outcomes and impact per impact theme. We used the assessment framework to document, categorize and assess the multiple sources of evidence and to ensure all our assessments are traceable and transparent. Paragraph 2.3 describes the different sources of information used. Appendix 2 explains in detail our methodology to come to conclusions on IDH's contribution to change and how we translated these conclusions into dashboards.

Then we critically assessed the available evidence in order to verify and refine the rationale behind each of the impact pathways. We applied contribution analysis: a systematic way to exploit a variety of information sources to assess impact, even where it is not possible to attribute the outcomes unambiguously to IDH. Rather than attribution of net-effects, contribution analyses focus on whether a convincing claim can be made that IDH has been a necessary factor, in a configuration of actors and factors, which created the observed changes. At first, we made this assessment based on provided documentation. One of the methodologies we used to assess whether changes occurred and whether IDH contributed to such changes was an approach based on 'process tracing'. Initially, we did this based on documentation provided, and additionally by asking interviewees about specific moments in time that changes have taken place in a sector, and examples of how IDH activities and events have played a role in these change processes. The number of interviews was limited. We used a survey, to capture perceptions on IDH's impact from a broad group of stakeholders.

Validation of the evaluation results took place in three ways. First we validated the impact pathways with IDH staff and updated these where applicable. Then we discussed the draft assessment and impact stories per theme in two rounds of workshops with IDH impact theme leads and internal stakeholders. Consequently, the impact stories were adjusted according to feedback of IDH and these draft findings were validated by a team of independent experts (one per impact theme). Appendix 3 describes the details of the expert validation. Feedback of the experts was incorporated in the version, used for the final results workshop with IDH management.

The results are presented in this report.



2. Research approach [2/3]

2.3 Multiple sources used for the analysis

We assessed different sources of evidence (figure 2.3). Some of the sources cover the entire scope of IDH's intervention at that time, others tune in to a specific topic.

IDH documentation

IDH provided a 'data room', structured by impact theme and program, with the collated evidence regarding IDH's efforts and results in creating impact. Documentation included third-party research reports, progress reports written by implementing partners of IDH, quantitative information, case study reports commissioned by IDH but also press releases and farmer stories. A total 407 documents were assessed.

Proof of Concept — impact research reports

The data room included the deep dive impact reports which IDH commissioned for a selection of its Proofs of Concept (Table 2.2).

Table 2.2 Proofs of Concept per theme

Impact theme	Proof of Concept
	Farm and Cooperative Investment Program (cocoa program)
	South West Mau Forest West Kalimantan landscape
	Kenya Gender Platform (tea program)
	Sustainable Market Transformation in Cotton – Better Cotton Initiative
	Malawi Tea 2020 Race to the Top (apparel, Vietnam)

IDH's Results Measurements Framework (RMF)

The RMF reports through a selection of output and outcome indicators at programs/landscape level over 2016–2017 and 2018. We identified five indicators to strengthen the evidence base. Appendix 2b describes our findings in detail.

Stakeholder interviews

A selection of 16 stakeholders was interviewed to provide insights on IDH's contribution to impact to a specific impact theme. Interviews focused on specific steps in the impact pathways of a respective impact theme. For these interviews, we followed a semi-structured approach. See Appendix 2b for a list of interviewees and for details on the interview approach.

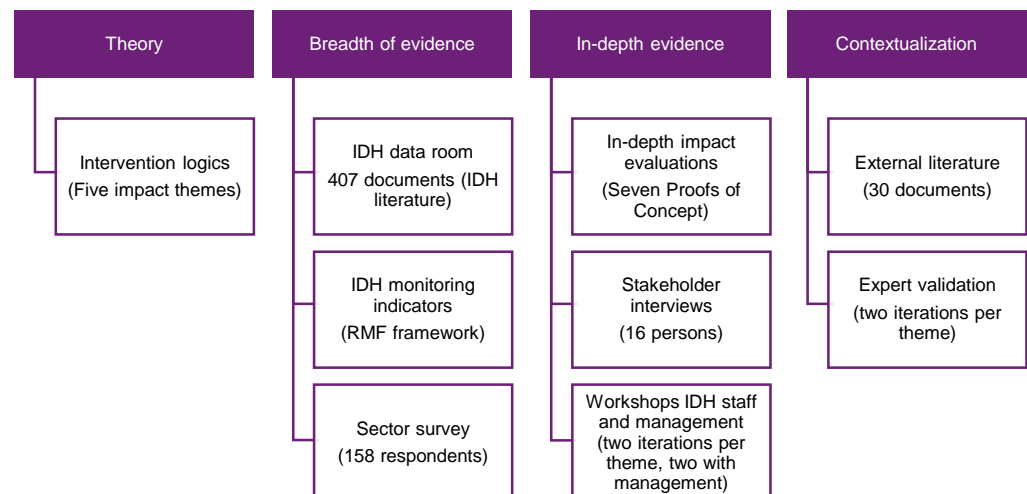
Sector survey

599 stakeholders were invited to respond to a sector survey that focused on sector governance and business practices. A response rate of 26% was achieved (N = 158). Survey questions were mapped on the impact pathways to systematically assess the data per theme. See Appendix 2b for more details in this.

Literature review

Under guidance of the external experts, we did a quick scan on recent literature (published after 2016). The literature is listed per theme (Appendix 4). Findings are integrated in this report and where applicable, references are made.

Figure 2.3 Sources of information used in the evaluation





2. Research approach [3/3]

2.4 Limitations with regard to the evidence and methodology

In this report, we have presented the evidence for IDH's contribution to impact. We have included an overview of the information available at the time of writing. Our starting point of the assessment was the information provided by IDH in the data room. During our assessment, additional information was provided by IDH to mitigate data gaps identified during the workshops. We included external sources (sector survey, stakeholder interviews) and expert validation to challenge our findings and identify potentially 'missed information'. Nevertheless, this was not a search for completeness of evidence and there is the risk of a potential bias of mainly positive sources being included.

Like in the first assessment, we have not assessed the extent of IDH's contributions to the results mentioned (i.e. it could be that IDH contributed to a result to a limited extent because other partners contributed much more or vice versa). Also, at this point in time, it can not be proven yet, that impact results found for one specific Proof of Concept will be successful in a different context.



3 Smallholder Inclusion



IDH's approach to achieve change with regard to smallholder inclusive value chains

Challenge IDH wants to solve

In many of IDH's commodity programs and landscape programs, smallholders are an important part of value chains and a significant amount of agricultural commodities are produced by them. In many developing countries, smallholder agricultural production is an important driver of the national economy and source of income for the rural economy. Smallholders are facing several challenges such as low productivity, soil quality, lack of agricultural and business skills, lack of access to finance, climate change, food insecurity, and unequal bargaining positions that make smallholders struggle to make a decent living and trap them in a vicious cycle of poverty.

IDH's approach

IDH works together with private sector players, governments and civil society organizations to create an enabling environment in which smallholder inclusive business models can prosper, become sustainable and contribute to improved livelihoods for smallholders. Building on the increased market demand for sustainable and traceable produce, IDH is encouraging, incentivizing, and de-risking both value chain partners and the financial sector to serve smallholder farmers.

IDH selected programs and geographies to focus their efforts:



PoC: Improved bankability of cocoa farmers and cooperatives in Côte d'Ivoire

For the impact theme of Smallholder Inclusion, IDH selected 'Cocoa Farm & Cooperative Investment Program' (FCIP) in Côte d'Ivoire as PoC. For smallholder farmers to develop profitable businesses, they need to have access to affordable and effective services that enable them to professionalize, grow and invest in their farms. However, the market currently fails to provide the conditions necessary to enable this transformation of smallholder farms into entrepreneurial, profitable businesses. Lack of access to finance is a particular constraint for smallholder farmers as they typically have limited financial means and are thus unable to make use of other available farm-improvement services. Ensuring adequate access to finance at affordable rates is a critical component of enabling smallholder farmers to make long-term investments in their farms to lift themselves out of poverty.

The FCIP is aiming to break the cycle of poverty for the agricultural poor by developing the capacity of farmers and cooperatives and creating innovative financial products, including digital loans, insurance and accessible mobile money accounts. This way the FCIP should make financial inclusion a reality for farmers' cooperatives and communities. The FCIP targets to have reached over 250 cooperatives and more than 250,000 farmers by 2020.

Figure 3.1 IDH selected programs and geographies to focus their efforts



IDH's contribution to change expressed in the impact pathway 'Smallholder Inclusion'

In this chapter, we describe to what extent we have found evidence for the envisioned outputs, outcomes and impact, as included in the impact pathway for smallholder inclusion. The following impact stories are discussed:

- IDH contributed to the establishment of strong multi-stakeholder sector initiatives
- IDH's approach supports innovation in smallholder inclusive business models
- Limited evidence of increased yield and adoption of practices

The expert validation, which included a quick scan of recently published literature, learned that two elements are key before impact at field level — increased profitability, household income and nutrition — can be achieved:

- The actual implementation of new policies and standards (as per example) needs to be proven; this creates the enabling environment for field level changes. In other words, if implementation does not happen, impact at farm level often can not be expected. (S.113 *, S.114)
- Change of behavior of farmers: The measured adoption of good agricultural practices. This is essential since many other factors out of IDH's sphere of influence (e.g. volatile market prices, interest rates, local regulations but also farm sizes) influence farmer's willingness to change (S.113, S.114, S.115).

Outputs or outcomes from one result area can lead to outputs/outcomes in another:

- A well functioning sector level platform can lead to the outcome 'increased sustainable sourcing' (A)
- Support to the development of service deliver models (SDMs) can lead to the output 'support of farmers with services' (B)

Weighing of evidence

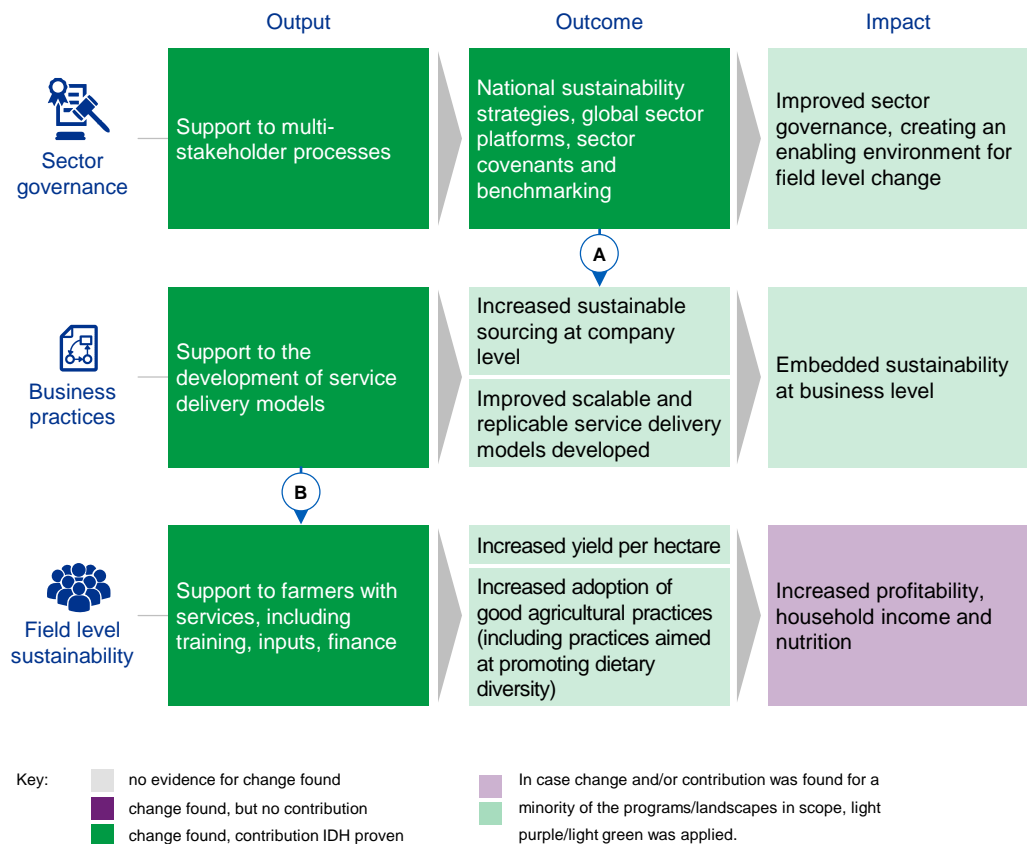
For **sector governance**, all sources of information indicate that change through IDH's contribution can be observed at output and outcome level. The evidence in this respect covers all programs in scope and this is confirmed by the sector survey. We conclude some changes and contribution at impact level — for the cotton and the cocoa programs. For the coffee program, this could be confirmed through an interview. Together, these insights result in the conclusion that IDH has contributed to a positive change at output and outcome level for a majority of its programs and that IDH has already contributed to a positive change at impact level for a minority of its programs.

For **business practices**, all sources of information indicate that change can be observed at output level across all programs, although one interviewee indicated that the change would likely have happened also without IDH. Increased sustainable sourcing at company level was found within the flowers and the cotton program and this could be contributed to IDH's efforts. Three SDM case studies showed 'improved SDMs'. Interviewees confirmed IDH's contribution to some change at outcome level but did question if SDMs are replicable. We observed evidence of the successful contribution of IDH to change on impact level for the cotton program. We, therefore, conclude that IDH has contributed to a positive change at output level. With respect to outcome and impact level, we conclude change and contribution for a minority of programs.

For **field level sustainability**, the documentation and interviewees confirm a positive change at output level for all programs. The evidence on outcome level change and contribution was limited to the tea program in Kenya. Observed differences at impact level in the cotton and cocoa program can not be contributed to IDH.

This is reflected in the dashboard below. On the next pages, the assessed impact stories are discussed in detail, followed by the expert validation.

Figure 3.2 Final dashboard 'Smallholder Inclusion'



* S.113 references to the source. The full list can be found in appendix 4



IDH contributed to the establishment of strong multi-stakeholder sector initiatives [1/2]

IDH's strategy on sector governance aims to connect all key players within a sector — private, civil society and when relevant(local) governments. These sector governance interventions are crucial to address sustainability challenges that cannot be addressed by individual players only. More importantly, these challenges need both the public and the private sector for creating a more conducive and enabling environment for improving smallholder livelihoods.

Positive contribution to sector governance in multiple sectors

Several multi-stakeholder sector initiatives and benchmarking initiatives were supported. With support from IDH, the Global Coffee Platform (GCP) was established (S.87). In Fresh & Ingredients (F&I), IDH supported (the establishment of) multi-stakeholder initiatives such as the Floriculture Sustainability Initiative (FSI), Sustainability Initiative Fruit and Vegetables (SIFAV), the Sustainable Spices Initiative (SSI) and others. Also, the Malawi 2020 Tea Revitalization Program (MT 2020) was established with IDH's support (S.106, S.107). Although emphasis of MT 2020 is on Living Wage, one of its pillars focuses on Smallholder Inclusion. IDH is one of the founding members of Trustea and has been coordinating and funding the program for the past seven years. In 2018, IDH took the lead in setting up the Trustea Foundation as an independent secretariat with a multi-stakeholder governance (S.92). Interviewees from the coffee, cocoa, flowers and spices sector complemented IDH on its convening power and independent relation to the sectors. They confirmed that the respective initiatives might not have existed, or in their current form, without IDH's convening power.

In cotton, most evident is IDH's contribution to the establishment and growth of the Better Cotton Initiative (BCI) (S.19). Moreover, IDH is acknowledged for convening stakeholders in the Mozambique Climate Resilience Platform (S. 21) and the Indian Maharashtra Cotton Water Platform (S.25). New initiatives to strengthen the sector (e.g. recent activities in Greece, Pakistan and China) are being deployed (S.82, S.89). In the cocoa sector, IDH convened stakeholders in the Farm and Cooperative Investment Program (FCIP), a co-financing program which aims to contribute to the bankability of cooperatives and cocoa producers for greater professionalism and more recently the Cocoa and Forest Initiative (CFI) (S.12).

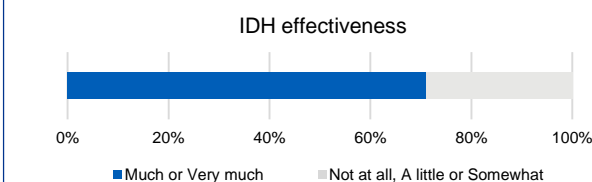
IDH shifted its focus in some supply chains on convening platforms at regional or national level. The FCIP is an example of this, and the direct involvement of The Conseil du Café-Cacao (CCC) is seen as a big achievement for which IDH is complimented. Results of the sector survey confirm these findings. IDH effectiveness in convening coalitions is recognized by 71% of the respondents. We, therefore, conclude that IDH positively contributed to the establishment of multi-stakeholder sector initiatives in all programs related to Smallholder Inclusion.

The multi-stakeholder initiatives have led to envisioned outcomes

Following the impact pathway, IDH's support to multi-stakeholder processes should lead to sustainability strategies, platforms, covenants and benchmarking. An example of this is the establishment of the Brazilian National Sustainability Curriculum (NSC). This can be seen as a result of efforts of the GCP but even more due to the work of IDH in their Sustainable Coffee Program prior to that. This was acknowledged by a stakeholder interview. The Better Cotton Growth and Innovation Fund is perceived as a trusted, cohesive and efficiently run public-private partnership (PPP), which created an enabling environment for companies to increase their sustainable sourcing practices (S.19). IDH initiation and contribution to the CFI led to industry commitments which otherwise would not have been achieved, according to an interviewee. Not all platforms cover the full sector and this might hamper future systemic change, e.g. both FSI as SIFAV could benefit from membership of international retailers originating from Germany and the UK to leverage their influence. Since producers will follow guidelines of their main clients, a lack of alignment within the sector may lead to confusion at producer level and slow down sector wide implementation of guidelines. Overall, stakeholders do recognize change in this area; 74% of the respondents of the sector survey indicate change whereas 50% of the respondents who recognize change acknowledge IDH for their contribution in this.

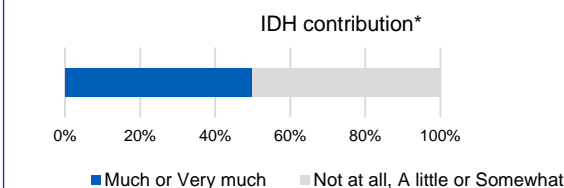
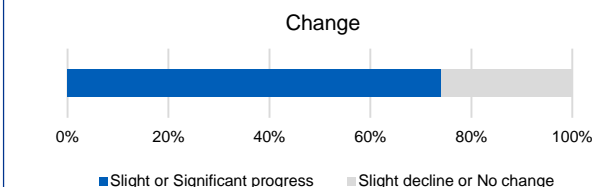


Figure 3.3 Stakeholder perception on IDH effectiveness on convening coalitions for public-private collaboration (N = 107)



Source: Sector survey

Figure 3.4 Stakeholder perception on change in development of national sustainability strategies and policies and IDH contribution to that change (N = 100)



Source: Sector survey

*only respondents who indicated a slight or significant progress are taken into account



IDH contributed to the establishment of strong multi-stakeholder sector initiatives [2/2]

First results of an enabling environment through improved sector governance

The implementation of new policies, standards or a well functioning sector platform (as per the previously identified examples) creates the enabling environment for field level changes. Two examples of this were identified: one in cotton and one in cocoa. The BCI is a globally recognized standard with a market driven funding model, which has led to an enabling environment for field level change (S.19). The strategy of the FCIP is based on the establishment and management of a grant fund called the Cocoa Challenge Fund (CCF). This fund should contribute to an enabling environment with improved access to finance for cooperatives and cocoa farmers to invest in the activities of their organizations and farms. The FCIP annual report 2018 (S.12) shows that the fund is financing an increasing number of projects. It also shows that the CCF contribution made it possible to more than double the private sector investment amount and it reports a projected overall investment (CCF and private sector) raising to nearly 100 million Euros (65.2 billion CFA francs). Next to the CCC, the Ministry of Economics and Finance (of Côte d'Ivoire) is also a board member of the FCIP, and both are represented in the investment committee of FCIP. By commissioning the Farm & Cooperative Investment Program Insight Report (S.10) IDH provided the board of FCIP with concrete feedback on bottlenecks with regard to access to better finance for cocoa cooperatives. 104 cooperatives were evaluated in this assessment; it identified key areas for improvement (related to level of professionalism) and identified the most professional cooperatives. It is expected that these cooperatives will have increased access to finance at affordable costs and conditions (outcome level result).

The Sustainable Vanilla Initiative (SVI), together with the Sustainable Food Lab (SFL) has built a strong lobby toward local stakeholders and governmental institutions in Madagascar to address the sustainability issues in the vanilla sector (S.63, S.65). In Vietnam, advocacy work resulted in banned pesticides (S.101, S.102, S.103) and a national training program (NSC) for tea and pepper (S.105). According to an interviewee a great accomplishment of IDH's work is that the Brazilian government invests 80 million dollar in the NSC, a training program is deployed (S.109) and adapted its extension structures to better serve farmers (S.108).

IDH's approach toward service delivery models leads to a new vision on working with smallholders

The Dutch Development Bank (FMO), CDC Group PLC (formerly Commonwealth Development Corporation) and Proparco have shared their interest to use IDH's SDM methodology to explore how they can invest more in smallholder farmers. The Rural and Agricultural Finance Learning Lab (RAFLL) has contracted IDH to tweak the SDM methodology to financial service providers (FSPs), making it possible to analyze impact and sustainability of the SDMs of FSPs engaged with smallholder farmers (S.111, S.112). Four FSPs have been analyzed so far, resulting in strategy adjustments and enabling one FSP to secure a concessional loan to scale their operations. The most recent issue of the "State of the sector" report contains a full section on IDH approach with SDMs (yet to be published). The Bill & Melinda Gates Foundation (BMGF) engaged IDH to support a rice company in realizing their ambition of sustainably sourcing 1 million tons of paddy rice per annum. IDH used its SDM methodology to conduct a comparative analysis of potential sourcing models, assessing impact on the bottom line of more than 150,000 smallholder farmers as well as the company. IDH's work on SDMs with partners has led to a new program (Farmfit) which attracted a total of 30 million dollar grant through the Department for International Development (DFID) of the United Kingdom and BMGF for supporting farmer inclusive businesses, while Farmfit fund plans to invest 100 million euro (S.110) in inclusive business models.





IDH's approach supports innovation in smallholder inclusive business models [1/2]

IDH has developed a data driven, quantitative approach to analyze the economic sustainability of 'service delivery models' (SDMs). This approach should generate key insights in what works and what does not when operating an SDM. IDH aims to actively work with partners to prototype innovations and further improve their SDMs. The hypothesis is that SDMs will only sustain on the long term when they are good business for the ones that are offering the services and when they have a positive effect at smallholder level, creating continuous demand for the services and as such embed sustainability at business level.

Clear contribution to the development and innovation of SDMs

Since 2015, a total of 39 cases of smallholder service delivery models across 17 countries were analyzed by IDH (S.100). The overall related investment is 610 million euro. In addition to (co-) funding, IDH contributed by providing insights and recommendations for the innovation of SDMs. The majority of these studies are forward looking. In eight cases, historical data was also collected. By 2020, an additional 25 cases, which include historical data, will be analyzed. The forward-looking studies help companies to identify drivers for success and failure, and predict the potential results of the foreseen intervention. An example is the SDM analysis done in collaboration with a coffee trader (S.18) which resulted in an innovation in Uganda. Services to farmers are combined for both cash crops and food crops to drive diversification and enable farmer resilience. The SDM analysis indicated that there was a business model for this since the modeling predicted an increase in loyalty rates and higher productivity (volume) per farmer, with more efficient collection of cherries.

