



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

End-line portfolio evaluation on the  
existing evidence behind IDH's impact  
stories

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# Preface

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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 2016–20 Multi-Year Plan. The goal of the impact evaluation program is to improve IDH's 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. In 2020, KPMG was appointed to execute the end-line evaluation in response to IDH's Terms of Reference 'Portfolio End Evaluation IDH 2016–20' dd July 2020.

The overall objective of this final evaluation is to measure the relevance, coherence, effectiveness, efficiency, impact and sustainability of IDH's program portfolio between 2016 and 2020. This End 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, and whether IDH's contribution could be measured. Lessons learned from the evaluation should support IDH to improve its future performance.

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, staff round table, and expert validation and 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 IDH's updated impact pathways and contextualized this with recent literature. They reflected on draft conclusions of our assessment. Their feedback was incorporated in the final version of the report. The following experts were on the panel: Dr. Alejandro Guarin (International Institute for Environment and Development), Dr. Eric Arets (Wageningen University & Research), Dr. Anna Laven (Rokit Science/KIT Royal Tropical Institute), Emeritus professor Graham Matthews (Imperial College London) and Dr. Matthew Alford (University of Manchester).

A panel of three methodological experts has provided feedback to the methodological approach of this end-line evaluation and challenged our conclusions as presented in the final draft version of this report. Their constructive feedback was used to validate and shape the methodology and strengthen this final report. The following methodological experts were on the panel: Prof. Dr. Karen Maas (Impact Centre Erasmus), Dr. Bart de Steenhuijsen Piters (Wageningen Economic Research) and Dr. Alexander Otgaar (Ministry of Foreign Affairs).

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 Stephanie Platschorre, Dylan Groenveld, Thomas Ursem, Bernard Gouw, Andrea Bolhuis, Bart Hoogland, Reza Lahidji Hosseiny, David Gairdner, Shanice Kromokarso and Bianca Kalwij 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.

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# Reader's guide: report structure

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After this reader's guide, the [executive summary](#) provides an overview of the main findings and our [conclusions and recommendations](#).

Subsequent sections contain the background analysis on which the findings, conclusions and recommendations are based:

1. [IDH 2016–20: in a nutshell](#) explains IDH's work, its approach and contextualizes its role in the larger stakeholder setting.
2. [Introduction to the evaluation and research approach](#) explains the methodology and research approach applied with regard to the research questions answered through this evaluation. It explains the sources used, way of triangulating findings and the limitations we faced.
3. [IDH performance against the OECD DAC criteria](#) details our observations with regard to IDH's overall performance organized along the lines of the OECD/DAC criteria of relevance (and additionality), coherence, effectiveness, efficiency, impact and sustainability. In the paragraph on Effectiveness, we include for each impact theme a summary of the findings as well as the validation statement of the theme expert.
4. [Innovation and evolution: enhancing relevance, additionality and effectiveness](#) assesses to what extent IDH's more recent innovations strengthen its overall performance.
5. [IDH's contribution to results – theme-level achievements](#) details our observations with regard to IDH's contribution to impact, organized per impact theme.

[Appendices](#): Here, details of the following topics can be found:

- I. Program-level impact assessment (separate document)
- II. List of acronyms
- III. Details on methodology
- IV. IDH data room
- V. RMF indicators — % achieved
- VI. Summary expert consultation
- VII. Limitations and disclaimer

## References to sources used

Throughout the report, we reference to sources we used to come to our observations and conclusions. Specifically, Appendix I is fully referenced. The complete list of documents we used in our research can be found in Appendix IV and is organized by impact theme. References to sources are made through the combination of a letter (indicating the impact theme) and a number put in brackets. Interviews are referenced with I(nterview) or EI (expert interview), and additional documentation obtained through IDH with a P(rovided by IDH).

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# Executive Summary

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# Executive Summary (I/XIII)

## About IDH 2016-20

IDH has been working to improve the sustainability of production systems in developing countries through supply chains since 2008.

IDH aims to change the business practices of financial institutions, retailers, brands, manufacturers, traders, and producers in terms of sustainable sourcing, investments, monitoring, and offering services to farmers and workers. To secure effective and structural change, public and private strengths need to be aligned through sector and landscape governance. Part of IDH's exit strategy is to institutionalize sector governance and embed it within business strategy and practices.

IDH's deployment strategy can be summarized as follows (Figure I) :

- **Convening:** IDH bundles public and private interests and strengths to solve complex issues and unlock large-scale sustainable production and trade; IDH convenes governments, civil society organizations, and companies in public-private action-oriented coalitions across global commodity supply chains.
- **Co-investing:** through co-funding, IDH leverages business interests to drive sustainable sector transformation; 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.
- **Learning & Innovation:** IDH pilots, evaluates, and disseminates lessons learnt and best practices.