According to an interviewee, from corporate perspective the ability to compare SDMs is the added value of IDH's standardized methodology. Also, the standardized approach supports businesses in effective internal and external communication around interventions, and as such provides businesses with a tool to unlock budget for smallholder engagement activities. According to the sector survey, IDH's ability to co-fund projects is valued by 70% of its stakeholders, where the provision of innovative business cases is recognized by 44%.

Increased sustainable sourcing

Membership of a multi-stakeholder sector initiative often requires companies to commit to a common goal related to sourcing in a more sustainable way. If they live up to these commitments, an increase in more sustainably sourced produce could be measurable.

Most evident example of how a successful multi-stakeholder sector initiative can lead to the uptake of sustainable produce is the BCI. Better Cotton uptake has quadrupled since 2015, from 251.000 MT (2015) to over 1 million MT (2018). More than half of BCI's current members (retailers and brands) have made public commitments regarding sustainable sourcing and according to BCIs reported figures, members are living up to their commitments and increase their sustainably sourced volumes year-over-year. IDH created impact by getting sustainability embedded in the business practices of brands with regard to the sourcing of cotton. IDH's main interventions were the introduction of mass balance and their active involvement in the outreach program to brands and suppliers to make Better Cotton understand the supply chain (S.19).

With regard to the F&I program, results at outcome level have been observed. FSI and SIFAV report an increase in their member base. SIFAV grew from a Dutch initiative with 13 members in 2012 to an international platform with 45 international members in 2017. FSI currently has over 30 members. FSI reports an increase of sustainable sourced plants and flowers by its members (S.98, S.99). Interviews confirmed IDH's contribution to the increased member base and as such (indirectly) to the increase of sustainably sourced produce (e.g. FSI members committed to have 90% of their volume responsibly produced and traded by 2020).

83% of the respondents in the sector survey recognize the adoption of more ambitious sustainable procurement policies; 43% of these respondents acknowledge IDH's contribution in this to the level of much to very much.

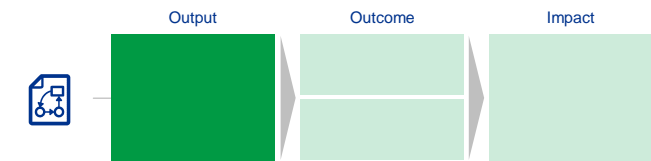
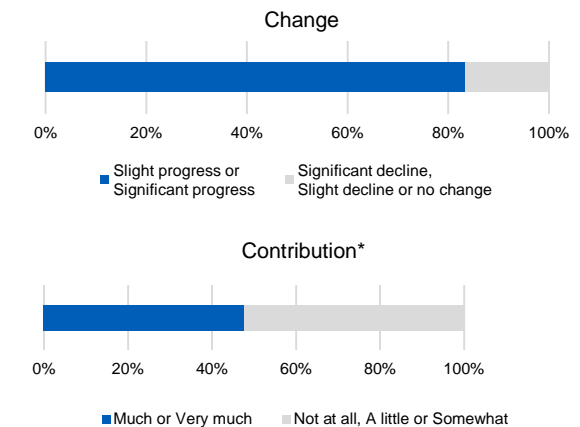


Figure 3.5 Stakeholder perception on change in adoption of more ambitious sustainable procurement policies and IDH contribution to that change (N = 102)



*only respondents who indicated a slight or significant progress are taken into account

IDH's approach supports innovation in smallholder inclusive business models [2/2]

IDH's methodology contributed to the improvement of service delivery models

For three SDM case evidence was shared with us with regard to IDH's contribution to the improvement and scaling of the respective SDM.

In the cocoa SDM (related to FCIP), an important insight was that farmers needed to become bankable, before they could rehabilitate their farms. Without IDH, the delivery of productivity packages would have been more challenging for the company and targets would have been more slowly reached. According to the report IDH had a key role toward business partners in this case by acting as a risk-sharing party with a first loss position (S.2; IDH Innovative Finance Project, 2017). In tea, IDH's methodology led to the improvement of an SDM in tea in Tanzania (S.46); an intermediate assessment of the SDM thus far identified barriers and best practices. The third case comes from the coffee program. Building on a previous SDM case in Vietnam (S.52), IDH contributed to a further scaled and improved SDM with a larger set of stakeholders involved and more integrated services to be delivered. An example of this is the "crop doctor" model which delivers services (like soil testing, fertilizer delivery and credit services) at the farm. Services will be provided as a package rather than in isolation (S.74). Implementation has not started yet. It should also be noted that in some case studies, the future dependency on external funding was flagged as a risk, potentially hampering a long term sustainable model (tea study Rwanda (S.49) and two cases in Fresh & Ingredients (S.30, S.38)).

BCI's approach to service delivery seems ready to replicate

A strong example of a scalable model is BCI's approach to service delivery. Whereas the model in India is still growing, including more implementing partners each year, currently it is investigated by IDH if this model (funding of services of farmers through a fund) could also be successful in other countries (Pakistan) (S.89).

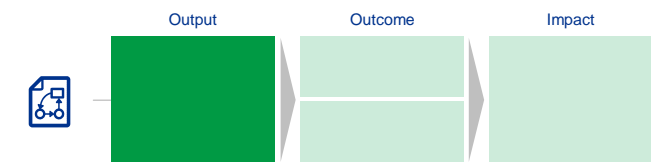
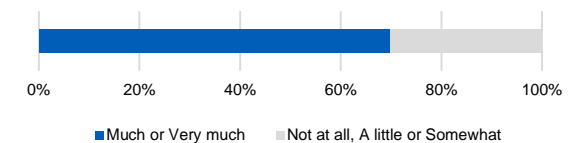
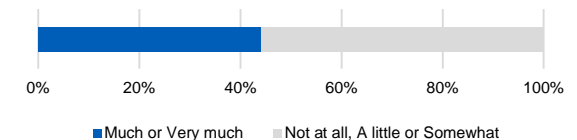


Figure 3.6 Stakeholder perception on IDH effectiveness on co-funding projects (N = 108)



Source: sector survey

Figure 3.7 Stakeholder perception on IDH effectiveness on providing innovative business cases/providing evidence on effective business models for sustainability (N = 102)



Source: Sector survey



Limited evidence of increased yield and adoption of practices

IDH is using interventions to support smallholders to improve their profitability, income, and nutrition. In many of these interventions, smallholders are being trained/coached on good practices to improve their productivity and profitability. IDH aims to increase smallholder resilience by supporting them with diversifying their income sources and providing them access to financial and insurance services. The hypothesis is that when smallholders have access to finance and/or to services, it allows them to implement the good practices adopted through training and coaching.

Farmers benefit from the holistic SDM approach

Across all sectors IDH works in, farmers have or will benefit from combined interventions aiming to make them more resilient toward climate change, food insecurity and encourage responsible use of agro-inputs and, as such, enable farmers to increase their yields, income and household profitability (S.100). The FCIP Annual report 2018 (S.12) states that 45,984 farmers have been provided with financial products and services by financial institutions and 130,627 farmers have been trained and provided with agro-business services. The scope and reach of the capacity building programs of Malawi Tea 2020 (MT 2020) extended over the past few years, with Farmer Field Schools (FFS) as the cornerstone (S.45), also in the tea programs in Rwanda and Tanzania the FFS approach was scaled (S.46).

Evidence base to prove increased yield and adoption of practices not strengthened

The first assessment report concluded that, based on evidence from a limited number of impact evaluations, IDH supported interventions in the tea sector in Kenya, training leads to the adoption of good agricultural practices (S.96, S.97). New studies in cocoa and cotton cannot strengthen this conclusion yet. The impact study 'Market Transformation in Cotton' (2018) (S.12) found that BCI-trained farmers outperform control group farmers in terms of adoption of practices, cotton yield per hectare and higher profits per hectare. Due to methodological constraints (data lack baseline and/or time series and/or counterfactual), these results cannot be contributed to farmer participation of BCI trainings. The Farmer Field Book (FFB) project lacked a baseline as well, hence differences found could not be contributed to the intervention (in this case reception of the productivity package) (S.72). These data gaps have been addressed and additional research is contracted. With respect to cocoa, toward the end line, a broader evidence base can be expected, since two new partners started FFB implementation. Other programs provided anecdotal evidence around adoption of practices, e.g. participants of the Farmer Field Schools (FFS) in the MT 2020 perceive positive results in their farm productivity, adoption of better practices and better quality products. These insights came through a survey in which randomly selected farmers were asked to reflect on their current practices and practices before participating in the FFS. In Vietnam, survey participants reported application of better practices due to the deployment of NSC (S.105). These data face the same limitations as mentioned before, which is also observed from data reported through IDH's RMF. Therefore, these data cannot be used as evidence to prove IDH's contribution to observed change.

Projects executed to promote dietary diversity

IDH supported 'The Seeds of Prosperity Program' (a partnership between Global Alliance for Improved Nutrition (GAIN), IDH and a multinational). This program ran in India, Kenya and Tanzania from 2016 to 2018. The program aimed to incorporate a diverse diet in the lives of 300,000 people in tea farming communities. The results were mixed across locations and populations. The main insights were that more time is needed to change behavior, and that additional interventions are needed to improve access to nutritious foods (S.90). IDH and GAIN together manage the overall Cocoa Nutrition Initiative. Additionally, IDH is co-funding the projects, while GAIN provides technical expertise. For the Cocoa Nutrition Innovation Program (CNIP), three projects were carried out in Ghana in 2018. These projects aimed to support cocoa growing communities in Ghana by promoting nutritious home-grown foods for better health and higher resilience. Participants in the project have changed their dietary habits, and a huge interest in participating in the program was identified (S.13). Results at outcome level can be expected in the end line. Research to monitor and evaluate the FCIP capacity is contracted (S.95).

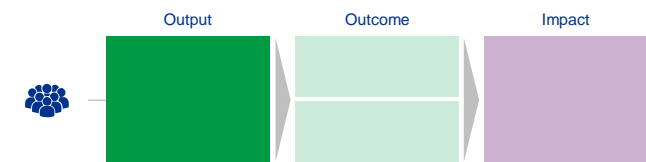
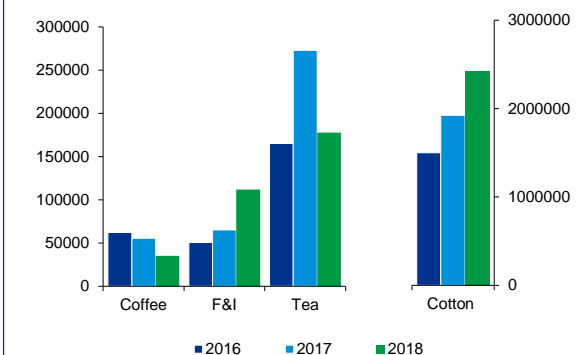


Figure 3.8 Number of producers/workers/community members trained on key subjects for sustainable production, environmental and social sustainability issues *



Source: RMF

* The cocoa program discontinued this KPI per 2017



Ir. Yuca Waarts

WAGENINGEN UNIVERSITY & RESEARCH

Yuca Waarts holds an MSc degree in Agricultural and Environmental Economics from Wageningen University (2003). She works at Wageningen University & Research as a senior researcher in sustainable value chain development, focusing on evaluating the impact of innovations and interventions such as certification, training programs and service delivery aimed at smallholder producers and workers in developing countries, and their organizations. Yuca coordinated on behalf of WUR and in collaboration with KPMG the first assessment report with regard to IDH's program evaluation.



I support the conclusions of this midterm assessment of IDH's work in the field of smallholder farmer inclusion. Looking forward to the end line and with respect to IDH's aims to contribute to the SDGs, I would like to highlight the following.

Evidence gaps around impact are importantly apparent for all three result areas. We identified these during our first assessment, and our recommendations to mitigate these are still valid. Using additional scientific literature will, most likely, not help in solving the knowledge gaps especially with regard to the result areas of improved sector governance and business practices.

It is difficult to link the impact logic to the Sustainable Development Goals, because improving profitability and/or household income does not necessarily lead to less poverty as many smallholder farmers have small acreages of land and prices can be low.

Therefore my suggested approach would be:

Sector Governance:

Focus on what has happened after policies were created and commitments were made (impact level). Whether multi-stakeholder platforms continue to work and be perceived as effective by the stakeholders. More qualitative research that is focused on moving from outcome to impact claim is needed. A good research method for that is in-depth interviews, to capture what has happened after policies and commitments were created, and whether they indeed resulted in actions that can be expected to benefit farmers and workers, and the environment.

Business practices:

Especially the focus on ex post evaluation of SDMs and whether they resulted in actual change for businesses and farmers, and if the SDMs were scalable and replicable. Qualitative research (i.e. interviews) on scalability and replicability is needed to capture the potential large scale impact of the SDM approach. But it is important to assess whether the implemented SDMs benefit the farmers. This is preferably done by third parties, but as many SDMs are implemented and implementing parties are also collecting a lot of information, an approach could be developed to include data collected by implementing parties. However, if doing so, the possibility of bias should be mitigated by agreeing on what data is collected, from which farmers, how the data is collected, by whom, and what the quality checks are in the whole process.

Field Level Sustainability:

To reach IDH's aims, the daily practices of farmers (and workers) should change; determining the adoption of trained practices and other behavioral changes such as investments, more evidence is required, especially for the link between farmer incomes and poverty levels. Focus for this should be on PoCs cocoa and cotton. Considering current IDH investments in these POCs, this evidence gap could be tackled. Qualitative research such as focus groups and behavioral experiments on adoption and other behavioral change adds value to the research, as it helps explain why farmers do what they do and what other factors influence their situation.

SDGs: Include assessments of IDH impact on SDGs in research





4 Mitigation of Deforestation



IDH's approach to achieve change with regard to mitigation of deforestation

Challenge IDH wants to solve

Due to rising global demand for responsibly produced agricultural commodities, businesses and governments in producing regions as well as in consuming markets are increasingly putting sustainability commitments on their agendas. In practice, meeting these commitments has been a challenge. Certification schemes have made progress, but they are typically focused on improving practices within single farms or commodities. That makes it difficult to address water depletion, deforestation or other land-resource management issues on a larger scale. We must think bigger to make a significant leap toward sustainability.

IDH's selected programs and geographies to focus their efforts:

IDH's approach

IDH believes that agricultural production must be sustainable across entire regions, or landscapes. Partnerships are pivotal to our approach. We build coalitions that bring together key stakeholders in a landscape, including governments, businesses, farmers, communities, and civil society organizations. Together, we develop sustainable land-use plans, regulatory frameworks and business models to achieve three interlinked goals — creating areas where commercial and food crops are grown sustainably (Production); forests and other natural resources are sustainably used and protected (Protection); and farmers' and communities' livelihoods are enhanced (Inclusion), thereby contributing to the UN Sustainable Development Goals (SDGs) toward 2030.

PoC: South West Mau Forest and West Kalimantan landscape

For the impact theme of Mitigation of Deforestation, IDH selected the South West Mau Forest and West Kalimantan landscapes as Proofs of Concept (PoC). In West Kalimantan, IDH convenes major palm oil companies that have an interest in delinking palm oil from deforestation, governments and civil society to test various Production, Protection & Inclusion (PPI) models including the non-forest revenue-generating Village Forest commodities (e.g. charcoal from coconut and honey). In addition, the work of IDH helped to set up peat and forest fire prevention measures and the development of an ecological corridor. With these efforts, IDH aims to conserve 190.000 hectares of forest and peatland (directly and indirectly) and improve sustainable agro production on 45.000 hectares.

To protect the South West Mau Forest while contributing to sustainable production of tea and livestock, IDH built a strong coalition with key stakeholders in the landscape. In close collaboration with the coalition, IDH developed an integrated action plan based on forest conservation, improvement of water flow and access to water, sustainable energy, and alternative livelihoods for communities. With these efforts, IDH aims to restore and conserve 60.000 hectares of the forest by 2030.

The activities in these programs need to show that the impact is scalable. In order to conclude whether impact can be seen in these programs, we have assessed sources of evidence provided by IDH, containing both primary and secondary sources related to activities in these landscapes.

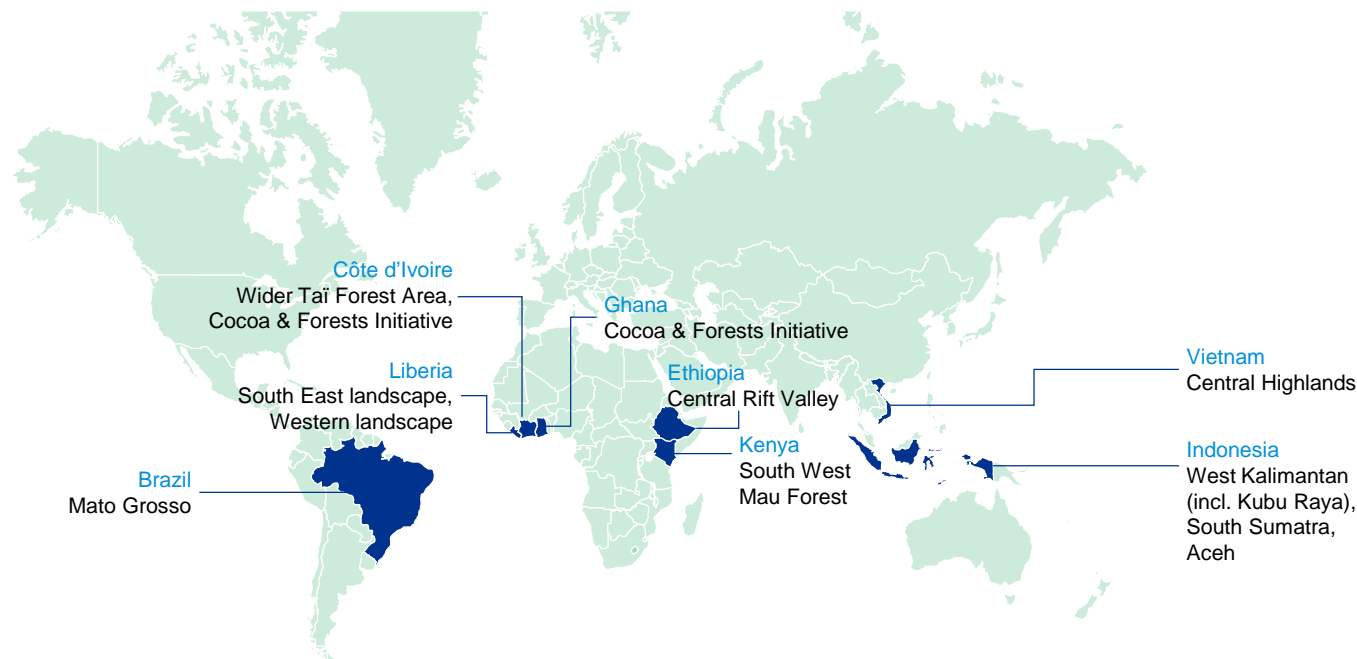


Figure 4.1 IDH selected geographies to focus their efforts *

*These landscape clusters are for the purpose of this research only and aligned with the IDH Landscapes team. In this document, we will refer to (clusters) of landscapes as 'Landscapes'. Although in Ethiopia, the impact focus is not mitigation of deforestation, it does reflect IDH's PPI approach.

IDH's contribution to change expressed in the impact pathway 'Mitigation of Deforestation' [1/2]

In this chapter, we describe to what extent we have found evidence for the envisioned outputs, outcomes and impact, as included in the impact pathway Mitigation of Deforestation. The following impact stories are discussed:

- IDH's efforts in multi-stakeholder coalitions and sector governance plans successfully led to improved land use planning in majority of landscapes
- IDH's contribution evident in obtaining business commitment on both the supply and demand side of the chain
- Strong evidence that improved land use practices across landscapes are driven by IDH-led interventions — first example of impact level results

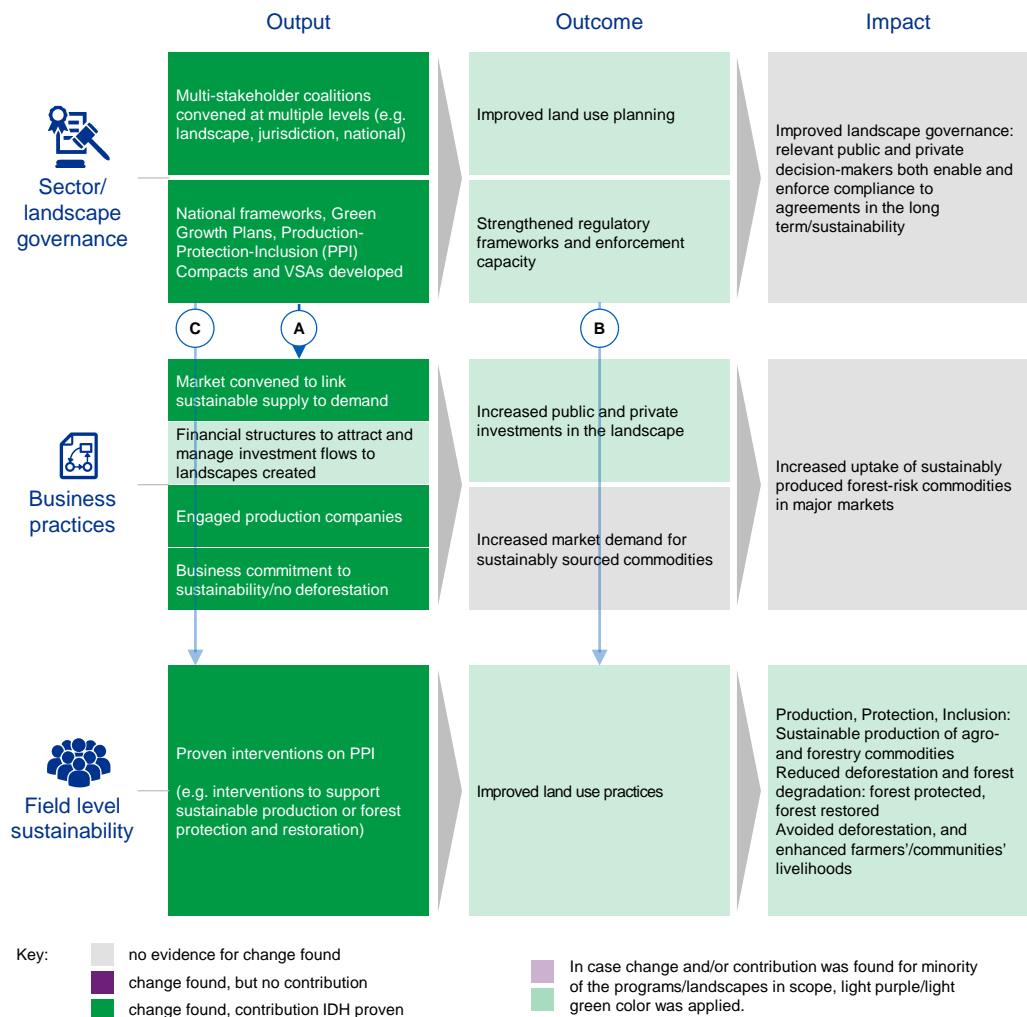
Two considerations, that came to our attention during this assessment, are key before impact at field level (PPI models developed) can be achieved:

- **PPI model developed without impact level within other two result areas.** We observed IDH contributions to positive change on impact level in the West Kalimantan landscape. Impact level results for the other two result areas were not yet observed, which implies that PPI models can be successfully started depending on the specific context of the landscape.
- **Feasibility business practices at impact level within landscape approach.** Increased uptake of sustainably produced forest-risk commodities is for IDH a key precondition for long-term impact, but not necessarily a feasible achievement within the landscape approach contours. On the market end, we have observed that IDH is involved in many activities that could contribute to change, but that these activities are not (yet) linked to specific landscapes.

Outputs or outcomes from one result area can lead to outputs/outcome in another (see impact pathway):

- When sector governance plans are in place backed by a multi-stakeholder coalition, opportunities increase to successfully convene markets and install finance vehicles (A)
- Improved land use planning and strengthened regulatory frameworks/enforcement capacity are enabling improved land use practices (B)
- Proven interventions on PPI in many landscape cases are enabled by sector governance plans in place backed by a multi-stakeholder coalition (C)

Figure 4.2 Final dashboard 'Mitigation of Deforestation'





IDH's contribution to change expressed in the impact pathway 'Mitigation of Deforestation' [2/2]

Weighing of evidence

The overall evaluation of the Landscape program is built up from individual landscape results. The overall dashboard therefore indicates if change and contribution by IDH are observed for a majority (>50%) or minority (<50%) of landscapes.

For each landscape, documentation formed the basis for evidence, and consequently evidence from the RMF data, interviews and sector survey was considered to draw final conclusions.

For **sector governance**, all sources of information indicate that a change and IDH's contribution to change can be observed on output level, interviews covered three of the eight landscapes and confirmed this view for all three. From the sector survey results and documentation, the contribution of IDH to the observed change at outcome level is seen as positive. Together, these insights result in the conclusion that IDH has contributed to a positive change at output level for a majority of its landscapes. At outcome level, we conclude that change and contribution were observed for a minority of the landscapes because the sector survey results were considered as an inconclusive source of evidence due to a limited sample.

For **business practices**, all sources of information together indicate that a change and IDH's contribution to change can be observed at output level. On outcome level, the different sources of information provided evidence for a minority of the landscapes regarding change and contribution of IDH to increased public/private investments. For increased market demand, we found no evidence in the documentation but only in the sector survey results, which is regarded as a source with a limited sample and thus inconclusive.

For **field level sustainability**, the documentation confirms a positive change at output and outcome level. Field level sustainability was not in scope for the sector survey. We conclude that IDH has contributed to a positive change at output level and outcome level for a majority of its programs and moreover, we observed the first indications of the successful contribution of IDH to change on impact level in one landscape.

This is reflected in the dashboard below. On the next pages, the assessed impact stories are discussed in detail, followed by the expert validation.



IDH's efforts in multi-stakeholder coalitions and sector governance plans successfully led to improved land use planning in majority of landscapes

IDH's strategy on sector and landscape governance aims to connect all key players in a sector, including companies, civil society and (local) governments. These players need to have a common understanding of the challenges, the different roles they can play and solutions within the landscape approach. Collectively as a sector, or coalition, they can develop and support policies, tools and governance structures which are expected to enable an environment to mitigate deforestation.

Positive contribution to convening stakeholders and co-creating sector governance plans

Multi-stakeholder initiatives and sector governance plans were supported and aimed at mitigation of deforestation for all landscapes except Ethiopia. A prominent example is the South West Mau Forest in Kenya, where IDH contributed to establishing a multi-stakeholder coalition for holistic landscape management (ISLA Action Plan) (M.39). The documentation and interviews also show that IDH contributed to positive change for sector governance in the cocoa sector. A notable example of this is the Cocoa & Forests initiative (CFI) in Côte d'Ivoire (M.25). Moreover, CFI exemplifies the strong reinforcing effects multi-stakeholder coalitions can have for the development of sector governance plans like national frameworks or Green Growth Plans (M.91).

We conclude that IDH has contributed to a positive change in sector governance for all eight landscapes (M.6, M.14, M.22, M.90, M.27, M.95, M.44, M.73). The only outlier to this regard was the Central Rift Valley landscape in Ethiopia, where a sector governance plan is still under development with a focus on water allocation.

Majority of landscapes show strengthened enforcement capacity with contribution by IDH

According to the impact pathway that IDH has developed, the strengthened enforcement capacity and regulatory frameworks should aim for improved landscape governance. Combatting illegal trespassing through aerial surveillance in the South West Mau Forest has led to improved forest conservation in the Kenya landscape (M.41). The evidence also shows that due to the creation of the PCI Legal Institute, regulatory frameworks have been strengthened for the Mato Grosso region in Brazil (M.96, M.97).

Strengthened enforcement capacity with IDH contribution can be observed for four landscapes (M.90, M.96, M.41, M.76). The RMF data and sector survey showed results for two more landscapes (South Sumatra/Aceh and Vietnam) but because the sector survey results are considered as a limited source, we concluded that there is evidence for change and IDH contribution for a minority of the landscapes.

Clear added value of IDH in the context of improved land use planning

Improved land use planning aims to cause improved sector governance that created an enabling environment for the adoption of sustainable land management practices, among other goals. A notable example of improved enabling environment is how the CFI contributed to the national debate on deforestation, and in particular to the design of a new National Strategy on Forest Protection, Rehabilitation and Extension, and of a new Forest Code (M.90). The West Kalimantan landscape in Indonesia shows that the establishment of the Essential Ecosystem Zones (KEE) gives clarity to private sector partners what land cannot be converted anymore for palm oil (M.85).

Improved land use planning with IDH contribution can be observed for four landscapes according to the documentation (M.101, M.74, M.93, M.88). The sector survey showed results for two landscapes (Kenya and Vietnam). We concluded that there is evidence for change and IDH contribution for a minority of the landscapes.

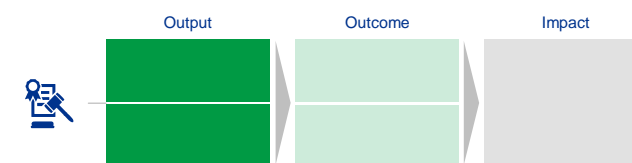
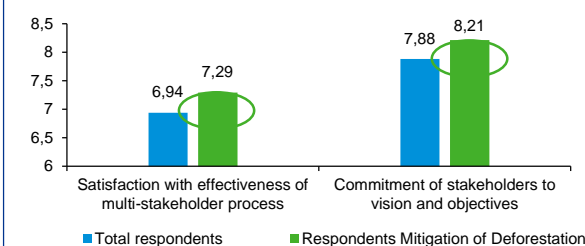
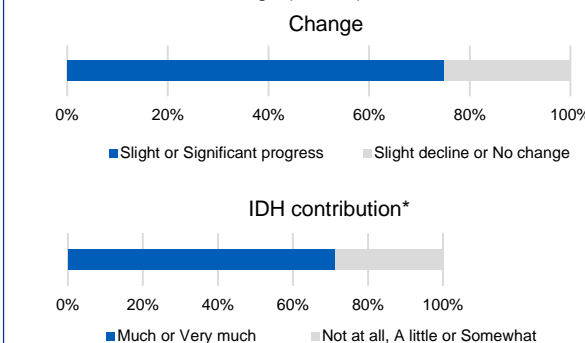


Figure 4.3 Stakeholder perception on IDH effectiveness in multi-stakeholder process (N = 158)



Source: Sector survey

Figure 4.4 Stakeholder perception on change in enforcement capacity related to forestry regulatory frameworks and IDH contribution to that change (N = 28)



Source: Sector survey

*only respondents who indicated a slight or significant progress are taken into account



IDH's contribution evident in obtaining business commitment on both the supply and demand side of the chain [1/2]

For IDH, companies are key to drive change in international supply chains and drive the uptake of sustainably produced forest-risk commodities in those supply chains. Buyers in major markets can change the conditions at which they source their products to demand more sustainably sourced commodities being produced by their suppliers and producers up the supply chain. Moreover, actors on both the supply and demand side of the chain can work together to create finance vehicles that will attract investments to the landscape. Finally, IDH also aims to involve (production) companies in a landscape with the goal of changing their business practices and/or production models.

Clear contribution by IDH in involving both producers as well as buyers regarding sustainable commitments

A first step for IDH to change the practices among both demand-side, as well as supply-side business factors, is to make them commit to sustainability and/or no deforestation. In the last two years, IDH contributed to get these factors engaged and committed. For example, in the Mato Grosso landscape in Brazil, Carrefour started co-funding a project related to calf production in the Juruena Valley (M.87) and in the Central Highlands landscape in Vietnam, Louis Dreyfus Commodities and Lavazza are in a partnership for sustainable coffee (M.29).

We conclude that IDH contributed to positive change for all eight landscapes when it comes to engaging production companies and rendering business commitments to sustainability (M.103, M.14, M.23, M.25, M.29, M.95, M.40, M.76).

Finance vehicles created with IDH support for a minority of the landscapes

In order to make the development of PPI models financially feasible, IDH aims to create different types of financial structures in the landscapes that can attract and manage investment flows. With the launch of the &Green Fund, investments in projects related to inclusive agriculture and forest protection in landscapes in Brazil, Liberia or West Kalimantan are made possible (M.92, M.104).

We can conclude that IDH successfully co-created financial structures in three landscapes (M.96, M.92, M.104). We did not consider co-funding of a project as a stand-alone finance vehicle.

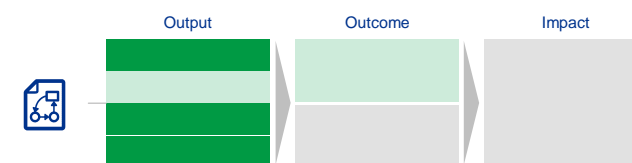
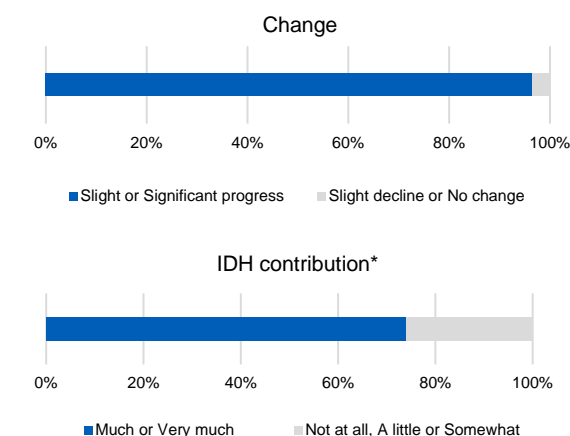


Figure 4.5 Stakeholder perception on change in business commitments/targets for sustainability practices and IDH contribution to that change (N = 28)



Source: Sector survey

*only respondents who indicated a slight or significant progress are taken into account



IDH's contribution evident in obtaining business commitment on both the supply and demand side of the chain [2/2]

Positive results on increased public and private investments with role for IDH confirmed

A key step toward integrated PPI models is increasing public and private investments in the landscapes. We observed increased investments in a majority of landscapes. For example, in the South West Mau Forest in Kenya, financial contributions by Unilever and Finlays were made without a financial structure put in place (M.87).

Two landscapes, West Kalimantan and the South West Mau Forest, show increased investments with contribution from IDH (M.41, M.108). According to the sector survey, increased investments with IDH contribution are perceived for four additional landscapes (Côte d'Ivoire, Ethiopia, South Sumatra/Aceh and Vietnam). For Brazil and Liberia, landscapes we have not (yet) observed sufficient evidence. The RMF provides additional input on change, but does not provide information on the contribution by IDH to this change. Because the sector survey is considered as a limited source, the conclusion can be drawn for only a minority of the landscapes.

Increased market demand at landscape level not yet visible

There is ample evidence on the positive role that IDH played in linking sustainable supply to demand and thus convening markets on output level. In the South Sumatra landscape in Indonesia, IDH supported smallholder palm oil farmers to become RSPO certified in collaboration with the private sector (M. 88). In the West Kalimantan landscape, a charcoal briquette agreement was established between producers and buyers of coconut charcoal with the help of IDH (M.107, M.73).

However, when assessing the increased market demand for sustainably sourced commodities on outcome level, we only found evidence in the sector survey results. We could observe positive changes on the market end regarding increased demand but were unable to reconcile these changes with the activities that happen in the landscapes. A number of landscapes seem well positioned to reach visible increased market demand by 2020, such as Mato Grosso through commitments of Carrefour (M.87) and Côte d'Ivoire and Ghana through the recent business commitments in the Cocoa and Forest Initiative (M.25).

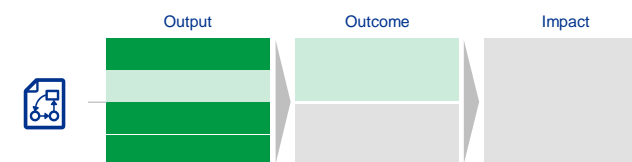
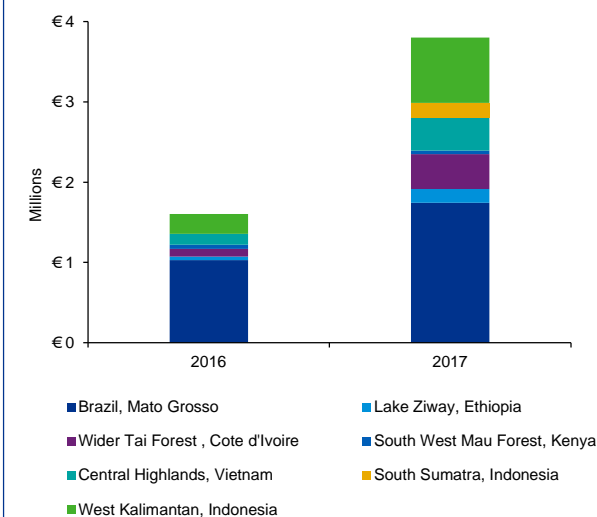


Figure 4.6 Private sector (sustainability) investment in the program



Source: RMF

2018 RMF only reports cumulative results for Cote d'Ivoire, Ethiopia and Liberia. Therefore, 2018 is not included.



Strong evidence that improved land use practices across landscapes are driven by IDH-led interventions — first example of impact level results

At field level, IDH works with implementing partners on projects to successfully intervene based on the PPI model principles. These interventions are often small-scale projects, but have a more direct positive effect on sustainable production while avoiding or reducing deforestation. The results and learnings can also be scaled through activities that are being done at landscape and sector level, and with businesses.

Overall consensus on positive progress for field level interventions

Projects were executed at field level in all landscapes. These interventions, with the aim to, for example, support sustainable production or sustainable forest protection and restoration, vary in scale and focus per landscape. In the Central Highlands region in Vietnam, the FFB was implemented as part of the ISLA facility to make coffee farmers more climate-change resilient, cost efficient and reduce their carbon footprint by keeping daily records of their farming activities (M.27). In the Central Rift Valley in Ethiopia, smallholder fruit and vegetable farmers got GLOBAL G.A.P. certified with the (financial) support from IDH (M.22).

We can conclude that IDH contributed to positive change for all eight landscapes regarding field level sustainability on output level (M.103, M.85, M.22, M.101, M.28, M.95, M.72, M.75).

Majority of landscapes show results of improved land use practices

Improved land use practices are intended to lead to the creation of new sources of revenue for communities, among other goals. That IDH has been successful in achieving this on the ground becomes clear from, for example, the results of the Food Security & Income Diversification (FSID) project in Liberia (M.95). In the South West Mau Forest in Kenya, IDH contributed to training households to rear cattle more productively at home than grazing them in the forest, resulting in increased income levels while reducing deforestation (M.44, M.72).

For six of the landscapes, IDH has contributed to improved land use practices, which is supported by observations from the documentation, interviews and the RMF data related to those landscapes (M.84, M.85, M.101, M.29, M.95, M.41).

First success on proven PPI model visible

The ultimate objective for the rollout of interventions by IDH is to contribute to sustainable production (P), natural resources protection (P), and social inclusion (I) in landscapes. PPI models represent what IDH considers as the ultimate impact of their projects in field level sustainability, confirming that deforestation is avoided, forests are protected and restored while sustainability production is in place. For the West Kalimantan landscape in Indonesia, we have observed the first results of a successful PPI model which implies the positive contribution by IDH to change on impact level (M.85).

The projects to which IDH contributes in West Kalimantan are spread among three different districts, and one of them is Kubu Raya (M.103). In Kubu Raya, IDH works in concessions of coastal forestry and mangroves where the first results are visible in achieving sustainable forestry/NTFP production, enhancing livelihood of communities and forest restoration and protection (M.78, M.85, M.88). It is, however, important to note that the achievement is limited to one project, in one particular area of the landscape, meaning that the score is not representative for the whole West Kalimantan landscape.

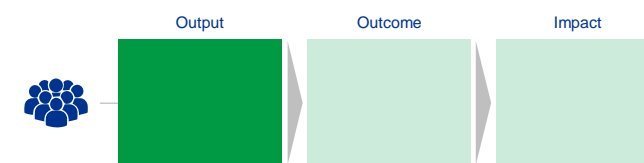
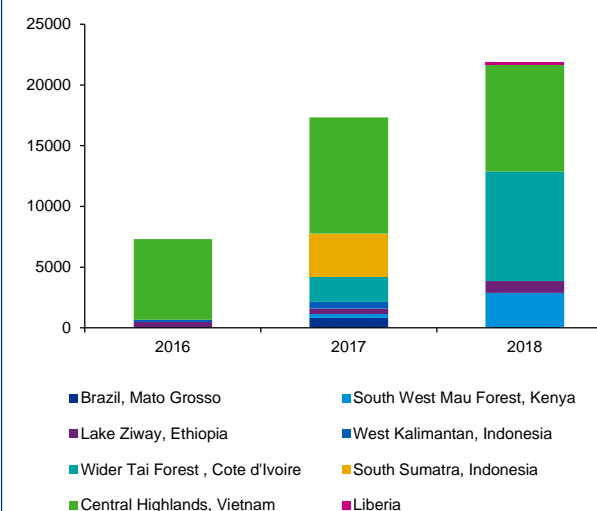


Figure 4.7 Number of producers/workers/community members trained on key subjects for sustainable production, environmental and social sustainability issues



Source: RMF



Dr. Eric Arets

WAGENINGEN ENVIRONMENTAL RESEARCH

Dr. Eric Arets has been working as a tropical forest ecologist at Wageningen Environmental Research for 13 years. His research focuses on interactions between land-use, climate change and ecosystem services and biodiversity. Dr. Arets also worked at the Netherlands Environmental Assessment Agency (PBL) where he worked on a global biodiversity model and on species distribution models in relation to climate change. Before joining Wageningen Environmental Research, Dr. Arets worked at Tropenbos International. He received his PhD from the University of Utrecht, where he studied long-term responses of populations and communities of trees to selective logging in tropical rain forests in Guyana.



In general, the approach used for assessing and scoring available evidence is an excellent approach for evaluating the large amounts of different documents and studies of varying quality. In the impact pathway, IDH addresses the most important drivers, both at the local, national and international level regarding mitigation of deforestation. At the output and outcome level, the impact pathway is believed to be feasible and recent academic research has not rendered new insights that could cause a reconsideration of the intervention logic. Nevertheless, still the uncertainties regarding impact level effects and local circumstances, mentioned in the first assessment report on the existing evidence remain relevant.

To further understand and demonstrate the outcome and impact of their work, I recommend IDH to invest in tailor-made impact studies that would strengthen the evidence base for improved land use planning, improved land use practices and impact level results. For improved land use planning, additional evidence should be collected by IDH, e.g. showing the actual land use plans.

Currently, I would assess the strength of the evidence for improved land use practices across all landscapes to be very limited and in some cases circumstantial and not always very convincing. This is crucial since assessing the field level impact in terms of reduced or avoided deforestation or forest degradation will be an important part of the overall proof of IDH's concepts. Therefore, IDH should take care that this information is collected at least within the PoC impact studies.

Overall, gathering evidence on impact level for all result areas can be a challenge especially when this relates to long-term impact. Furthermore, separating the 'PPI' components in the impact logic would support to better reconcile findings in the literature with observations on PPI.

Making progress along the steps of the impact pathway can become more feasible if IDH would tackle a number of challenges. These challenges include boundary setting of definitions per landscape, developing baseline data to improve impact measurement and taking into account the (market) conditions shaping the context in which deforestation happens in the landscapes. A more explicit definition of 'success' for IDH in the mitigation of deforestation could support focused progress.





5 Gender Equality and Empowerment



IDH's approach to achieve change with regard to gender equality and empowerment

Challenge IDH wants to solve

In many sectors that IDH engages with, women play a role in the supply chain; for example, through production of food crops and sales of cash crops, employment as workers on commercial farms, and as traders and processors. However, often women suffer from fewer opportunities to progress and are more vulnerable to exploitation. At this moment, women make up around 43% of the agricultural labor force in developing countries, and even more women are employed in agriculture globally (70% in South Asia and 60% in Sub-Saharan Africa). Despite this, fewer than 20% of the world's landholders are women.

IDH's approach

Gender is a key impact theme in IDH's 2016–2020 strategic plan, in which IDH set out to embed gender equality into its transformation strategy. So, what does IDH aim to do? First and foremost, through its interventions, IDH commits to do no harm. This is the practice of ensuring that existing gender relations and dynamics within the scope of the program are not negatively influenced or affected. IDH will consider how women and men participate in and benefit from these interventions, and strive to benefit both and harm neither. Besides this, IDH will focus on increasing gender awareness throughout the organization and its work, and aims to integrate gender in selected sectors or landscape programs.

The IDH approach to gender equality and empowerment comprises three core elements — gender in IDH's internal organization + gender awareness in all IDH programs + gender transformative activities (i.e. addressing gender imbalances and changing gendered power relations, actively building equitable social norms and structures) in selected programs.

IDH selected programs and geographies to focus their efforts:



PoC: Improved company policies in the Kenyan tea sector on gender and GBV

For the impact theme of Gender Equality and Empowerment, IDH selected 'Kenya Gender Empowerment Platform (GEP)' as Proof of Concept. IDH has involved in this initiative five of the largest tea producers in Kenya, thus reaching over 38.000 workers. The activities in this program need to show that the impact is scalable. Through the GEP, partners report on the program ambition of significantly reducing the occurrence of Gender-Based Violence (GBV) in the Kenyan tea industry by 2020, as well as establishing safe spaces in the Kericho region. The program is currently being updated to have a broader narrative capturing all the gender interventions across the tea program in Kenya, Malawi and India.