Over the course of the evaluation period (2016-20) IDH continued to innovate. It aimed to create new ways to reach impact at scale by leveraging its ability to quickly adjust initiatives as well to provide the next intervention responding to the phase of market transformation of a specific sector.

Currently IDH has programs and projects running in 36 countries (excl Europe) covering over 25 commodities. IDH headquarters is in the Netherlands. Although we observed an increase in local entities, the underlying vision is that IDH establishes legal presence only in countries where a long-term strategy to develop and manage locally funded programs is in place, or where this is required based on local laws. IDH works with 600+ public and private partners, and its achievements are a result of these collaborations.<sup>1</sup>

Figure I: IDH's deployment strategy and interaction with stakeholders <sup>2</sup>



<sup>1</sup> Source: IDH Annual Report 2020

<sup>2</sup> Source image: IDH MYP 2016-2020 vol I

# Executive Summary (II/XIII)

## Key terminology

### Result Areas

IDH aims to create change in three result areas in order to drive market transformation and achieve systemic impact for the public good:

- **Sector Governance:** Sector agencies and institutions manage the sector in a more sustainable way, at local and international levels.
- **Business Practices:** The main corporate actors in the value chain adopt more sustainable business practices.
- **Field Level Sustainability:** Positive impact on producers, workers, and producer communities, including their economic situation, their social well-being, and the sustainability of their natural resource base.

### Impact Themes

For its strategy 2016-20 IDH defined five cross-cutting impact themes that help to reach the SDGs and focus efforts. These **impact themes** are:

- Smallholder Inclusion
- Mitigation of Deforestation
- Gender Equality and Empowerment
- Responsible Agrochemical Management
- Living Wage and Working Conditions

### Proof of Concept






















Since 2018, IDH programs have organized activities under several Proofs of Concept (PoCs) and IDH used these PoCs to report progress in all annual reporting. IDH has defined a PoC as follows: 'proven, scalable, private sector-driven solutions which are internalized by the businesses that IDH works with, in an enabling environment of effective public-private collaboration and within viable economic mechanisms.' Within each PoC the different deployment strategies are addressed tailored to the specific objective of the respective PoC.

Figure II details the PoCs in scope of this assessment.






### Theory of Change

For each impact theme, a Theory of Change (ToC)<sup>3</sup> was formulated in 2016 and these ToCs were updated over the course of the evaluation period. These (updated) ToCs were used as the starting point for the evidence assessment on IDH's actual contribution in both the midterm as well as in this end-line evaluation.

Figure II: Programs/Landscapes and Proofs of Concept in scope of the end line evaluation including the impact themes they address

Program/landscape	Proof of Concept
Apparel  	<ul style="list-style-type: none"> <li>— Working conditions - Race to the Top</li> <li>— Working conditions: Life And Building Safety (LABS)</li> </ul>
Cocoa   	<ul style="list-style-type: none"> <li>— Farm and Coop Investment Program (FCIP)</li> <li>— Cocoa Nutrition initiative</li> <li>— Cocoa &amp; Forests initiative (CFI)</li> </ul>
Coffee  	<ul style="list-style-type: none"> <li>— Smallholder resilience</li> <li>— Water and climate smart agriculture</li> <li>— Responsible use of agro-inputs</li> </ul>
Cotton   	<ul style="list-style-type: none"> <li>— Better Cotton Initiative (BCI)</li> <li>— Climate Resilience Program</li> </ul>
Fresh & Ingredients    	<ul style="list-style-type: none"> <li>— Commodity platforms and sustainable sourcing</li> <li>— Value chain development (VCD)</li> </ul>
Aquaculture 	<ul style="list-style-type: none"> <li>— Aquascapes – do more with less</li> <li>— Local food - Production and value chain development</li> <li>— Innovation – data driven approach</li> </ul>
Market End Programs 	<ul style="list-style-type: none"> <li>— Market-end program Palm Oil</li> <li>— Market-end program Soy</li> <li>— Market-end program Tropical Timber</li> <li>— SourceUp</li> </ul>
Tea    	<ul style="list-style-type: none"> <li>— Malawi Tea 2020</li> <li>— Gender Kenya</li> <li>— India Trustea</li> <li>— Smallholder projects</li> </ul>
Landscapes (NICFI & ISLA) 	<ul style="list-style-type: none"> <li>— Brazil</li> <li>— Indonesia</li> <li>— Liberia</li> <li>— Côte D'Ivoire</li> <li>— Ethiopia</li> <li>— Kenya</li> <li>— Vietnam</li> </ul>

### IDH's impact themes:

-  Smallholder Inclusion
-  Mitigation of Deforestation
-  Gender Equality and Empowerment
-  Responsible Agrochemical Management
-  Living Wage and Working Conditions

<sup>3</sup> Theories of Change (ToCs) are also referred to as Impact Pathways by IDH. For the purposes of this end-line evaluation we use the term Theory of Change (ToC) throughout.