Figure 5.1 IDH selected programs and geographies to focus their efforts

IDH's contribution to change expressed in the impact pathway 'Gender Equality and Empowerment' [1/2]

In this chapter, we describe to what extent we have found evidence for the envisioned outputs, outcomes and impact as included in the impact pathway Gender Equality and Empowerment. IDH wants to include gender also in its own organization as a pre-requisite for change at program level. We have assessed the changes at IDH Corporate as well. The following impact stories are discussed:

- Initial multi-stakeholder initiatives established, sector-wide gender policy in Malawian tea sector
- Small-scale changes in business practices visible
- At field level, IDH is working on gender-sensitive activities (i.e. focusing on the different needs and constraints of women and men without changing the status quo) in several sectors

Two elements are key before impact at field level, improved livelihood through addressing gender equality, empowerment and balance, can be achieved:

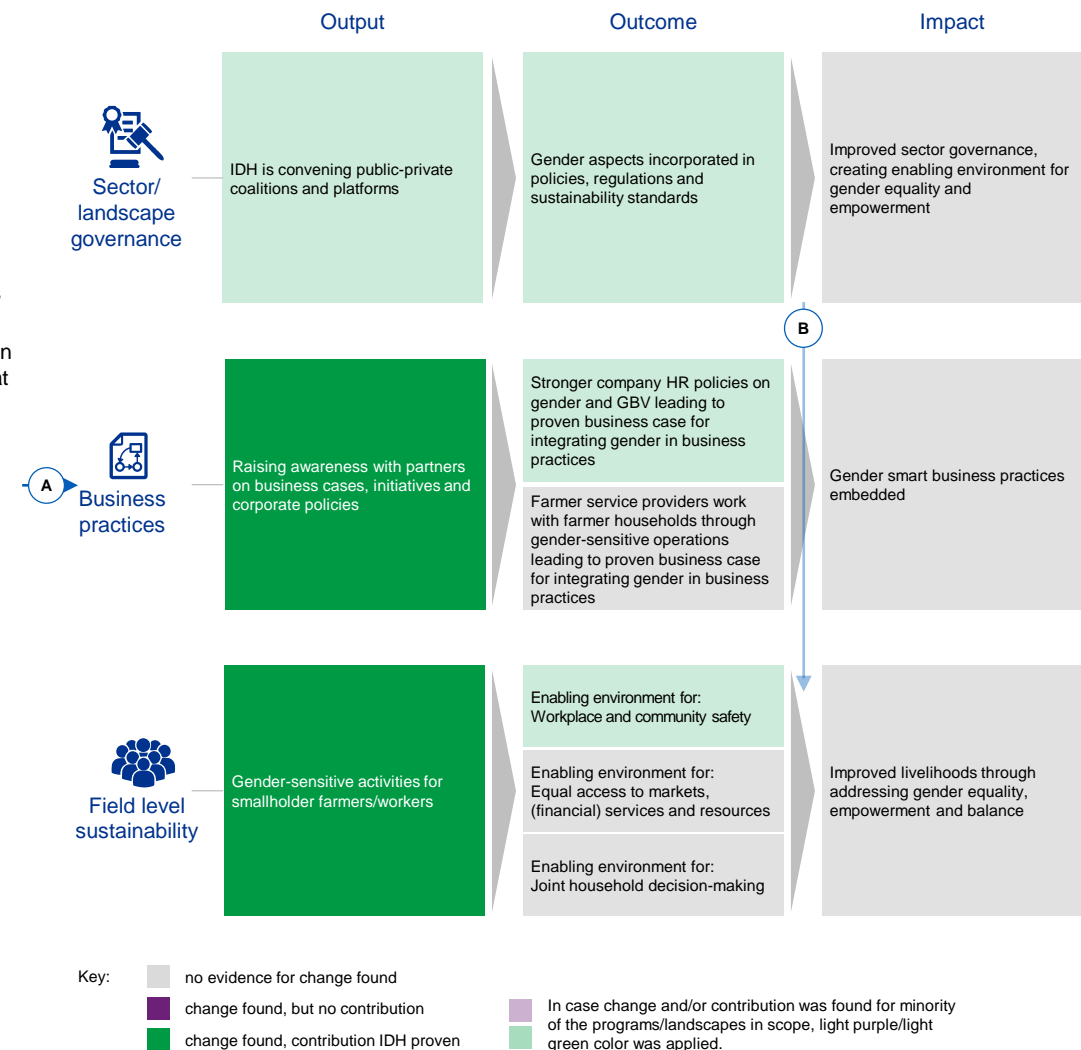
- Improved sector governance: A common understanding of the required changes in sector structures and corresponding policies needed to enable more gender equality and empowerment.
- Existence of enabling environments at field level are crucial. The (cultural) setting and environment in which the farmers and producers live need to change in order to achieve the deep rooted impact that IDH is aiming for.

Output or outcomes from one result area can lead to outputs/outcome in another.

Gender awareness in the internal IDH organization will lead to better and more impactful gender interventions in the IDH programs (A).

Developing clearer and better (certification) standards will raise awareness and potentially lead to changes in business practices, resulting in changes in gender equality for farmers and producers (B).

Figure 5.2 Final dashboard 'Gender Equality and Empowerment'





IDH's contribution to change expressed in the impact pathway 'Gender Equality and Empowerment' [2/2]

Weighing of evidence

On **sector governance** level, the documentation points toward a positive change and IDH contribution in the tea sector on both output and outcome level. The sector survey insights indicate that respondents perceive increased awareness regarding gender-sensitive topics with limited influence from IDH. The interviewees mention progress being made at the output level in the flowers sector through IDH's convening power, with outcome results supported by the documentation. We, thus, conclude that for tea and flowers IDH has positively contributed toward change up to outcome level, with impact level not yet reached.

For **business practices**, all sources indicate a positive change at output level in tea, flowers, cotton, cocoa, and coffee, with both documentation and interviews advocating for IDH contribution. At outcome level, both the documentation and the sector survey results show a change. The contribution of IDH can be seen in the documentation, whereas the sector survey results are not clear about the contribution of IDH. As these results provide less context, we have aligned our conclusions with the evidence from the documentation. The evidence does not show a change at impact level yet.

For **field level sustainability**, both the documentation and the interviews show that, at output level, IDH has positively contributed toward change in more than half of the involved programs (cocoa, coffee, flowers and tea). The interviewees indicated this has not resulted in a change at outcome level yet, while the documentation points toward change and IDH contribution regarding gender transformative HR policies in the flower sector. Note that this result area was out of scope for the sector survey. It is still early to draw decisive conclusions regarding the impact of IDH interventions as IDH is aiming to change behavioral aspects in this impact theme.

This is reflected in the dashboard on the previous page. On the next pages, our assessment of IDH Corporate as well as the assessed impact stories are discussed in detail, followed by the expert validation.

IDH Corporate — activities completed, initial results visible

The IDH gender strategy (developed at the end of 2016) focuses on three pillars — gender integration in IDH's own organization, gender awareness in all IDH programs and gender transformative actions in selected programs. IDH expects that impact in its programs can be reached when awareness on gender is raised with the IDH staff and implementing partners. Several activities were set up to integrate gender better into IDH's own organization.

Tools to raise awareness and support IDH staff members

Multiple tools were developed to raise awareness with IDH staff and support them to include gender into their programs. A gender toolkit was developed and a gender database with documents to support gender inclusion is used across the organization (G.18). In the Internal Investment & Findings Note, IDH staff needs to answer how gender aspects are addressed in the project (G.19).

Gender included in IDH governance structures

Gender awareness sessions were held with the cocoa, coffee, Fresh & Ingredients and landscape program teams in both 2017 and 2018, as well as an open session in 2018 which employees could join to learn more about the topic and develop recommendations to improve gender issues in the internal IDH organization (G.37). A gender working group was established in 2018 to advise HR (G.34). Furthermore, a strategy document on gender diversity and inclusion was developed, with recommendations to increase female representation in senior management (G.32). We have not yet seen evidence that these activities have already resulted in a change in HR practices or policies.

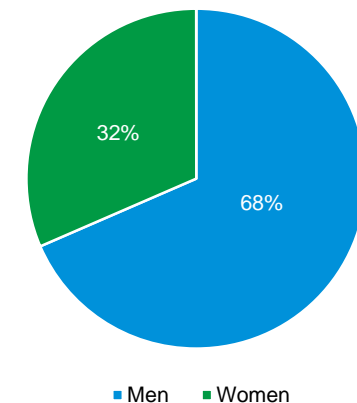
Activities in local offices related to gender

In India and Cote d'Ivoire, the local IDH offices have engaged a gender expert to further increase knowledge of the local team and key partners (G.28). In Cote d'Ivoire, the activities of this gender expert include supporting the team with knowledge and practical skills, assisting in developing a guide to build on the IDH Gender Toolkit, and helping integrate gender in the cocoa/landscapes program and activities. So far, two workshops were held on what gender means and how to integrate gender. One of these workshops was targeting implementing partners and one was targeting private sector partners. IDH staff from the Cote d'Ivoire country office joined these workshops.

A gender work plan for the IDH program in India was developed, which includes the organization of a gender workshop for implementing partners in the cotton sector in India, external communication, gender analysis and outreach.

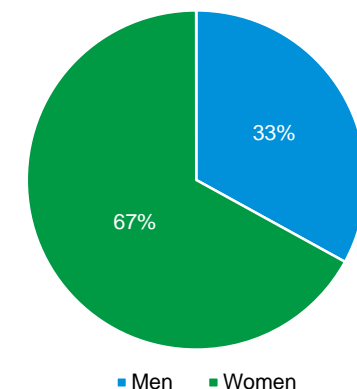
Raising awareness on gender with implementing partners is included in the impact pathway related to a change in business practices and will therefore also be discussed later in this report.

Figure 5.3 IDH Global Leadership Team



Source: IDH internal data (2018)

Figure 5.4 IDH Workforce (Utrecht Office)



Source: IDH internal data (2018)



Initial multi-stakeholder initiatives established, sector-wide gender policy in Malawian tea sector [1/2]

IDH's strategy on sector governance aims to connect all key players in a sector, private sector, civil society and when relevant, (local) governments. These players need to have a common understanding of the challenges, the different roles they can play and solutions to improve the gender equality. Collectively, as a sector, they can develop and support policies, tools and governance structures which are expected to create an enabling environment for more gender equality and empowerment.

Gender specific coalitions are established in the tea and flower sectors

IDH has convened coalitions and platforms focusing on gender issues in the tea and flower sector. The Gender Empowerment Platform (GEP) was launched in Nairobi in June 2017, and includes players from the Kenyan tea industry, including the key private sector stakeholders, as well as NGOs (Ethical Tea Partnership (ETP) and Gender Violence Recovery Centre (GVRC)) (G.23). Finally, Business for Social Responsibility (BSR) and UN Women support the platform, either as implementing partner or advisor. Contact with local government was established, with concrete cooperation yet to occur. Since the establishment of the GEP, IDH organizes GEP meetings quarterly and acts as a coordinating body to bring all the stakeholders together. The GEP focuses on the ambition of significantly reducing the occurrence of Gender-Based Violence (GBV) in the Kenyan tea industry by 2020, as well as establishing a safe space for GBV support in the Kericho region. These are expected to materialize since the convening activities offer a foundation for concrete initiatives.

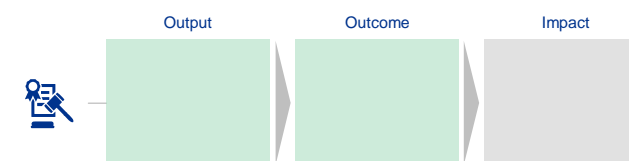
In the tea sector in Malawi, IDH has set up the broad multi-stakeholder initiative Malawi Tea 2020. The main focus of this initiative is on living wages, but the Malawi Tea 2020 roadmap includes gender in the motivated workforce pillar which is led by the Tea Association of Malawi (TAML), and supported by IDH (both strategically as well as through funding) (G.25).

In the flower sector, a gender working group has emerged as part of the Floriculture Sustainability Initiative (FSI) (G.13, G.27). The working group consists of the NGOs Hivos, BSR, Partner Africa and IDH. This working group supports the gender activities that are being done by FSI, such as working on gender criterion to be included in the benchmark of flower standards, support the IDH4Gender event organization and support the gender activities in the flower sector in Ethiopia.

A sector-wide partnership was also established in the cotton sector in India. In July 2018, a Memorandum of Understanding has been signed between IDH and SEWA (Self Employed Women's Association), a trade union of self-employed women workers in India, with the aim to provide support to the members of SEWA through technical support, enabling access to finance, facilitating the train-the-trainer program for SEWA master trainers, and implementing gender equality training modules where applicable (G.10). The evidence does not show that any of these activities has already happened. This will be further investigated in the end line review.

A sector-wide gender policy was implemented in the Malawian tea sector

In December 2017, a gender equality, sexual harassment and discrimination policy was launched by TAML (G.39). This policy was adopted by every TAML member tea estate in Malawi and trainings were given during the roll-out of the policy (still on-going at the moment). IDH has supported the development of this gender policy, together with other partners. The development and implementation of the TAML gender policy happened as part of the activities of the Malawi Tea 2020 initiative.



Initial multi-stakeholder initiatives established, sector-wide gender policy in Malawian tea sector [2/2]

Activities to strengthen gender aspects in flower standards

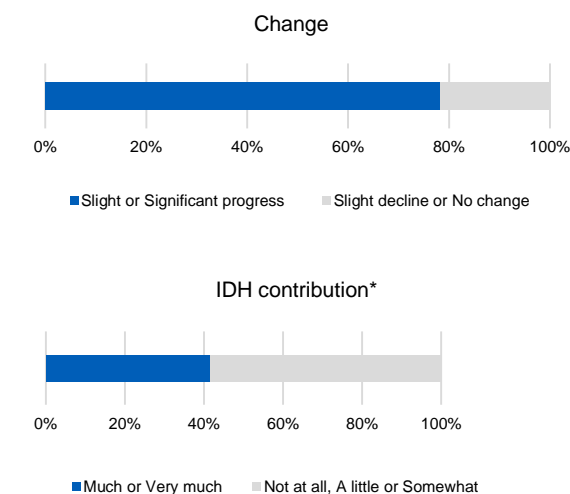
After the efforts of the FSI gender working group, there is the intention to strengthen gender aspects in the benchmark of the ITC Standards Map, a collection of over 150 standards, codes of conduct and audit protocols addressing sustainability hotspots in global supply chains (G.15). If this is integrated into the benchmark, it is expected by IDH that the certification standards will strengthen their (gender) criteria.

Industry ahead of government change

Insights from the sector survey show that a large majority of respondents (78%) from the flowers, tea, apparel, cocoa, coffee, and cotton sectors indicate that gender aspects have been incorporated into policies, regulations and standards in the last two years. From these respondents, 40% indicated that there was much or very much contribution from IDH to this change. Respondents think there are more industry initiatives on gender equality and empowerment compared to public sector changes. However, they comment that it is still the early phase of change and even though there is more attention for women's empowerment and gender equality visible, in practice limited progress has been made so far.



Figure 5.5 Stakeholder perception on change in incorporation of gender aspects in policies, regulations and sustainability standards and IDH contribution to that change (N = 97)



Source: Sector survey

*only respondents who indicated a slight or significant progress are taken into account



Small-scale changes in business practices visible [1/2]

For IDH, companies are key to drive change in international supply chains and improve the gender equality of workers and producers in those supply chains. Brands and retailers can change the conditions at which they source their products to demand more sustainable practices being used by their suppliers and producers up the supply chain. They can also change the HR policies in their own company to be stronger on gender and gender-based violence. Service providers working with farmers can do this in a gender-sensitive way. When this is carried out structurally and embedded in company processes, IDH believes they have achieved the impact they are aiming for.

Awareness on corporate policies was raised with partners in the tea and flower program

Various activities were undertaken to raise awareness with partners on business cases, initiatives and corporate policies in the tea and flower sector.

IDH organized the IDH4Gender event, which brought together 55 stakeholders from the flowers and tea sectors to discuss how to integrate gender into their supply chains (G.14). The event was attended by scheme owners, farm managers and HR managers and included discussions on the business case for gender inclusion, corporate policies and different initiatives related to gender equality. IDH commissioned a gender business case evaluation, which was discussed during the IDH4Gender event (G.12).

Furthermore, IDH has developed materials to raise awareness on Gender Based Violence (GBV). Together with two private sector partners, a plantation roadmap for tea companies that want to address GBV was developed, as well as a Common Training Manual to address GBV (G.21, G.22).

Trainings were given to farmer service providers

In the summer of 2018, gender sensitization workshops were held for 1835 field facilitators from 18 implementing partners in the cotton, grapes and spices program in India (G.37). In Côte d'Ivoire, a workshop was held with companies and implementing partners of the Farm and Cooperative Investment Program (FCIP) to establish common understanding of what gender means within the program context and how to further integrate it into program interventions (G.4).

First results visible in flower sector on change in HR policies

As a result of the project IDH is undertaking with Ethiopian Horticulture Producers and Exporters Association (EHPEA) in the Ethiopian flower sector, positive change is visible on the adoption of stronger HR policies on gender (G.31, G.44). In the last two years, gender committees were established at 11 farms, on top of the 20 farms that had already established them in the pilot project in 2014–2015. Since 2017, eight farms have adopted a gender policy and reporting procedure bringing the total number of farms with an adopted gender policy at 20. Finally, gender policies have been developed at three more farms but are still in the process to be fully adopted by the farm. Although the evidence states that a mix of interventions and partners have resulted in the change in business practices, it is clear that IDH had a contribution to the change by funding the activities as well as providing expert advice.

IDH has also commissioned a business case report to be performed (G.12). This report concludes that it is difficult to find a direct correlation between the gender interventions and the business indicators, but that at some farms labor productivity increased and that there were positive results for workers (such as more satisfied and motivated workers, more healthy workers). The business case in strict economic terms is therefore difficult to prove, but there are benefits for the workers noticeable as a result of the EPHEA project.

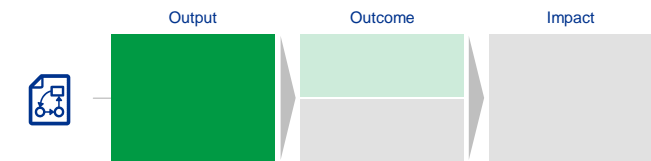
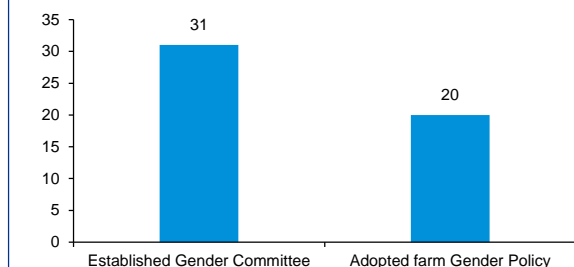


Figure 5.6 Number of farms that have adopted gender practices within the EHPEA Empower the Source program



Source: Interviews IDH staff.



Small-scale changes in business practices visible [2/2]

In the Kenyan tea sector, company policies have been updated to become stronger on gender and GBV, but it is difficult to attribute them to the efforts of IDH (G.23). The companies involved in the Gender Empowerment Platform seem to have been updating their policies before the establishment of the platform, due to negative reports and documentaries regarding gender and GBV (G.33).

Contribution of IDH to changes in gender policies needs further evidence

According to 68% of the sector survey respondents from the six programs where IDH is working on gender (flowers, tea, apparel, cocoa, coffee, cotton), there has been progress in the last two years on the adoption of HR policies on gender and gender-based violence. Out of the respondents indicating a positive change in this aspect, 40% of them attribute this change to the support of IDH, 60% indicate that IDH did not contribute to the change, or only to a limited extent. The interventions of IDH focused on gender policy changes are mainly happening in the flowers and tea sector, and the sector survey results from these programs show similar results.

No impact research was done yet to determine the role and contribution of IDH to the changes in business practices. We, therefore, expect that the end line impact evaluation can elaborate further on the changes in this result area.

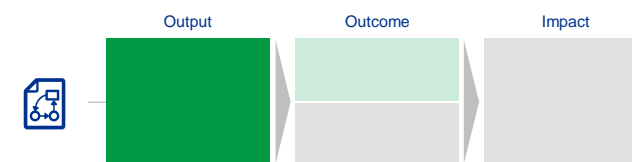
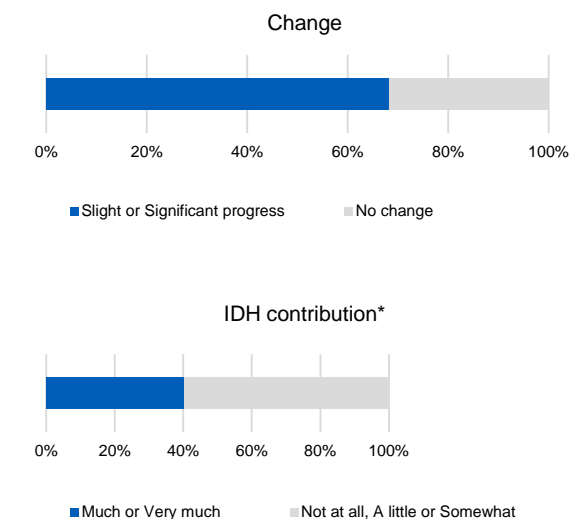


Figure 5.7 Stakeholder perception on change in HR policies on gender and gender-based violence and IDH contribution to that change (N = 98)



Source: Sector survey

*only respondents who indicated a slight or significant progress are taken into account



IDH is working on gender-sensitive activities in several sectors [1/2]

At field level, IDH works with implementing partners on projects to improve livelihoods of men and women through addressing gender equality, empowerment and balance at factories, estates and farms. These are often small-scale projects, but have a more direct positive effect on the lives of the workers and producers. The results and learnings can also be used in the activities that are being done at sector level and with businesses.

Gender-sensitive activities in the cocoa, coffee, flowers, and tea programs

IDH supported gender-sensitive activities in the cocoa, coffee, flowers and tea programs. Gender-sensitive activities for smallholder cocoa farmers have been done in Côte d'Ivoire. IDH supports Advans as one of the 11 companies in the Farm and Cooperative Investment Program, to train women on financial management. This program has reached over 3.000 farmers (G.4).

In the coffee program, seven projects are now including gender awareness into their training programs, reaching around 40.000 farmers (G.46). IDH has also supported the Ethiopian Horticulture Producers and Exporters Association (EHPEA) in their gender interventions (G.31). IDH has contributed to the gender-sensitive activities for workers by providing funding and expert advice. The activities focused on a review of company policies, development of grievance mechanisms, establishment of Gender Committees and training of managers and workers. In several tea-growing countries, IDH is also working on gender-sensitive projects, with activities reaching over 73.000 farmers and workers (RMF Data). With IDH support, Unilever Tea Kenya aims to increase the financial literacy of its employees, as financial literacy or financial inclusion is often identified as one of the drivers of GBV. Together with James Finlays Kenya, IDH started a project in 2017 to work on GBV awareness, GBV policy awareness, female leadership and financial literacy (G.33). Furthermore, due to IDH's convening role in the Kericho region, plantation workers and smallholders are expected to have access to safe spaces where they can receive both information and GBV-related support (G.23).

IDH intends to include gender-sensitive activities in Assam, India in the second phase of a project with UNICEF (G.24). This project aims to scale up the child protection model and expand the focus to address a broader range of issues affecting women, children and the community as a whole, including health, nutrition, education, WASH (water, sanitation and hygiene) and business practice change. However, we have not seen evidence that the activities of this second phase are already performed. This will be further looked into in the end line evaluation.

Gender is being monitored in the apparel sector in Vietnam

Gender equality awareness is monitored in the Race to the Top (RttT) program in Vietnam (G.1). However, there is no evidence yet whether the RttT program has a positive or negative change to the gender equality awareness. Specific gender equality and empowerment activities are not yet included in the program, but the program does aim to build capacity of workers — among which the majority are female. 70% of the total number of workers trained by the RttT program on lean productivity and worker engagement consisted of women. The program decided in 2018 to create an app to further facilitate access to training and communication with a focus on gender issues. This e-tool is currently being developed (G.2).

Further outcomes expected in the cotton sector

The IDH cotton program focuses on the implementation of the Better Cotton Initiative (BCI). Gender awareness is a component of the BCI training. Furthermore, two gender analyses were executed. In the Indian state of Maharashtra, a gender analysis was done with the aim to build a better understanding of the gender roles in cotton cultivation to identify blind spots, sensitivities and opportunities in engaging with women and informed strategies (G.8). The gender analysis in Mozambique aims to understand the different roles men and women play in the different program intervention areas and how IDH's program is empowering them, especially women, through its various interventions and where can this be further improved to ensure that project interventions are gender sensitive and inclusive (G.11). Further outcomes are expected by IDH as these analyses improve intervention models to maximize social impact.

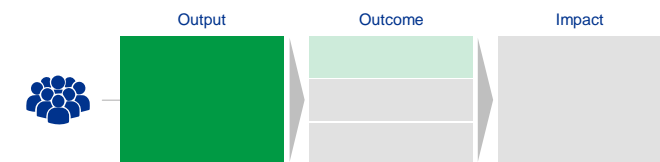
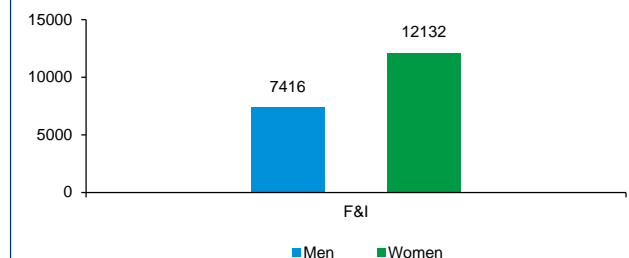


Figure 5.8 Number of producers/workers/community members trained on gender-sensitive topics



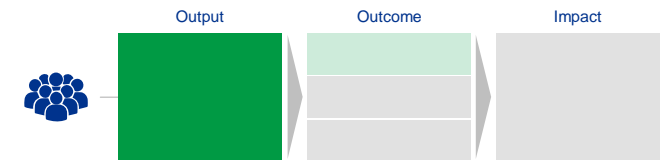
Source: IDH Annual Report 2017.



IDH is working on gender-sensitive activities in several sectors [2/2]

The activities have resulted in improved workplace safety in Ethiopian flower sector

Gender-sensitive activities in the flower sector in Ethiopia have resulted in improved labor conditions and health and safety affecting women, improved gender awareness and position of women and increased confidence and skills of women (G.12). The evidence states that "A mix of gender interventions and other measures taken by the farms and undertaken by projects (EHPEA and others), as well as external factors, have contributed to the above-mentioned changes." It is clear that IDH had a contribution to the change by funding the activities as well as providing expert advice. In the end line evaluation, we will look further into the role of IDH in the improved enabling environment for workplace and community safety in the Ethiopian flower sector.





Dr. Anna Laven

KIT ROYAL TROPICAL INSTITUTE



Overall, I find that the evidence is generally correctly assessed, including the justification.

I noticed that quite some evidence only relates to one single step in the impact pathway, and some of the evidence is shallow. This is a pity, I would have expected that IDH would have been able to provide a clearer overview of the interventions they are doing and the outcomes and impact they are reaching in relation to gender. It is not clear how to assess the implications of this. Are some programs less targeted than others or is there a mismatch in the way evidence is being collected?

A core component of IDH's gender strategy is the 'do no harm' aspect. Although it is a minimum goal for IDH, it is difficult to safeguard as gender interventions can involve cultural resistance and unintended consequences. The evidence has not shown how and to what extent IDH has tried to safeguard the 'do no harm' principle, nor has there been any research done into the potential unintended consequences of IDH's interventions. 'Do no harm' needs to be properly understood and embedded into all of IDH's programs. One example is the activities in the apparel sector, where I conclude, based on the provided evidence, that gender is not seriously addressed and therefore 'do no harm' is not safeguarded.

I am pleased to see that IDH is on a growing curve as it is learning from its initiatives on the different facets of the gender implications. Especially in the tea program in Kenya, I think there can be more appreciation for the work IDH has been doing to address gender based violence, which is a highly complex issue. IDH has showed to be responsive to challenges and able to change its approach when needed. This shows a certain maturity, that can be more strongly highlighted in the text. As organizations, they can improve on disseminating their learnings.

No evidence was provided on how the Gender Toolkit is used and whether it results in positive changes. This is a pity as I know that the toolkit is well received by stakeholders. I was also surprised to see that the impact logic did not include nutrition aspects, as it is known for them to be relevant in gender equality and empowerment.

IDH has a set of characteristics that give it a high potential to drive gender transformative activities. The fact that they have the resources, knowledge, convening power, and independence from local governments, has enabled IDH to have great success in working with companies and being a catalyst 'on the ground'. It needs to further capitalize on this, while integrating gender into its daily activities. I would have expected that every program would integrate gender, that all reporting is done in sex-aggregated way and that all programs have specific gender ambitions.



Anna Laven is a social scientist with 15 years of experience in research and advisory services in sustainable development. Her expertise includes sustainable cocoa, inclusive development, gender and value chains and knowledge management. For the last 11 years, she has been a senior advisor in Sustainable Economic Development at the KIT Royal Tropical Institute in Amsterdam, the Netherlands — an independent knowledge institute that contributes toward inclusive societies.



6 Responsible Agrochemical Management





IDH's approach to achieve change with regard to responsible agrochemical management

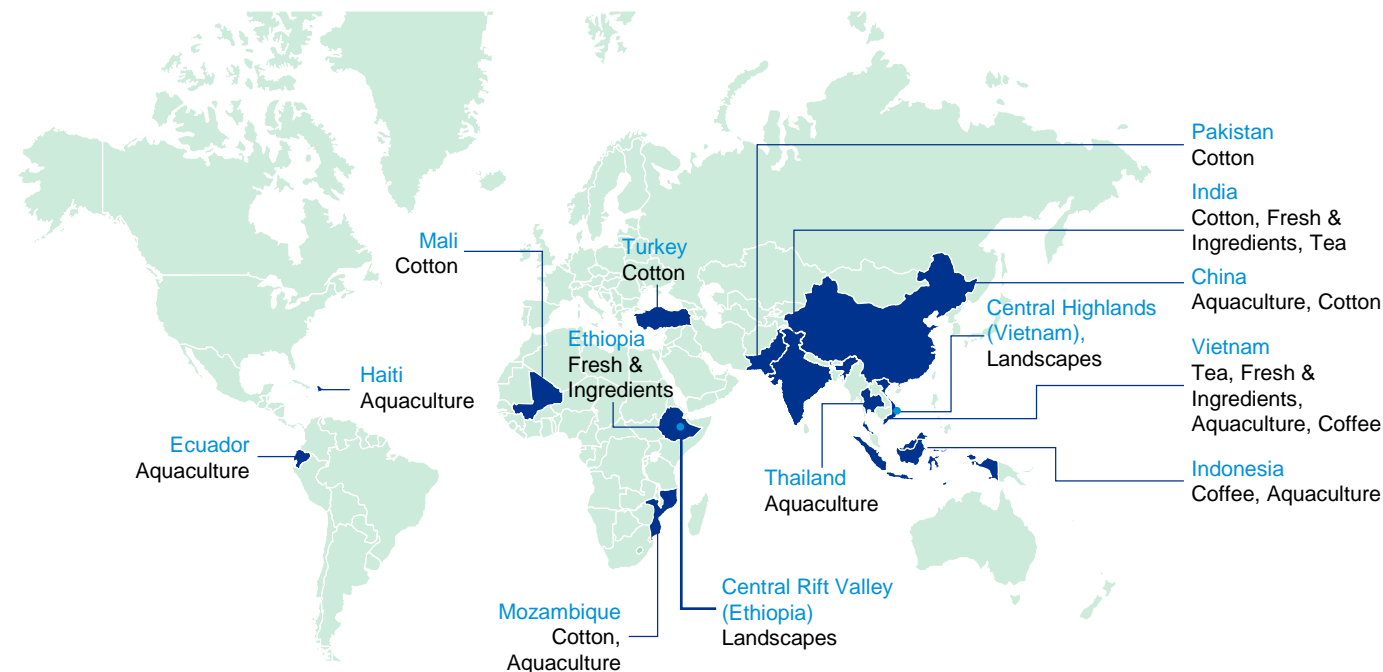
Challenge IDH wants to address:

The indiscriminate use of agrochemicals on crops can contaminate water and soil and threaten crop production, putting the livelihood of millions of farmers at risk. Heavy use or overuse of agrochemicals can also be harmful to the farmers and workers applying them, and to consumers who come into contact with pesticide residues in food. Agricultural value chains in turn have reasons for concern, as there are potential reputation risks in not addressing these issues, specifically regarding non-compliance to regulations on maximum pesticide residue levels acceptable for public consumption. Exceeding the maximum pesticide residue level also hampers trade.

IDH's approach

To cultivate responsible agrochemical management, through the adoption of Integrated Pest Management principles and strategies, IDH's approach begins at the governance level, convening coalitions to improve policies, protocols and standards, with the aim of implementing risk-based enforcement of value chain actors and agrochemical retailers. This is further supported at the field level through worker and farmer training that leads to improved knowledge and competencies, resulting in accountable record keeping on agrochemical use and better farming practices. At the business practice level, IDH also intervenes to support improved service delivery models and growing private-sector demand for sustainable produce, backed by better agrochemical products. IDH follows a three-pronged approach that aims to deliver improved profitability, worker health and food safety, and a reduced impact on the ecosystem.

IDH selected programs and geographies to focus their efforts:



PoC: Sustainable Market Transformation in Cotton

For the impact theme of Responsible Agrochemical Management, IDH selected 'Sustainable Market Transformation in Cotton' as Proof of Concept. From the beginning, IDH has supported the BCI, its members and partners with numerous activities including institutional support, project implementation support, co-funding private BCI implementers, program management, project funding and outreach activities. Currently, the BCI is a globally recognized standard with a 19% global share of the cotton production. Over 1 million farmers were trained in season 2017–18.

Figure 6.1 IDH selected programs and geographies to focus their efforts

IDH's contribution to change expressed in the impact pathway 'Responsible Agrochemical Management' [1/2]

In this chapter, we describe to what extent we have found evidence for the envisioned outputs, outcomes and impact as included in the impact pathway Responsible Agrochemical Management. The following impact stories are discussed:

- Strong multi-stakeholder sector initiatives were supported
- Scalable models were successful in Cotton, Tea and Flowers
- Evidence base on contribution to improved practices should be strengthened

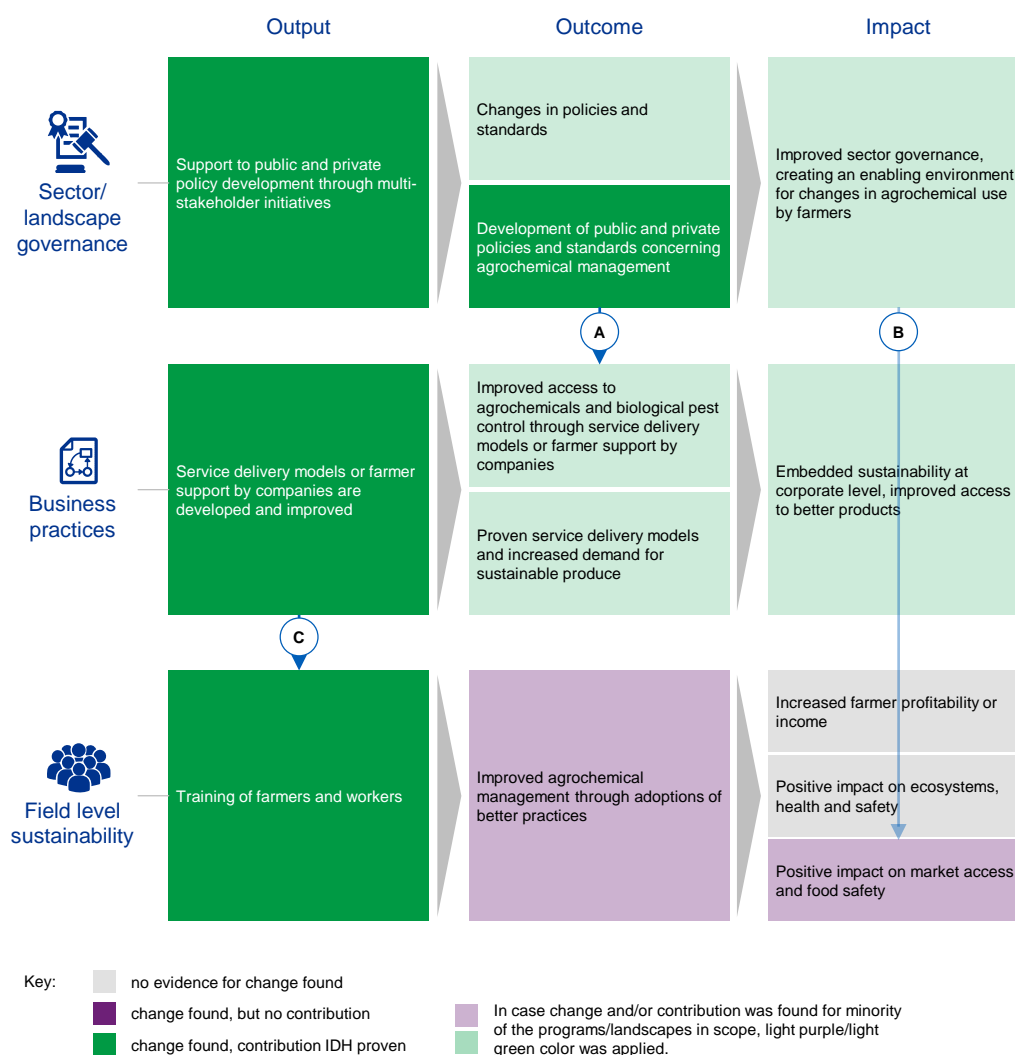
The expert validation, supported by scientific literature, learnt that two elements that are key before impact at the field level (increased farmer profitability, positive impact on ecosystems, health and safety) can be achieved:

- Legal enforcement of (new) government regulation with regard to banned pesticides and illegal import of highly hazardous chemicals
- Effective and repetitive practical training on proper application of agrochemicals; measurement of quality of training and adoption of practices together with research to identify root causes if adoption is lacking (R.83, R.84)

Outputs or outcomes from one result area can lead to outputs/outcome in another:

- A well functioning sector-level platform can lead to the outcome 'improved access to agrochemicals and biological pest control' as well as 'increased demand for sustainable produce' (A)
- Improved sector governance by law enforcement can lead to positive impact on market access and food safety (B)
- Support to the development of service delivery models or farmer support by companies can lead to support/training of farmers (C)

Figure 6.2 Final dashboard "Responsible Agrochemical Management"





IDH's contribution to change expressed in the impact pathway 'Responsible Agrochemical Management' [2/2]

Weighing of evidence

For **sector governance**, all sources of information indicate that a change can be observed. From the sector survey results, the contribution of IDH to the observed change at the outcome level is recognized, confirming the findings from the information shared. Together, these insights result in the conclusion that IDH has contributed to a positive change at output level for a majority of its programs, and that IDH has already contributed to a positive change at outcome (cotton, pepper and tea (Vietnam) and flowers) with regard to the development of new policies and standards. Changes, with contribution of IDH, in policies are noticed in spices. We conclude some change and contribution at impact level for the cotton program.

For **business practices**, all sources of information indicate that a change can be observed at output level. Change at outcome level (increase in demand for sustainable produce) is found through the sector survey, interviews and some documentation. Interviewees and some evidence confirm IDH's contribution. Evidence from a project in flowers showed positive results with respect to improved access to biologicals. We, therefore, conclude that IDH has contributed to a positive change at output level. Some change can be observed at outcome but evidence is limited to a minority of the programs (flowers, spices, cotton). At impact level, there is evidence for change and contribution for the cotton program.

For **field level sustainability**, the documentation and interviewees confirm a positive change at output level. With exception of the impact study on cotton, only fragmented evidence supported change at outcome level. A result with respect to improved market access in pepper was shared. We conclude that IDH has contributed to a positive change at output level. Change (cotton) can be observed at outcome level. However, methodological constraints withhold conclusions on the outcomes and impact level and measurement of contribution to IDH.

This is reflected in the dashboard on the previous page. On the next pages, the assessed impact stories are discussed in more detail, followed by the expert validation.



IDH contributed to the establishment of strong multi-stakeholder sector initiatives [1/2]

IDH convenes local, national and international public-private coalitions that support the development and implementation of improved protocols and standards, as well as policies and regulations regarding agrochemical use and management. Such protocols are expected to result in improved sector governance and enabling environment to better manage pesticide use at farm level. IDH has identified an area that needs further prototyping: the development of IT tools that enable the collection of data and generation of information on high-risk practices in supply chains.

Clear contribution to convening and establishing sector platforms and PPPs in all sectors.

IDH supported several multi-stakeholder sector initiatives, the establishment of public-private partnerships (PPP) and benchmarking initiatives (R.20), all aimed at improving pesticide and antibiotic use at farm level. In Vietnam, IDH initiated a PPP and co-chairs the Agrochemical Taskforce (R.35). Interviewees acknowledge IDH's contribution and confirm that it is due to IDH's unique position that they can convene public and private sectors and influence the national agenda in Vietnam, specifically for pepper and tea. A PPP was also established in Ethiopia (R.59).

Multi-stakeholder initiatives and benchmarking initiatives were set up or supported; among these were the Floriculture Sustainability Initiative (FSI) and Sustainable Spices Initiative (SSI). The interviews confirmed that these initiatives might not have existed, or in their current form, without IDH's contribution. Interviewees complimented IDH on its convening power and for working independent of public and private sectors. In India, the Sustainable Spices Initiative - India (SSI-I) was initiated and reportedly, the spices players in the industry started to replicate this approach for Indonesia. IDH convened aquaculture parties at local level in China, Vietnam and Thailand, at national level in Ecuador and Vietnam and at global level through the Global Sustainable Seafood Initiative (R.74-R.77). In cotton, the most evident contribution of IDH is the establishment and growth of the Better Cotton Initiative (BCI) and the Better Cotton Growth and Innovation Fund (GIF) (R.1).

Output resulted in some significant outcomes in cotton, pepper and tea (Vietnam) and flowers

Following the impact pathway, IDH's support to multi-stakeholder processes should lead to the development of public and private policies and standards concerning agrochemical management. This has been achieved in cotton where the BCI standard is globally recognized as the standard for sustainable cotton production (a 19% volume share of the global cotton production for season 2017–18) (R.1). In tea (Vietnam), the regulatory framework on agrochemicals has been strengthened and the National Sustainability Curriculum (NSC) is developed to align available training materials and reduce overlapping of resources in training farmers (both for tea and pepper) (R.34, R.37, R.53). IDH expects that the Agri-team model (spraying teams, tea) will be further scaled (R.10). Interviews confirmed that due to IDH's contribution, the Agrochemical Taskforce agreed to develop the NSC in both pepper and tea. Interviews also confirm IDH's contribution to the elimination of Carbofendazym in 2017 in Vietnam (R.70). In 2018, Diazinon was also banned (in Vietnam) (R.69). From the initiation of FSI (in 2013), a good agriculture practice (GAP) dimension was introduced to the flower sector through the FSI basket of standards; members of FSI commit to sourcing according to this basket of standards. As a result, aspects relating to the storage, handling and application of agrochemicals were addressed in the sector.

70% of the respondents of the sector survey noticed change in the development of national sustainability strategies and policies; 52% attributed this change to the efforts of IDH to the level of much to very much.

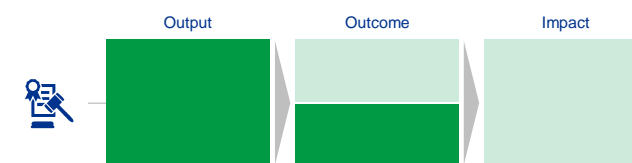
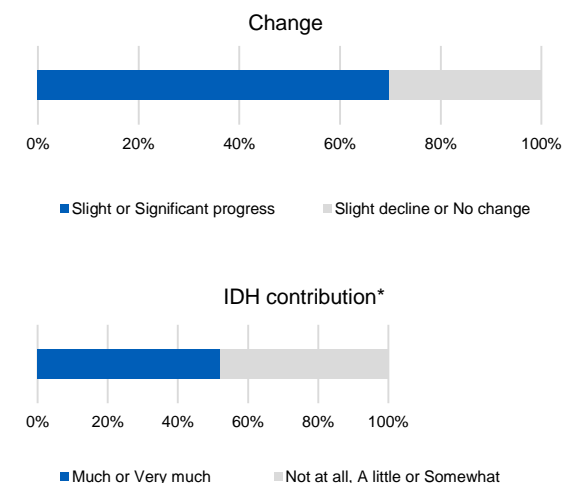


Figure 6.3 Stakeholder perception on change in development of national sustainability strategies and policies and IDH contribution to that change (N = 76)



Source: Sector survey

*only respondents who indicated a slight or significant progress are taken into account

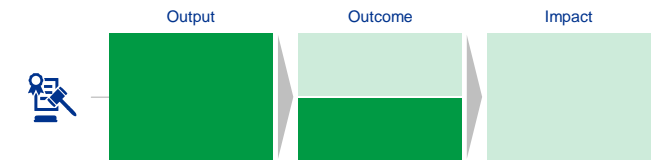


IDH contributed to the establishment of strong multi-stakeholder sector initiatives [2/2]

Enabling environment created in cotton, tools and policies developed for flowers and spices

In cotton, the transition was made to a market-driven and still growing funding model enabling a growing number of farmers to be trained on good agricultural practices and proper use of agrochemicals (R.1). In Vietnam (pepper), the first IT tool will be piloted in 2019 (R.52). IDH and the Department of Plant Protection (DPP) have jointly developed an agrochemical information system on a mobile-based app. This app has become an official app, endorsed by the government and owned by the Department of Plant Protection under the Ministry of Agriculture and Rural Development (MARD). This was confirmed through an interview. Obviously, there is no evidence available yet on the effectivity of this tool and how it supports the enabling environment. The banning of the pesticide Carbendazym seems to have a positive effect on Vietnam's pepper export. Over 2018, 46% of the Vietnamese pepper met the EU MRL criterion for Carbendazym; in 2016, this was only 12,8% (R.51).

With respect to flowers, the next step in shifting the agenda on responsible agrochemical management in the sector has been achieved. FSI will adopt a measurement tool of toxic loading; the environmental benchmarking criteria for the FSI basket of standards have been accepted (R.24). IDH contribution to these achievements is acknowledged through the interview. Implementation of the mentioned achievements still has to take place. The EPHEA wetlands project (flowers, Ethiopia) supported the creation of local knowledge and expertise to ensure that the future legal requirement of constructed wetlands have a positive effect on the industry (the so-called 'wetlands' can be efficient to treat water). It is, therefore, expected that the (local) government and industry will take over this responsibility and continue the support (R.22).





Scalable models succesful in cotton, tea and flowers [1/2]

IDH supports the private sector to integrate better agrochemical management practices in its service delivery to farmers. This is expected to result in increased availability of better agrochemical products to farmers, which should ease the adoption of better agrochemical management. Through working with the private sector, IDH aims to further embed sustainability at the corporate level. IDH recognizes the need for a holistic approach to responsible agrochemical management, which starts with the promotion and adoption of Integrated Pest Management (IPM). IPM includes cultural, mechanical and biological management options, as well as responsible use of pesticides/biocides.