# Executive Summary (III/XIII)

## Objective of this end-line evaluation

The overall objective of this end-line evaluation is to assess IDH's 2016-20 program portfolio against the evaluation criteria of the Organization for Economic Co-operation and Development Assistance Committee (OECD/DAC)<sup>4</sup>: Relevance, Coherence, Effectiveness, Efficiency, Impact and Sustainability. Lessons learned from the evaluation should support IDH to improve its future performance.

## Research questions

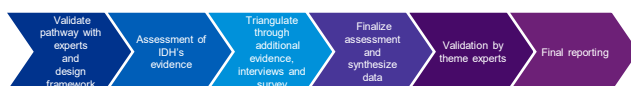
In this report we answer the following research questions:

- I. How did IDH perform against the OECD/DAC criteria: Relevance, Coherence, Effectiveness, Efficiency, Impact and Sustainability?
- II. To what extent did IDH's recent portfolio innovations enhance performance?
- III. How did IDH's programs and landscapes perform with respect to three result levels (outputs, outcomes, and impacts) and three result areas (sector governance, business practices and field level sustainability)?

## Methodology and research approach

We applied a stepwise approach applied for each research question but leveraged the same data sources. Out overall approach is summarized in Figure III.

Figure III: Summary of our research approach



- I. How did IDH perform against the OECD/DAC criteria: Relevance, Coherence, Effectiveness, Efficiency, Impact and Sustainability?
  1. We assessed how the OECD/DAC criteria are embedded in IDH organization through policies and procedures.
  2. We evaluated how projects apply these processes and/or how they act in practice; for this we selected six projects, the so called "in-depth assessments". These projects should be able to illustrate IDH's performance but are not expected to represent the full portfolio. In addition to the available documents per project, we used interviews with the project teams.
  3. We included a meta-evaluation of seven recently conducted ex-post evaluations of IDH programs.

4. Conclusions and insights are validated leveraging stakeholder interviews, a sector survey and evidence from the different program evaluations per impact theme.
- II. To what extent did recent innovations of IDH's portfolio enhance IDH's performance in this context?
    1. We identified IDH's innovation strategies and the respective core innovation through interviews and validation sessions with IDH's management team and a review of the annual plans.
    2. To measure the effectiveness of IDH's innovations, we analyzed whether a measured increase in programs, change in impact themes, outreach (geographically and population), or private sector engagement (number of partners, budget invested) could be linked to the core innovations of the respective strategies.
    3. We validated and contextualized our findings through key expert interviews and the sector survey to measure to what extent the innovations increased the additionality of IDH and relevance for the sector and communities.

<sup>4</sup> Criteria of the Organization for Economic Co-operation and Development Development Assistance Committee (OECD/DAC)



# Executive Summary (IV/XIII)

### III. How did IDH's programs and landscapes perform with respect to three result levels (outputs, outcomes, and impacts) and three result areas (sector governance, business practices and field level sustainability)?

The core of the methodology applied in the first assessment, the midterm evaluation and this end-line evaluation, is based on contribution analysis, combined with elements of process tracing to develop and underpin the Theory of Change (ToC) for each impact theme. 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. IDH operates in an external context and partners with many other parties. Observing IDH's contribution does not mean others did not contribute. Where applicable we acknowledge these other parties but do not quantify their contributions.