Scalable service delivery model in cotton and to a lesser extent in tea and flowers

The BCI model of service delivery to farmers is proven to be scalable and cost-effective. It has been acknowledged that IDH's vision and business-driven insights were key in driving cost efficiency. In season 2017–18, more than one million farmers were trained (against approx. 30.000 farmers in 2010–11) (R.1). While the model in India is still growing, it is currently being investigated by IDH if this model (funding of services of farmers through a fund) could also be successful in other countries (Pakistan) (R.79). SSI-I has reports first steps toward implementation of bundled services in India. The implementation of service delivery models was discussed during the SSI-I stakeholder meeting in August 2018 (R.10), however it is unclear what the result of this discussion is. An interviewee questioned whether the current approach in India on spices is scalable without funding by IDH. It was also mentioned that since there are so many spices and herbs in many countries, it is unlikely that a single delivery model can be developed to fit all. The pilot with the agrochemical spraying teams ('Agri-teams') in tea in Vietnam was successful and new tea producers have shown interest to implement the approach (R.10).

Although IDH contributed through (co)-funding and knowledge providing to the innovation of SDMs (see impact theme 'Smallholder Inclusion'), evidence with regard to SDM cases with specific focus on improved agrochemical use is limited to the Farmer Field Book (FFB) in Vietnam (coffee). Participating companies have to report to IDH on KPIs (R.40, R.41 and R.43). This process stimulates continuous improvement of the program, since insights and valuable feedback on why farmers adopted (or did not adopt) good agricultural practices are shared with IDH. Building on this SDM case in coffee (Vietnam), in collaboration with IDH, a further scaled and improved SDM was designed with additional stakeholders were involved; one of the foreseen results is the correct use of agrochemicals. Implementation has not yet started (R.80).

Two projects (part of ISLA Ethiopia), match funded by IDH through FSI, address agrochemical use (through implementation of IPM, waste water management). In 2019, the current IPM project in Ethiopia will be scaled, with the aim to add new biologicals to the existing practices and show on a large scale by creating a positive business case that IPM is a sustainable solution and decreases the use of chemicals and residues on flowers (R.60).

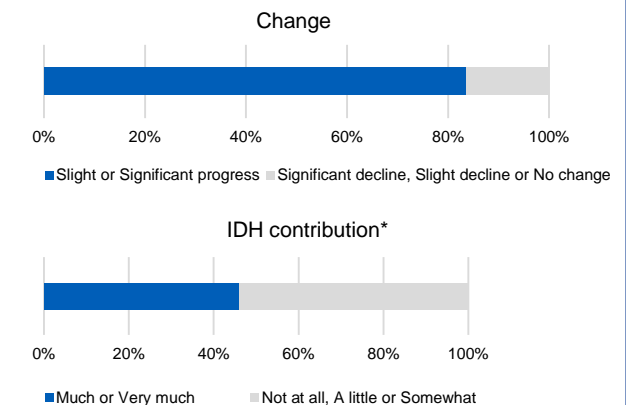
Increase in sustainable procurement evident in cotton, flowers and spices

As part of the membership and involvement in a multi-stakeholder sector initiative, companies often commit to a common goal related to sourcing more sustainable produce (e.g. FSI members committed to have 90% of their volume responsibly produced and traded by 2020). Membership of these platforms has grown over time. Therefore, the work that IDH has done on sector governance seems to result in more sustainable sourcing by businesses. There is a clear increase in the uptake of Better Cotton (over 1 million MT of Better Cotton in 2018 versus 251.000 MT in 2015). Stakeholders acknowledge that IDH played a key role in this (R.1). FSI also reports a clear increase in sustainably sourced flowers and plants (R.64). That it is important to understand market dynamics is learned in the spices program in India. Market uptake of responsibly produced coriander (India) is lacking (R.78).

84% of the respondents in the sector survey see progress in increased demand from customers for sustainably produced commodities while 46% of the respondents acknowledge IDH's contribution to the level of much to very much.



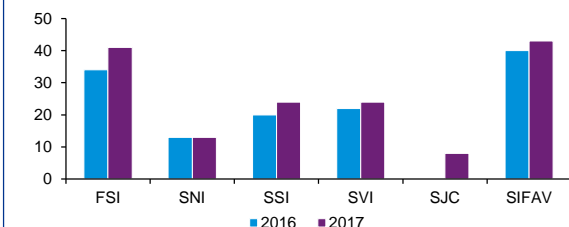
Figure 6.4 Stakeholder perception on change in increased demand from customers for sustainably produced commodities and IDH contribution to that change (N = 79)



Source: Sector survey

*only respondents who indicated a slight or significant progress are taken into account

Figure 6.5 Number of companies committed to multi-stakeholder initiatives



Source: RMF



Scalable models succesful in cotton, tea and flowers [2/2]

Access to biological pest control and agrochemicals improved

Promising results are shown in the IPM project (flowers, Ethiopia) where in the IPM trial blocks both the amount of compounds detected and the average levels are up to 30% lower than those in the chemical comparison blocks (S.61). Project partners also decided to scale the project to leverage on learnings and results (S.60). The results from the sector survey show that 58% of the respondents perceive progress in access to agrochemicals through service delivery models, while 44% of these respondents acknowledge IDH's contribution to the level of much to very much.

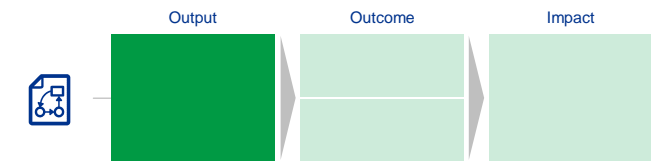
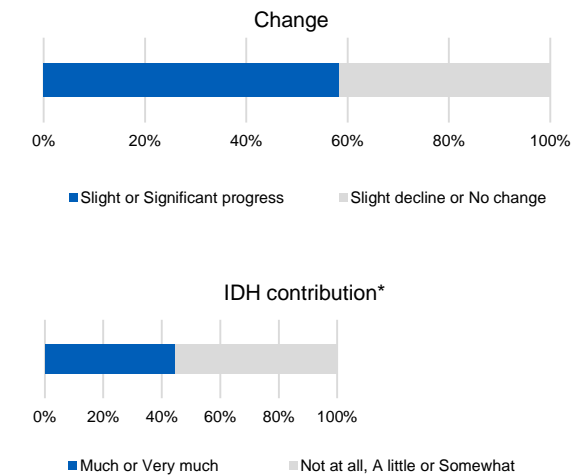


Figure 6.6 Stakeholder perception on change in access to agrochemicals through service delivery models and IDH contribution to that change (N = 48)



Source: Sector survey

*only respondents who indicated a slight or significant progress are taken into account



Evidence base on contribution to improved practices should be strengthened

In many of IDH's programs, training of farmers plays an important role to improve knowledge and competencies regarding agrochemical use at farm level. The training curricula used are ideally built on the protocols and standards developed through public-private dialogue. When responsible agrochemical practices are adopted, they are expected to lead to improved profitability, improved health of farmers and workers, improved food safety, reduced ecosystem impact, and improved market access for sustainable produce.

Measurable results in cotton (India) and tea (Vietnam) of the envisioned outcome

Due to the growth of the cotton program and the Better Cotton Growth Innovation Fund, the number of farmers trained has grown significantly. BCI farmers in India are outperforming control group farmers in terms of adoption of practices, cotton yield per hectare, and higher profits per hectare. Due to methodological constraints, no conclusions with regard to contribution is possible. These constraints include: (1) lack of baseline data; and (2) a control group that was not prescribed to be random (R.1). New research has started to mitigate this knowledge gap, which should enable to conclude on the success of the BCI intervention.

IDH's report 'Tea Program in Vietnam' (R.34) mentions positive results of the pilot with the Agri-teams. By June 2018, the project proved successful and cost-benefit efficient with 13 producers' full participation, 36 Agri-teams established (against 13 targeted), 4,037 farmers trained (against 3,900 targeted) with a reported 20% yield improvement (against 15% targeted), resulting in 11,860 tons of tea responsibly produced (against 6,000). The reported yield results were collated through a survey with participating farmers (R.54). Farmers were fully aware of Agri-teams; 95% of them confirmed that their production yield increased thanks to joining this model (N=360). There is however no baseline, and results cannot be contributed to the intervention. It was also reported that 12 companies purchased PPE and that through record keeping the actual use of this was monitored. RMF data shows an increase in farmland area where trained practices might be applied.

Contribution of IDH to adoption of improved practices not proven

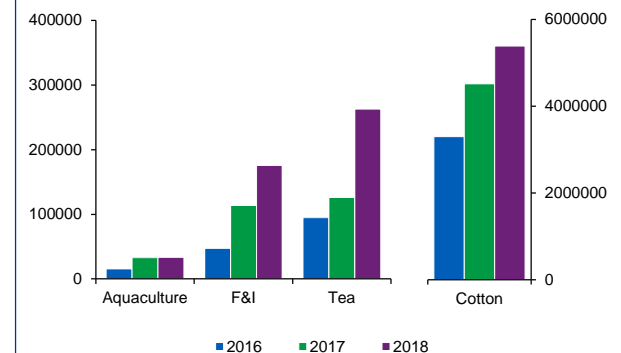
The Vietnam case study (FFB, coffee) shares positive results with regard to decreased costs due to smarter use of inputs (R.2–4, R.82). Other evidence from the FFB data shows a decrease in use of banned pesticide, potentially related to certification (R.81). A minority of farmers spray biocides; 46% of those used biocides considered highly hazardous to human health and the environment in the 2016–17 season. This was no longer the case in the 2017–18 season. In general, the results show differences between groups over time, but cannot be contributed to an intervention. 88.5% of the farmers, trained in the pepper program (Vietnam), are getting certified (R.50). This might imply the application of good agricultural practices with regard to agrochemical management, however no additional evidence on measurement of adoption of practices was shared with us. Documentation from SSI-I shows that the program reached 20,000 farmers in 2018 and trained them on sustainable agricultural practices, covering 23,000 hectares to produce around 30,000 MT of sustainable spices. One region reports increased yield and improved responsible use of agrochemicals; documentation for the other projects is anecdotal (farmer stories) (R7–10).

Project results of the IPM flower project in Ethiopia show that in the IPM trial blocks, both the amount of compounds detected and the average levels are up to 30% lower than those in the chemical comparison blocks (S.61). An increase in pepper exports that met the EU MRL requirements from 12.8% in 2016 to 46% in 2018 was reported (R.51). Based on documentation shared, we could not conclude on IDH's contribution.

In Ethiopia, farmers are being trained and awareness will be increased. A baseline study has been included in a recently started project on IPM. The project only took off in 2018; it is too early to conclude on results.



Figure 6.7 Cumulative farmland area where trained practices potentially are applied (ha)



Source: RMF



Emeritus Prof. Graham Matthews

IMPERIAL COLLEGE LONDON

Graham Matthews began his career in Africa, working on cotton pest management before joining Imperial College. Conducting research and teaching pesticide application at Imperial and overseas have been interspersed with providing consultancy support for international organizations, such as the World Bank. As the author of several books, he was formerly an editor of Crop Protection. Graham retired in 2001 and is now Emeritus Professor of Pest Management at Imperial College London.

Recent publications:

- Matthews, G. (2018). A History of Pesticides. CABI
- Matthews, G. (2015). Pesticides: health, safety and the environment. John Wiley & Sons.
- Matthews, G. (2008). Pesticide application methods. John Wiley & Sons



I support the conclusions of this research and in this respect, I want to highlight the following:

It is too early to tell if there really is an enabling environment for field level change. There is not enough evidence to suggest that laws and regulations are enforced. Looking forward I would think that government needs to be influenced to direct more attention to the pesticide registration process and its implementation to protect farmers from unsafe and unauthorized products. An example of governmental involvement could be to enforce that specific pesticides are recommended for individual pests/crops based on local/regional research and that these pesticides are rotated across regions in the country to establish a pesticide resistance management strategy. Measuring the enabling environment could be done by checking at the local level if and how this is implemented.

It would be of interest to know more about the Agri-teams – are they effectively the equivalent of the extension service training farmers or the equivalent of a local business spraying crops on behalf of or as contract service for the farmers? The Agri-teams could be an effective means to collect field level data for a proper evaluation?

Looking at business practices, I miss the agrochemical industry in this chapter. They could have a major influence; in my opinion they should take their responsibility and be part of the intervention strategy of IDH. Support for providing booklets, posters and Apps as well as support for radio/ television programs to alert farmers on best practice during the crop growing season can play an important part of the implementation of safer and more effective Integrated Pest Management. Clearer labels with prominence to the common name of the active ingredient and color coding to indicate level of mammalian toxicity are improvements made in several countries. Multiple Trade names for products with the same active ingredient is confusing and has resulted in overuse of one specific pesticide.

Evidence gaps are most apparent in the result area of field level sustainability, where my main point is that the evidence does not show how farmers are trained, and if/how quality of training is monitored. In my view it is essential that training includes exercises to learn how to correctly apply desired techniques. There has been no mention of the need for practical training in how pesticides should be applied to direct sprays more effectively against pests within a crop and minimize operator exposure. Also frequent follow up and adequate information provision for trainees is key. Merely stating how many farmers are trained is not enough.

Regarding the claimed quantitative results, I would like to point out that more context is needed before the correct interpretation can be made. For example, monitoring MRL measurements based on "Good Agricultural Practice" is only an indicator for food safety at the consumer end, so it is important especially in relation to trading standards for food. The MRL provides no indication about the correct application and farmers' health and safety. There can be other reasons, such as the timing or duration of a pest infestation that will influence the number of applications and dose applied during a crop season.





7 Living Wage and Working Conditions



IDH's approach to achieve change with regard to living wage and working conditions

Challenge IDH wants to solve:

Poor working conditions and low wages are a fundamental issue for sustainable trade. In many developing and emerging markets, employment in the export sector promises a potential solution, an exit from poverty for workers, and a material contribution to the country's economic development. Yet too often worker safety is compromised and pay is insufficient to 'work out of poverty', stalling progress and perpetuating in work poverty.

IDH's approach

IDH works with companies to raise awareness on living wage and improved working conditions. IDH works with retailers, suppliers, traders and brands to support their efforts to enhance sustainable production and procurement as well as document and share the successful business cases. Of course, businesses do not work alone and need a supporting environment to have a real impact. IDH helps to build this supporting environment through improving sector governance, by creating multi-stakeholder sector initiatives and establishing sector-wide living wage benchmark research. These efforts can lead to enhanced worker-management engagement, collective bargaining agreements and better and clearer standards. With this support, businesses are able to make impact on the ground, increasing workers' wages, benefits and working conditions.

IDH selected programs and geographies to focus their efforts:



PoC: Malawi Tea 2020 and Race to the Top

For the impact theme of Living Wage and Working Conditions, IDH has selected two Proofs of Concept: in tea and in apparel. Malawi Tea 2020 brings together 35 organizations, committed to the living wage target by 2020 and already providing improved working conditions to over 30.000 workers. Race to the Top is a collaboration between 10 partners in 18 provinces in Vietnam with the aim of improving working conditions in the country's apparel sector.

Figure 7.1 IDH selected programs and geographies to focus their efforts

IDH's contribution to change expressed in the impact pathway 'Living Wage and Working Conditions' [1/2]

In this chapter, we describe to what extent we have found evidence for the envisioned outputs, outcomes and impact as included in the impact pathway Living Wage and Working Conditions. The following impact stories are discussed:

- Strong multi-stakeholder sector initiatives supported
- IDH's approach supports improvement of business practices
- Indications of workers benefiting from improved working conditions

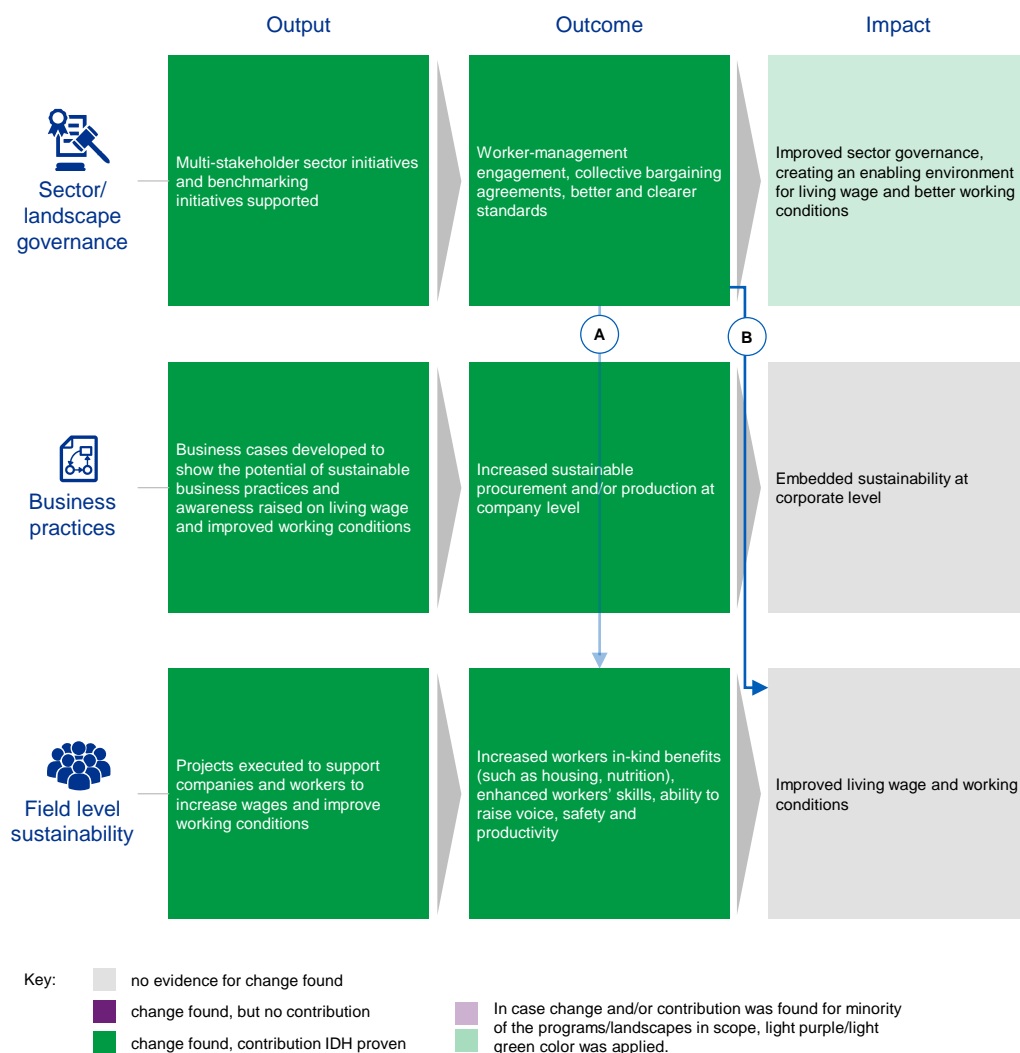
Two elements that are key to be in place before impact at field level — improved living wage and working conditions — can be achieved:

- Improved sector governance; established collaboration of the public and private sector leading to a sector which provides a level playing field for improved wages and consensus among stakeholders regarding aspects that entail a living wage.
- Increasing sustainable procurement by businesses to increase wages and improve the working conditions at the production locations where they source, which will ultimately lead to the desired impact.

Outputs or outcomes from one result area can lead to outputs/outcome in another:

- Developing clearer and better (certification) standards will enable increased sustainable procurement and production at company level, and better working conditions for farmers and producers (A)
- Establishing collective bargaining agreements will arrange for improved living wages at field level (B)

Figure 7.2 Final dashboard 'Living Wage and Working Conditions'





IDH's contribution to change expressed in the impact pathway 'Living Wage and Working Conditions' [2/2]

Weighing of evidence

For **sector governance**, all sources of information indicate that a change can be observed. The interviews confirm this specifically for the Fresh & Ingredients program (as the number of interviews was limited) at output and outcome level. From the sector survey results, the contribution of IDH to the observed change at outcome level is seen as limited. These insights result in the conclusion that IDH has contributed to a positive change at output and outcome level in all three of its programs, and that IDH has already contributed to a positive change at impact level with regard to the tea program.

For **business practices**, all sources of information indicate that a change can be observed at output and outcome level. The interviewees indicate that the change would likely have also happened without IDH. The sector survey results point toward a limited role of IDH in the change at outcome level. We, therefore, conclude that IDH has contributed to a positive change at output level. As the number of interviews were limited, we align with the conclusions from the documentation that a change and contribution from IDH can be seen for outcomes in business practices. The evidence does not, or to a very limited extent, show a change at impact level yet.

For **field level sustainability**, the documentation and interviewees confirm a positive change at output and outcome level. Regarding IDH contribution to change, both documentation and interviewees confirm it at output level, but at outcome level it is only evident from the documentation. As the number of interviews were limited, we align with the conclusions from the documentation that a change and contribution from IDH can be seen for outcomes at field level. We conclude that IDH has contributed to a positive change at output level and outcome level for a majority of its programs (Fresh & Ingredients and tea), but that there is no, or very limited, change at impact level.

This is reflected in the dashboard on the previous page. On the next pages, the assessed impact stories are discussed in detail, followed by the expert validation.



Strong multi-stakeholder sector initiatives supported

IDH's strategy on sector governance aims to connect all key players in a sector — private partners, civil society and when relevant (local) governments. These players need to have a common understanding of the challenges, the different roles they can play and solutions to improve the conditions for workers. Collectively, as a sector, they can develop and support policies, tools and governance structures which are expected to enable an environment to improve working conditions and wages for workers.

Positive contribution by IDH to sector governance in tea, Fresh & Ingredients and apparel programs

Several multi-stakeholder sector initiatives and benchmarking initiatives were supported, aimed at improving living wage and working conditions. IDH helped to establish a multi-stakeholder platform in the tea sector, the Malawi 2020 Tea Revitalization Programme (Malawi Tea 2020) (L.4, L.5). IDH also clearly contributed to positive change in sector governance in the Fresh & Ingredients sector (L.22, L.26, L.30). Multi-stakeholder initiatives and benchmarking initiatives were set up or supported, among these were the Floriculture Sustainability Initiative (FSI), Sustainability Initiative Fruits and Vegetables (SIFAV), Sustainable Spices Initiative (SSI), Sustainable Juice Covenant (SJC), Sustainable Nuts Initiative (SNI), and Sustainable Vanilla Initiative (SVI). IDH has contributed toward the establishment of the Life and Building Safety (LABS) Initiative and the Race to the Top (RtT) program in the apparel and footwear sector (L.9, L.21, L.38).

IDH has contributed to a positive change in the existence of multi-stakeholder initiatives in all three sectors (tea, Fresh & Ingredients and apparel). These initiatives, however, do not always cover the entire sector. The MT2020, for example, includes all relevant players in the tea sector in Malawi. The buyers in the coalition source 57% of Malawian tea production (L.5), which makes it challenging to reach living wage for the entire Malawian tea industry. The LABS and RtT programs are active in 18 provinces in Vietnam and three states in India. This is, however, only a small part of the global apparel sector (L.11, L.21).

The output resulted in envisaged outcomes in the tea and apparel programs

According to the impact pathway developed by IDH, the multi-stakeholder initiatives should result in worker-management engagement, collective bargaining agreements (CBAs) or better and clearer standards to achieve the envisaged impact. The capacity building as initiated by Malawi Tea 2020 has resulted in a collective bargaining agreement on wages, narrowing the gap between current wages and the living wage benchmark in Malawi (L.7). Due to the RtT program, workers and management are being trained and there is more engagement between workers and management (L.21).

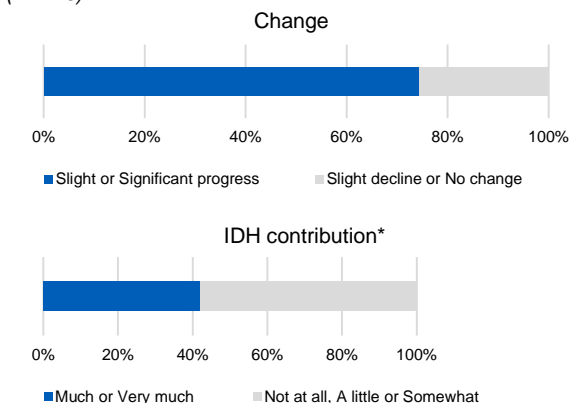
The efforts by FSI and SIFAV to benchmark standards are appreciated by the sector. There are more companies that now use standards, but the standards themselves have not yet improved (L.22). The documentation states that a large number of sustainability aspects in the fruit and vegetables sector are not or inadequately covered by standards. IDH is focusing on change in business practices and field level to complement the changes at sector level given by the standards. We can conclude that especially in tea and apparel programs, the outcomes that IDH is aiming for in this result area, have happened (although for apparel, only on a small scale so far). In the case of Fresh & Ingredients, more time is probably needed to reach the aimed results.

Impact reached in the tea sector

The improved worker-management engagement, CBAs and standards should result in an improved sector governance creating and enabling environment for the payment of living wages and for better working conditions. We conclude that in the tea sector in Malawi, this enabling environment is now in place, as key players work together to take joint action on living wage and the collective bargaining process is embedded in the sector (L.5, L.7). In the apparel and the Fresh & Ingredients sector, we cannot conclude that this enabling environment has been created yet, as the activities are still too local or more time is needed to embed the changes into the sector (L.21, L.24, L.43).



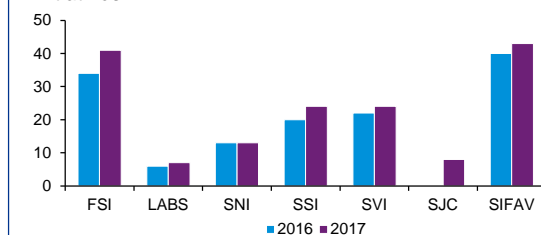
Figure 7.3 Stakeholder perception on change in worker-management engagement and/or collective bargaining agreements in the sector and IDH contribution to that change (N = 43)



Source: Sector survey

*only respondents who indicated a slight or significant progress are taken into account

Figure 7.4 Number of companies involved in multi-stakeholder initiatives



Source: RMF



IDH's approach supports improvement of business practices

For IDH, companies are key to drive change in international supply chains and improve the working conditions and living wages for workers and producers in those supply chains. Brands and retailers can change the conditions at which they source their products to demand more sustainable practices being used by their suppliers and producers up the supply chain. Producers can implement more sustainable practices within their own factories, estates or farms. When this is done structurally and embedded in company processes, IDH believes they have achieved the impact they are aiming for at business level.

Awareness on living wage and working conditions was raised

The first step for IDH to change the practices among companies is to raise awareness on the issue of living wage and working conditions, and to show positive business cases. The documentation and interviews show that in the last two years IDH helped to raise awareness on living wage at company level. They have supported a research pilot regarding the payment of a living wage in the avocado supply chain (L.24). As a result of the efforts within FSI and SIFAV, there are now clear definitions around working conditions, and stakeholders have accepted rules on how to calculate the living wage gap (L.22).

Increase in visible sustainable procurement

As part of the membership and involvement in the multi-stakeholder sector initiative, companies often commit to a common goal related to sustainable sourcing. Therefore, the work that IDH has done on sector governance seems to result in more sustainable sourcing by businesses. In the flower sector, FSI participants are now sourcing bigger volumes of responsibly sourced flowers and plants (L.26, L.27, L.48, L.49). In the tea sector, some key buyers are now working with longer term contracts, and some are using the sustainable procurement model that was developed by IDH (L.5).

Respondents of the sector survey indicate that more ambitious sustainable procurement policies have been adopted in the last two years. Half of the respondents that see a positive change, acknowledge a contribution of IDH to this change. More research is needed to fully understand the contribution of IDH to the change in sustainable procurement. According to the interviewees, many companies work with long-term strategies, which restrict them from making short-term changes in their practices. When changes in business practices are made, this is often assigned to a change in market requirements, and less to the involvement with IDH.

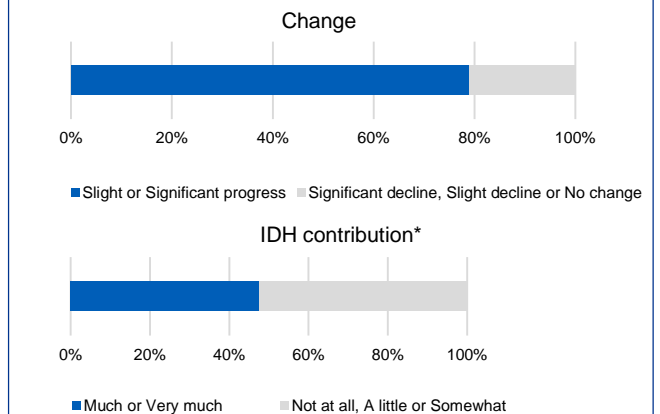
IDH did contribute to more sustainable procurement in the flower and tea program (L.7, L.49). The interviews and sector survey results also indicate other reasons for a change in business practices, besides the interventions from IDH. It is therefore recommended to assess the contribution more in depth in the end line research.

Involvement in MT 2020 has encouraged tea plantations to improve practices

Due to the MT 2020 initiative, all Malawi tea estates are committed to implement policies and activities to improve working conditions and to increase tea wage (L.7). We conclude that tea plantation companies are working on increased sustainable production such as internal revitalization projects — tea replanting, irrigation, factory refurbishment and crop diversification. The activities from MT 2020 have supported the change in business practices projects done by the plantation companies. IDH is co-leading a work stream with Oxfam on improving buyer procurement practices as part of MT2020 (L.5). However, the support from IDH related to access to finance is not progressing as planned. IDH is funding a feasibility study to scope the construction of a dam to significantly increase irrigation possibilities which will enable plantations to grow more and higher quality tea, but this has not resulted in increased sustainable production yet.



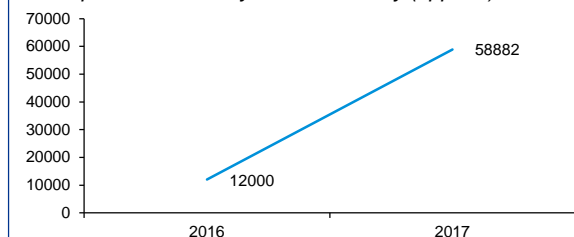
Figure 7.5 Stakeholder perception on change in adoption of more ambitious sustainable procurement policies and IDH contribution to that change (N = 57)



Source: Sector survey

*only respondents who indicated a slight or significant progress are taken into account

Figure 7.6 Number of producers/workers/community enterprises reached by service delivery (apparel)



Source: RMF



Indications of workers benefiting from improved working conditions

At field level, IDH works with implementing partners on projects to improve working conditions and living wages at factories, estates and farms. These are often small-scale projects, but have a more direct positive effect on the lives of the workers. The results and learnings can be used in the activities that are being done at sector level and with businesses. The field level projects are often initiated with support from a business partner in its supply chain.

Projects executed in Fresh & Ingredients, tea and apparel programs

Projects were executed at field level in all three programs. The field level activities in the Fresh & Ingredients programs have focused on training and research (L.3, L.43). Trainings were given to improve certification compliance, health and safety improvements and healthy housing. Research into baseline wages was initiated, as well as local living wage benchmarking activities. In the tea sector, the MT 2020 has executed trainings with the aim to develop more resilient and sustainable livelihoods for farmers and their families (L.5). Trainings on gender and sexual harassment have taken place in the tea and Fresh & Ingredients programs. Trainings on job skills, working conditions and workers' ability to raise voice are less developed than planned.

The RttT program in the footwear and apparel sector in Vietnam has initiated trainings for management, supervisors, and workers to build capacity on productivity and worker engagement in 12 factories (L.21). Under the LABS program 29 formal pilots to test the LABS standard and methodology in Vietnam were executed, while 15 more pilots in India and Vietnam are in their early phases (L.9).

Working conditions improved for workers in the apparel and tea sectors

A positive change at outcome level can be observed. Several factories in Vietnam improved the productivity of workers and worker engagement as a benefit from the RttT program (L.21, L.33). The pilot projects that were done under the LABS program have resulted in improved working conditions in several factories already, and areas for improvement identified in all pilot factories (L.9). The evidence shows that MT 2020 has resulted in the fact that the majority of the tea workers in Malawi now receive a more nutritious diet from their estate employers. Estate housing renovations have taken place, resulting in improved housing for tea workers (L.4).

Initial signs of improved wages and IDH's contribution to this

Within the Fresh & Ingredients and apparel program, the efforts to achieve a living wage have recently started and therefore it will likely take time before a living wage will be paid in these sectors. Within the MT 2020 initiative, the Malawian tea sector aims to pay a living wage to tea workers by 2020. Tea wages for pluckers and factory workers have increased (L.5, L.7). However, narrowing the gap to a living wage is further challenged by high inflation rates and income tax regulations.

In tea, IDH's contribution is part of a broad Malawi Tea 2020 partnership effort (L.5). For apparel, IDH designed and facilitated the Race to the Top program. The local IDH offices had an important role in managing the project (L.21). According to the interviewees, more support from the Central Utrecht office would have been beneficial to support the change in cultural issues that the program is aiming for. In the Fresh & Ingredients program, IDH funded projects and trainings in production countries, with these activities being usually executed by local partners, such as Rainforest Alliance, Solidaridad, Banana Link, and the World Banana Forum (L.1, L.43).





Dr. Patrick Belser

INTERNATIONAL LABOUR OFFICE

Patrick Belser is senior economist at the International Labour Organization (ILO) in Geneva, and is the principal editor of the ILO Global Wage Report, an ILO flagship report published every two years since 2008. He has a D.Phil. in Economics from the Institute of Development Studies (IDS) at the University of Sussex, and has previously worked on the economic dimensions of forced labor and human trafficking.



In my view * this is a very solid, balanced, and granular report with well-documented and supported conclusions, which point out both the achievements of IDH as well as the significant remaining challenges.

I support the conclusion that IDH helped to establish important multi-stakeholder initiatives in the apparel, Fresh & Ingredients and tea sectors, although so far these initiatives only cover parts of the sectors, meaning that achieving a sector-wide living wage remains a major challenge going forward.

The report correctly recognizes the positive outcomes in terms of collective bargaining and worker-management engagement in Malawi and RttT, respectively. While in Malawi there has been a clear impact, the future will show what kind of sustainable impact can be achieved in the other initiatives given the smaller share of players involved, for example in the apparel initiative.

I agree that IDH work contributed importantly to raise the awareness of companies, and work should continue in the future to develop the business case for living wages. Without such work, the management in many companies may remain skeptical that there actually is a business case, once the advantages of a better public image is weighted against the disadvantages of paying higher prices.

The report confirms that small-scale projects were executed in all three sectors, focusing often on research and training around skills and productivity, but the report is somewhat ambiguous whether the envisioned outcomes are reached, or if impact was achieved already in the tea and apparel sector. The report highlights the improved working conditions in several factories under the LABS initiatives and higher wages in tea in Malawi.

IDH could invest more on documenting and disseminating cases of positive impact. In my view, increased workers' in-kind benefits, better housing and safety should be counted as impact (i.e. better working & living conditions) and only skills and ability to raise voice should be included in the outcome. If that were the case, there would be even more to celebrate in this report regarding impact of this work stream at IDH on a subject of fundamental importance for workers and their families around the world and for sustainable trade, and on which I strongly encourage IDH to continue to invest in the future. This is only the beginning!



* this mandate was carried out in my personal capacity and does not represent the views of the ILO



8 Going forward: recommendations





Addressing evidence gaps in measuring IDH's contribution to impact toward 2020

Based on our review of the evidence on IDH's contribution to impact, we conclude that the investments in PoC research strengthened the overall evidence base. This midterm evaluation showed clear progress at outcome level and impact level for most themes.

Toward 2020, it is key to strengthen the evidence base on measurement of the expected changes and impact as a result of the achieved outcomes to date. Also, IDH's contribution in this respect can be identified. The current evidence base has its focus on output and outcome level. The first assessment report already identified these challenges, and they are still valid. Specific challenges are to evaluate whether:

1. changes in policies result in improved sector governance and creation of an enabling environment for field level change (for smallholders, workers and the environment);
2. changes in business practices at companies IDH works with, result in embedded sustainability at business level;
3. developed business models are profitable, scalable and replicable.

In the baseline, it was expected that data collated through the RMF (16 output and outcome indicators on a yearly basis across all programs) could strengthen the evidence base. Our assessment learned that these data were of limited use. Finally, we conclude that some steps in the impact pathways could be specified to better reflect IDH's ambition.

Going forward, our recommendations to IDH are:

- a) Ensure that qualitative research through in-depth interviews by including a process tracing approach is incorporated both in future PoC research and in the end line evaluation (as was done in the impact study cotton). This recommendation was made in the first assessment and is still valid. In-depth interviews can capture what has happened after policies and commitments were created, and whether they indeed resulted in actions that can be expected to benefit farmers and workers, and the environment. The first assessment report recommended a total of 52 extra interviews for the program evaluation in this respect.
- b) Ensure that the foreseen impact studies and end lines for current PoCs as mentioned in IDH's Proof of Concept Research Strategy*, are executed to strengthen the evidence. Ensure they include both impact measurement at field level as planned and the adoption of practices as a proxy for impact including an analysis on why farmers have or have not adopted the improved practices.
- c) Include ex post evaluation of SDMs to assess whether they resulted in actual change for businesses and farmers.



- d) Specify certain ambitions better: e.g. what is meant by 'business cases' (only economical or broader), 'embedded sustainability at corporate level' (only for a specific commodity or for all commodities a company sources), enabling environment and impact at field level ('improved living wage' is not an achievable ambition).
- e) Reconsider, with regard to the 2020–2025 strategy, if and how the RMF could potentially strengthen a future impact measurement.

The next pages summarize theme-specific, more in-depth recommendations based on our assessment and the expert validation and can be read in addition to the recommendations done in the first assessment at theme level. For details on specific research elements foreseen PoC research, we refer to the appendices of the first assessment report.

* See Appendix First Assessment Report, chapter 2




Recommendations per theme [1/2]

Table 8.1-I Recommendations per theme

	Strengthen the evidence base	Specify impact pathways and definitions	Suggestions on programs/activities
	<ul style="list-style-type: none"> - Assess whether the implemented SDMs benefit the farmers, preferably through third-party verifications. An alternative approach could be developed to include data collected by implementing parties. - Consider inclusion of qualitative research such as focus groups and behavioral experiments, on adoption and other behavioral changes at field level. - Collect evidence (at field level) of indicators with regard to enabling environment (e.g. deployment of national curricula). - The deep dive study cocoa (by IDH, 2018) lacked the original planned external verification. It is advised to include this in the next round as it increases the validity of the report. 	<ul style="list-style-type: none"> - Specify the ambition of 'embedded sustainability at business level' in a way that it covers the pathway via SDMs and approaches as in cotton and Fresh & Ingredients (converging the sector). - Review indicator definition of bankability, regarding the profitability element (FCIP). 	<ul style="list-style-type: none"> - Based on the evidence shared by IDH, activities aiming to improve dietary diversity seem limited but important to reach impact in line with the full impact pathway.
	<ul style="list-style-type: none"> - Strengthen the evidence base on 'improving market demand', ideally linking improved demand to landscape level change. - Strengthen future business case studies by including ex post evaluation. - Strengthen the evidence base on impact level results with impact studies for additional PoCs. - Include Protection, Production and Inclusion in this impact research and consider time series-based research (e.g. like the Farmer Fieldbook studies). - Include possible 'leakage effects' in PoC research (i.e. the possibility that deforestation moves to other areas). - Ensure that evaluation of the effects of production intensification and income increase on sustainable land management practices are included in PoC research. 	<ul style="list-style-type: none"> - Clearly specify certain ambitions: e.g. for improved land use planning and strengthened regulatory frameworks/enforcement capacity and increased market demand (outcome) and increased uptake for commodities (impact). - Ensure market activities by IDH are better captured in impact pathway. E.g. in assessing increased market demand, we were unable to connect existing evidence to projects or programs by IDH because the specific content was not geared toward a specific landscape. 	<ul style="list-style-type: none"> - There is a lot of variation between landscapes in terms of feasibility to achieve impact level results. Realizing impact level results across three result areas in one landscape by 2020 seems ambitious given the current progress. One landscape where this might be feasible is West Kalimantan. For a number of other landscapes, it might be feasible to obtain impact level results for one of the result areas, e.g. Côte d'Ivoire, South Sumatra/Aceh and Kenya. - Evaluating feasibility for each landscape will provide IDH with insights to best focus their efforts, as well as contribute to relevant and balanced communication on IDH's achievements.

Recommendations per theme [2/2]

Table 8.1-II Recommendations per theme

	Strengthen the evidence base	Specify impact pathways and definitions	Suggestions on programs/activities
	<ul style="list-style-type: none"> - Ensure evidence is collected with regard to the results of the activities performed to internalize gender in the IDH organization. - Be more transparent on the resources that were put into the impact theme. This will help to showcase the importance that is given to the theme, and can give insight into the relative impact and effectiveness of certain interventions. - Ensure change in certification standards in the flower and fruit and vegetable sectors. - Ensure more insights on how the Gender Toolkit is used and is catalyzing positive change. - Address how IDH'S interventions influence household dynamics to also understand unintended consequences of the interventions. 	<ul style="list-style-type: none"> - Develop an impact pathway for change at IDH Corporate, or include this into the current gender impact pathway (change at corporate level as a precondition for change at program level). - Specify certain ambitions better; at sector governance level, for example, does IDH expect all public-private coalitions and platforms to result in gender aspects included in policies, regulations and standards. Also, the definition of proven business cases is unclear. Does this include only economic benefits or is it a wider scope?. 	<ul style="list-style-type: none"> - IDH's gender targets could be calibrated based on the context and detailed gender reporting (including presentation of sex-disaggregated data) should be incorporated. - More focus should be allocated toward integrating gender in all programs and show how this is done (safeguarding 'do no harm', sensitive or transformative activities).
	<ul style="list-style-type: none"> - Collect evidence (at field level) of indicators of law enforcement with regard to banned and hazardous pesticides. This can be done by extending the scope of the already planned end line study on cotton. - Include context into quantitative research results for better interpretation. - Collect evidence on the quality of training and monitoring it. - Address data collection with regard to occupational health and toxic load indicators (or similar indicators) in foreseen studies. 	<ul style="list-style-type: none"> - Specify what is seen as 'business' and what is 'field' and how this relates to interventions. Sustainable production in large-scale operations in Ethiopia (flowers) is now seen as business practices whereas this might also fit in the field level result area. 	<ul style="list-style-type: none"> - Based on the evidence shared, it looks like the agrochemical industry is not part of the interventions whereas they are an important player to include to achieve impact. It is recommended to build the evidence base for respective interventions where applicable.
	<ul style="list-style-type: none"> - Ensure evidence is collected with regard to the change in working conditions in the apparel sector (both for the Race to the Top as well as LABS) and IDH's contribution to that change. - Ensure contribution of IDH to changes in procurement practices. - Ensure the end line PoC research on the Malawi case includes an assessment of change in business practices and their effect on margins and wages. 	<ul style="list-style-type: none"> - Suggestion to change the impact pathway for field level sustainability to include workers' skills and ability to raise voice as outcome and workers' in-kind benefits as impact. - Limited business case reports were developed by IDH on improved working conditions and living wages. Consider to remove this from the impact pathway and focus on raising awareness. - The impact pathway includes sustainable production at company level in the business practices result area, whereas this would better fit in the field level result area. - Specify certain ambitions better, e.g. what is meant by business cases (only economical or broader), embedded sustainability at corporate level and impact at field level. 	<ul style="list-style-type: none"> - IDH is advised to rethink if impact at sector governance level can be reached in the apparel sector given the small share of factors involved. - IDH could put more efforts in collaboration with other actors in the sector working on the same topics, to achieve broader impact'. - As a next step, IDH could provide further guidance to businesses on the actual implementation.



Appendices

1. List of abbreviations
2. Methodology
3. Expert validation
4. Literature per impact theme
5. Limitations and disclaimer





1 List of abbreviations





List of abbreviations

Table A.1 List of abbreviations

Abbreviation	Definition
BCI	Better Cotton Initiative
BMGF	Bill & Melinda Gates Foundation
BSR	Business for Social Responsibility
CBA	Collective bargaining agreement
CCC	Conseil du Café-Cacao
CCF	Cocoa Challenge Fund
CDC	Commonwealth Development Corporation
CFI	Cocoa & Forests Initiative
CNI	Cocoa Nutrition Initiative
CNIP	Cocoa Nutrition Innovation Program
DDP	Department of Plant Protection
DFID	Department for International Development of the United Kingdom Government
EHPEA	Ethiopian Horticulture Producer Exporters Association
EU	European Union
ETP	Ethical Tea Partnership
F&I	Fresh & Ingredients
FCIP	Farm & Cooperative Investment Program
FFB	Farmer Field Book
FFS	Farmer Field Schools
FMO	Dutch development bank
FSI	Floriculture Sustainability Initiative
FSID	Food Security & Income Diversification
FSP	Financial service provider
GAIN	Global Alliance for Improved Nutrition
GAP	Good agricultural practices
GBV	Gender Based Violence
GCP	Global Coffee Platform
GEP	Kenyan Gender Empowerment Platform
GIF	Better Cotton Growth and Innovation Fund
GVRC	Gender Violence Recovery Centre
HR	Human resources
IPM	Integrated Pest Management
ISLA	Initiative for Sustainable Landscapes
IT	Information technology

Abbreviation	Definition
ITC	International Trade Centre
IDH	The Sustainable Trade Initiative
KEE	Essential Ecosystem Zones
KPI	Key performance indicator
LABS	Life and Building Safety
MT	Metric ton
MT 2020	Malawi 2020 Tea Revitalization Programme
MARD	Ministry of Agriculture and Rural Development
MRL	Maximum residue level
NGO	Non-governmental organization
NSC	National Sustainability Curriculum
NTFP	Non-timber forest products
PCI	Produce, Conserve and Include
PoC	Proof of Concept
PPE	Personal protective equipment
PPI	Production, Protection & Inclusion
PPP	Public-private partnership
RAM	Responsible Agrochemical Management
RAFL	Rural and Agricultural Finance Learning Lab
RMF	Results Measurement Framework
RSPO	Roundtable on Sustainable Palm Oil
RttT	Race to the Top
SDG	Sustainable Development Goals
SDM	Service delivery model
SEWA	Self Employed Women's Association
SFL	Sustainable Food Lab
SIFAV	Sustainability Initiative Fruit and Vegetables
SJC	Sustainable Juice Covenant
SNI	Sustainable Nut Initiative
SSI	Sustainable Spices Initiative
SSI-I	Sustainable Spices Initiative - India
SVI	Sustainable Vanilla Initiative
TAML	Tea Association of Malawi
WUR	Wageningen University & Research



2 Methodology

- a. Methodology to come to conclusions on IDH's contribution
- b. Assessment framework
- c. Details on methodology per source of evidence





Methodology to come to conclusions on IDH's contribution [1/2]

The assessment framework

We developed an assessment framework to systematically list and score the evidence:

- For each impact theme, a framework was built.
- Evidence was categorized per source (e.g. IDH data room, sector survey) and where applicable per program/landscape/PoC. With respect to the documentation from the IDH data room, the quality of the individual piece of evidence was also assessed (see appendix 3b).
- With the framework, we could assess if there was proof of **change** and of **contribution of IDH** with regard to a specific step of the impact logic for an individual piece of evidence. We expressed this by scoring the evidence and applied the following scores:

Table A.2 Assessment framework: change and contribution

Change		Contribution IDH	
+1	Positive change	+1	Positive contribution
0	No change	0	No contribution
-1	Negative change	-1	Negative contribution

The framework forms the basis of our conclusions on IDH's contribution to outputs, outcomes and impact. We did this as follows:

- 1 Assessment and scoring of the individual pieces of evidence with regard to **direction of change** and **contribution IDH**
- 2 Determine the overall score for a specific step of the impact pathway at the level of the program or PoC. We did this by applying the following formula:
 - If at least one source is positive and all others neutral > positive
 - If at least one source is negative and all others neutral > negative
 - If there is contradicting information within the evidence for the program/PoC: weighing according to source strength

This way we could come to a draft conclusion at program level. We used the impact pathway to reflect our findings by applying the following colors:

Figure A.3 Legend dashboards

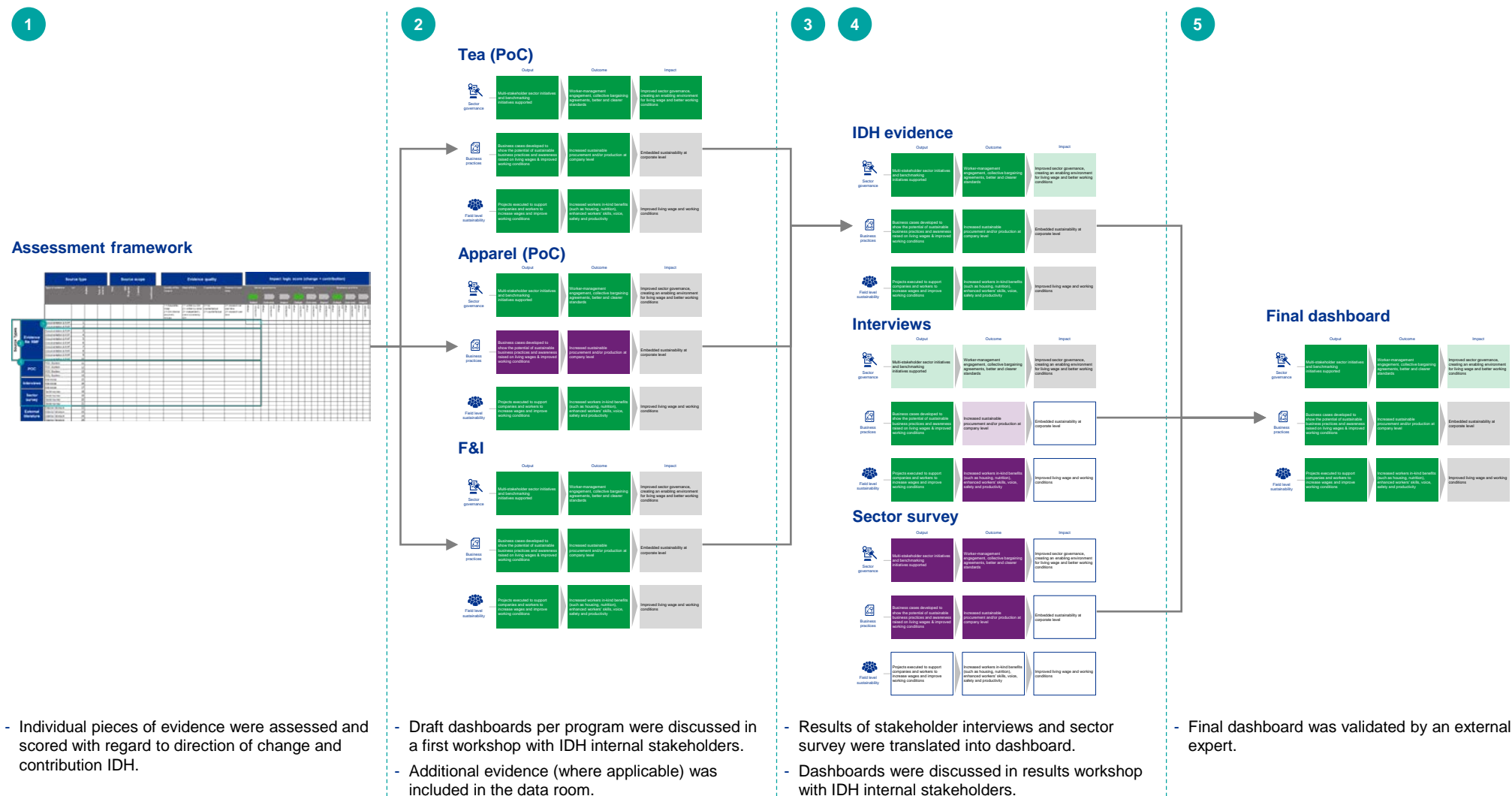
- no evidence for change found
- Positive change found, but no contribution
- Positive change found, contribution IDH proven

- 3 As a next step, we assessed whether the result applied for a minority (< half of the programs in scope) or majority of the programs in scope. In case evidence was found only for the minority of programs, the color was adjusted to light blue/light green. This led to a preliminary 'dashboard' based on IDH data room documentation per impact theme.
- 4 In analogy to this, we made a dashboard based on the respective results of the sector survey and the interviews (per theme). Details on how we assessed information retrieved from the survey and interviews into a score can be found in appendix 1b. See next page for visualization of this step.
- 5 We weighted the results of the three dashboards. Different sources of evidence can strengthen the overall score. In determining the overall assessment, expert judgment was applied. The result of the weighing determines the color of the respective step in the impact pathway.

The next slide visualizes the steps taken to come to the final dashboard per theme.

Methodology to come to conclusions on IDH's contribution [2/2]

Figure A.4 Methodology applied in midterm evaluation



*See next page for enlargement of the assessment framework



The assessment framework:

Source types		Source type				Source scope				Evidence quality				Impact logic score (change + contribution)											
		Type of evidence	nr	Author	Type of source	Year	IDH Program	Country	Landscape	Quality of the Source	Risk of Bias	Counterfactual	Research over time	Sector governance			Field level			Business practice					
																									
																							Output	Outcome	Impact
									1 = Newsletter, Video 2 = IDH internal document, Minutes	1 = written by IDH 2 = written by donor 3 = independent commissioned by IDH	0 = no counterfactual 2 = counterfactual	0 = research not over time 2 = research over time	change contribution IDH	change contribution IDH	change contribution IDH	change contribution IDH	change contribution IDH	change contribution IDH	change contribution IDH	change contribution IDH	change contribution IDH				
Evidence file RMF	1	Documentation & RMF	1																						
	2	Documentation & RMF	2																						
	3	Documentation & RMF	3																						
	4	Documentation & RMF	4																						
	5	Documentation & RMF	5																						
	6	Documentation & RMF	6																						
	7	Documentation & RMF	7																						
	8	Documentation & RMF	8																						
	9	Documentation & RMF	9																						
	10	Documentation & RMF	10																						
POC		POC Studies	11																						
		POC Studies	12																						
		POC Studies	13																						
		POC Studies	14																						
Interviews		Interviews	15																						
		Interviews	16																						
		Interviews	17																						
Sector survey		Sector survey	18																						
		Sector survey	19																						
		Sector survey	20																						
		Sector survey	21																						
External literature		External literature	22																						
		External literature	23																						
		External literature	24																						
		External literature	24																						



Details on methodology per source of evidence [1/3]

IDH data room

Each document in the data room was assessed on its quality; in case of contradicting evidence, the score on quality would be included in weighing the evidence.

Table A.5 Assessment framework: scoring on quality of evidence

QUALITY OF EVIDENCE				
Quality of the Source	Risk of Bias	Counterfactual	Research over time	SCORE
1 = Newsletter, Video 2 = IDH internal document, Minutes 3 = Memorandum of Understanding, Farmer field story, RMF, Budget 4 = Case study, Policy Document 5 = Peer-reviewed document	1 = written by IDH 2 = written by donor 3 = independent, commissioned by IDH	0 = no counterfactual 2 = counterfactual	0 = research not over time 2 = research over time	Maximum score = 12

RMF data to support the IDH evidence base

IDH collects information on key performance indicators (KPIs) for changes in output and outcome levels through its Results Measurement Framework (RMF). These data are collected per program landscape and not per impact theme. We assessed which indicators could be used by:

1. mapping KPIs against the impact pathways and identifying the relevant indicators;
2. checking whether the data could be allocated to a specific theme (e.g. number of people trained specifically on gender awareness);
3. checking availability of consistent data for the relevant programs/landscapes for a specific theme;
4. checking availability of data over 2016, 2017 and 2018;
5. checking transparency and robustness of measurement.

As a result, the following five indicators are selected (see table below).

Table A.6 KPIs per theme

KPI	Smallholder	Deforestation	Gender	RAM	Living Space
RA1. Output1 Private sector (sustainability) investment in the program					
RA1.Outcome1 Sustainability embedded at corporate level					
RA3.Output1 # of producers/workers/ community members trained on key subjects for sustainable production, environmental and social sustainability issues					
RA3.Output4 # of trainers, auditors and/or government staff trained by the program					
RA3.Outcome2 Farmland area where trained practices are applied					



Details on methodology per source of evidence [2/3]

Stakeholder interviews to gain in-depth information on IDH's contribution to impact

For each theme, KPMG selected 3–4 stakeholders to conduct a semi-structured interview to assess IDH's contribution to a specific outcome or impact. This outcome/impact was re-formulated into a statement.

The interviewee was asked to reflect per statement on:

1. the key role of IDH (convening, funding, initiating) in processes and changes regarding the statement; interviewees were asked to provide specific examples or events that show the contribution of IDH;
2. the main positive and negative factors influencing these changes and processes and in what way other parties contributed;
3. what other effects the role of IDH has, beyond the statements/impact logic;
4. whether expected changes due to IDH action are to continue/remain over time; interviewees were asked about evidence that supports their expectation;
5. what would have happened if IDH had not intervened.

Data analyses:

The interviews were assessed on steps of the impact logic, in a similar way as the evidence from the data room, focusing on both change and contribution. Results were captured in the assessment framework of the respective impact theme. Based on the overall results from the interviews per theme, a dashboard was made and included in the overall weighing of the evidence.

Table A.7 Interviewees per theme; program in brackets

Theme	Interviewees
	Dan Zook — Institute for Smallholder Finance (Cocoa and SDM approach) Annette Pensel — Global Coffee Platform (Coffee) Michael Schlup — Sail Ventures (Cocoa)
	Fernando Sampaio — Produce, Conserve and Include coalition Mato Grosso (Brazil Mato Grosso landscape) Alexis Assiri — Cémoi (Cote d'Ivoire Wider Taï Forest Area landscape) Tsuyoshi Kato — PT WSL/MTI (Sumitomo Forestry) (Indonesia West Kalimantan landscape)
	Elise Perrin — Advans Cote d'Ivoire (Cocoa) Jeroen Oudheusden — Floriculture Sustainability Initiative (F&I) Jain Subhash — Action for Food Production (Cotton)
	Nguyen Quy Duong — Ministry of Agriculture and Rural Development Vietnam (Vietnam Central Highlands landscape) Keith Tyrell — Pesticide Action Network UK (Coffee, Cotton, F&I, Central Highlands landscape) Gijs Kok — Royal FloraHolland (F&I) Alfons van Gulick — Nedspice (F&I)
	Leon Mol — Ahold Delhaize (F&I) Richard Fox — Union Fleurs (F&I) Vic Thorpe — Just Solutions Network (Apparel)



Details on methodology per source of evidence [3/3]

Change and contribution from IDH captured in sector survey

A sector survey was performed to capture relevant insights from IDH stakeholders. The sector survey focused on sector governance and business practices and aimed to answer two general questions:

1. Did change occur?
2. Did IDH contribute to this change?

Other questions focused on the effectiveness of IDH in specific fields of business, on satisfaction on multi-stakeholder coalitions and on policy changes. The starting point of the sector survey was the survey of the baseline study, which has been adjusted to changed impact pathways. Also, several open-ended questions, where response rates were rather low, were not included. Field level sustainability is not included because it was not relevant for the invited respondents and was already sufficiently covered by the evidence of IDH. The questions from the proposed sector survey were mapped to the five impact pathways. For the midterm, focus was on building the evidence base at outcome level. For the end line, it is advised to include questions with respect to change and contribution at impact level (as was recommended in the first assessment study, see Appendix First Assessment Report, chapter 2)

Weighing the evidence in two steps

1. In case more than 66% of the respondents indicated positive change (slight or significant progress vs. slight or significant decline and no change) to a specific statement, this was considered as change (so the respective step in the survey sector dashboard would get a color, if no evidence was found we used "grey").
2. In case more than 50% of the respondents attributed this to the efforts of IDH (much or very much contribution vs. not at all and a little or somewhat contribution), the change was contributed to IDH (so the respective step in the survey sector dashboard becomes green).

Summary of statistics

Sector survey yielded a response rate of 26%

IDH provided KPMG with a list of possible respondents. In March 2019, 599 people from that list were invited to participate in the survey. The response rate of the sector survey was 26% or 158 respondents. In the baseline sector survey, the response rate however was 37% (or 230 out of 622 invited). With 26%, the survey scored above industry standard (~20%).

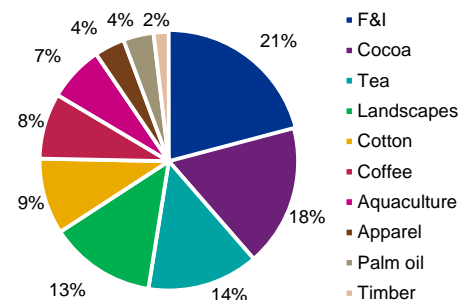
Fresh & Ingredients was the most prominent program among respondents

In the sector survey of the baseline in terms of respondents, the top three programs were Coffee, Landscapes and Aquaculture. In this sector survey, the top three programs changed to Fresh & Ingredients, Cocoa and Tea with 33, 28 and 22 respondents, respectively.

Most respondents came from the private sector

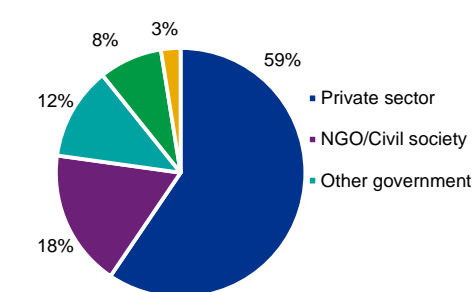
Out of 158 respondents, 94 (59%) indicated that their organizations were from the private sector. The share of private sector respondents in the baseline was less, at 45%. The increase in the share of private sector respondents can be explained by decreasing number of respondents from all other categories, while the actual number of respondents from the private sector did not change much (was 103, now 94).

Figure A.8 Share of respondents per program (N = 158)



Source: Sector survey

Figure A.9 Share of respondents per organization (N = 158)



Source: Sector survey



3 Expert validation



Expert validation

Expert validation is the final step in our impact evaluation. An independent expert per theme is contracted to reflect on our findings in a two-step approach.

Phase 1

Based on the information shared with the expert in a pre-read and building on their expertise, we conducted an interview with the expert around the following questions.

Key question: 'What evidence do you expect to support the impact pathway?'

- The expert's reflections are shared with regard to the feasibility of this impact pathway.
- What recent (2016-2019) research can the expert refer to that supports/contradicts the impact pathway and should KPMG take into account when evaluating IDH's work?
- What sort of evidence does the expert expect IDH to collect itself to validate these pathways vs. what sort of evidence should come from other sources such as academia?

Phase 2

The following information was shared with the expert:

- Relevant chapter draft-report (impact theme) and chapter 'overall insights'
- Relevant assessment framework that includes assessment of IDH evidence, sector survey and interviews, including our interpretation/weighting of different sources
- Evidence that was used in the assessment shared on request of the expert
- Our interpretation/weighting of different sources






The expert is asked to reflect on this information and formulate a concise, written answer to the key questions and sub-questions:

Key question: 'To what extent can the expert support our conclusions and what evidence does the expert think is needed to conclude on this theme in 2021?'

- The expert's reflections are shared with regard to validity of our conclusions.
- Which of these gaps should be covered by IDH and which should be covered by research/academic world?
- Which evidence (and how) would the expert suggest IDH to collect within the given timeframe (1.5 more years)?
- Which gaps are inevitable and/or too complex and as such cannot be expected to be solved within the timeframe of this program evaluation?

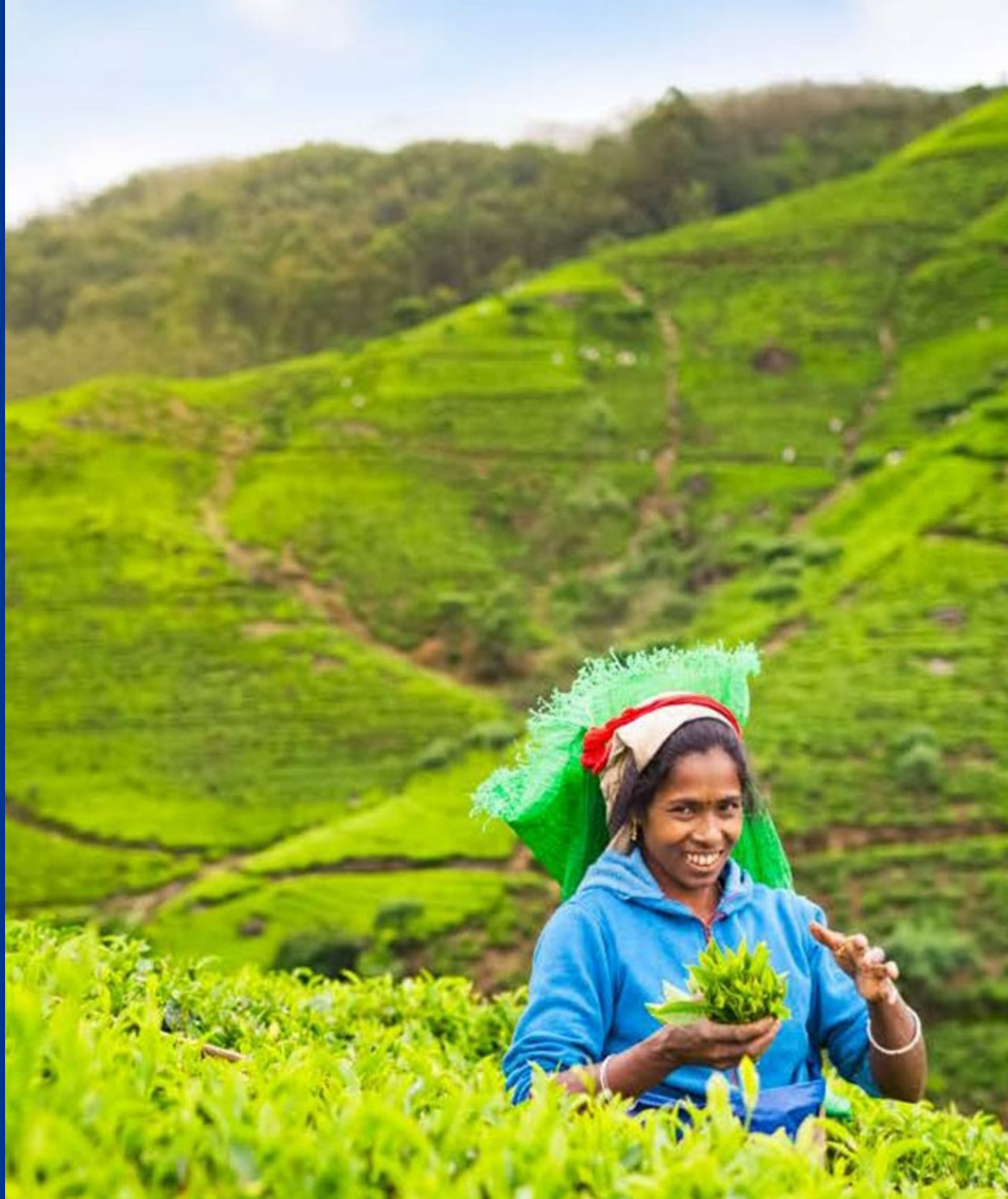
Based on the written feedback, we conducted a final interview and made a summary. This summary is included in the report.

Table A.10 Expert per theme

Theme	Expert
	Ir. Yuca Waarts <i>Wageningen University & Research</i>
	Dr. Eric Arets <i>Wageningen University & Research</i>
	Dr. Anna Laven <i>KIT Royal Tropical Institute</i>
	Emeritus Prof. Graham Matthews <i>Imperial College London</i>
	Dr. Patrick Belser <i>International Labour Office</i>



4 Literature per impact theme





Literature Smallholder Inclusion [1/2]

- S.1 WUR. 2018. Towards sustainable cocoa in Côte d'Ivoire. Available [here](#).
- S.2 KPMG. 2017. IDH Innovative Finance Project.
- S.9 IDH. 2018. Cocoa Farm & Cooperative Investment Program Deep dive on achievements to date, strategy & impact research.
- S.10 ScopeInsight. 2018. Farm & Cooperative Investment Program Insight Report.
- S.12 IDH. 2018. FCIP Annual Report 2018.
- S.13 Participatory Development Associates. 2018. Different companies 2018.
- S.14 Participatory Development Associates. 2018. Draft evaluation report.
- S.18 NewForesight. 2017. Case Report: Ugacof & Grow More Seeds (Uganda). Public version available [here](#).
- S.19 KPMG & WUR. 2018. Sustainable Market Transformation in Cotton.
- S.20 NewForesight. 2017. Case Report: Plexus Mozambique Ltd. Public version available [here](#).
- S.21 IDH. 2018. Mozambique Climate Resilience Platform Meeting.
- S.22 IDH. 2016. Mozambique climate resilience platform – Maputo, 2nd June 2016.
- S.23 IDH. 2017. Mozambique CRP Meeting.
- S.25 Maharashtra Water Multi-Stakeholder Platform. 2018. Minutes of the 2nd Maharashtra Cotton Water Platform Meeting.
- S.26 IDH and Government of Maharashtra. n.d. SMART Project MOU.
- S.30 Damilola Bolaji. 2018. Smallholder Inclusion Evaluation for HPW - IDH Project Targeting in Ghana.
- S.33 FairMatch Support & NewForesight. 2017. SDM: Case Report Anatrans & FairMatch Support, Burkino Faso. Public version available [here](#).
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5 Limitations and disclaimer





Limitations and disclaimer

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Data presented and use of the report

The procedures that have been performed to establish this report did not constitute an audit or other assurance engagement. We often used data provided by IDH and other parties to come to conclusions (i.e. annual reports, harvest reports, impact reports). Consequently, our report does not express any assurance as to the reliability of such financial or other data, provided by IDH and other parties, in the report.

Jerwin Tholen

KPMG Sustainability

Director, the Netherlands

Tholen.Jerwin@kpmg.nl

Brigitte Campfens

KPMG Sustainability

Manager, the Netherlands

Campfens.Brigitte@kpmg.nl