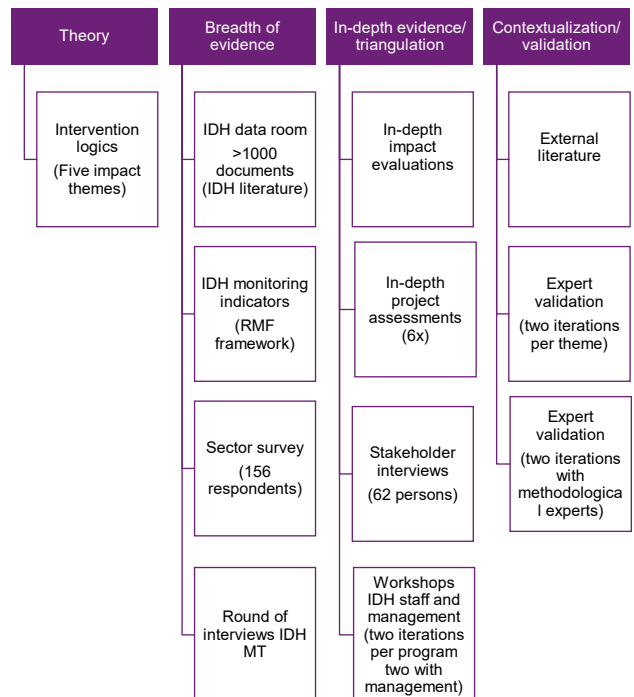
1. A panel of theme experts confirmed plausibility of the Theories of Change (ToCs). The ToCs reflect IDH's expectations about the causal relations between its support activities and their final outcomes and impact per impact theme. We adjusted the assessment framework used in the midterm in answer to IDH's request to report at PoC level instead of Program level.
2. We assessed the available evidence to verify and refine the rationale behind each of the ToCs. We consulted the IDH team for clarification or requested additional documentation. We validated our findings with the IDH program teams.
3. We triangulated our initial findings through stakeholder interviews and the survey results. We asked interviewees about specific moments in time when changes have taken place in a sector, and examples of how IDH activities and events have played a role in these change processes. We used a survey to capture perceptions on IDH's impact from a broad group of stakeholders.
4. We validated our final findings with the IDH program teams and the IDH Management Team.
5. A final validation was done through consultation with the theme expert panel. Their validation statements, in which they endorse our conclusions, are included in our report.

A panel of three methodological experts has provided feedback on the methodological approach of this end-line Evaluation and challenged our conclusions as presented in the final draft version of this report. Their feedback was used to validate and shape the methodology and strengthen this final report. The framework expert consultation as well as the summary of the final consultation session can be found in Appendix VI.

### Sources used for the analysis

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

Figure IV Sources of information used in the evaluation



### Limitations due to quality of evidence provided

We systematically assessed the quality of evidence provided by IDH's data room. We based our conclusions on the strongest evidence available, which ideally would be a third-party end evaluation. Not all PoCs could provide such a report. Generally, for the most material PoCs (those with the highest budget invested at program level) IDH did invest in such an evaluation. For the other PoCs we had to base our conclusions on mostly internal project documents and made sure we triangulated through stakeholder interviews and expert validation.

# Executive Summary (V/XIII)

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## **IDH ensures relevance and additionality prior to its interventions. Available ex-post evaluations and stakeholder consultation confirm relevance and additionality**

IDH's Investment Committee Process safeguards adherence to the Donor Committee for Enterprise Development (DCED)<sup>5</sup> criteria. Since 2017, an assessment of relevance and additionality has taken place for each project, with the process harmonized across all sector and landscape programs. IDH should improve its ex-post monitoring at project level as currently this process is not formalized.

The Service Delivery Model (SDM) analysis is a structured way to identify the relevant needs and beneficiaries upfront at field level. IDH started carrying out SDM analyses in 2015 in order to model the economic viability of different deliveries. Findings are translated into forecasting of expected yield, cost of production, and income effects for farmers (and the implementing partner).

The needs of beneficiaries are monitored and evaluated over the course of the projects. This was confirmed by the in-depth project assessments.

Most ex-post reports conducted by external evaluators, confirm the relevance and additionality of IDH's interventions. An example is the Kenya Gender Based Violence (GBV) study, which concludes that the different aspects of the Gender Empowerment Program (GEP) endeavored to address the relevant root causes including household financial management and decision-making.

Interventions are generally aimed at sector governance or business practices, which means that IDH's direct beneficiaries are not always the ultimate beneficiaries. For example, companies can also be identified as beneficiaries, as well as farmers and/or workers. This is the case in projects including Race to the Top (RttT), Life and Building Safety (LABS), and the Ethiopian Horticulture Producer Exporters Association (EHPEA).

IDH's local presence contributes to safeguarding the needs of ultimate beneficiaries. IDH grew its local staff from approximately 60 contracted staff members outside the Netherlands in 2016 to 145 at the end of 2020, and these local staff members are valued for their commitment, expertise, and knowledge.

Stakeholders praise IDH's convening power, entrepreneurial mindset, and understanding of private sector dynamics, and confirm the relevance of IDH's impact themes. The convening power of IDH stands out, and make them a 'one of a kind' actor in this field. This is recognized as crucial in the successful design and implementation of projects, and IDH's additionality lies in the fact that it can accelerate projects. Without IDH, current results would not have been achieved at the same pace.

IDH could put more focus on the most relevant/effective programs/projects, and communicate better about choices to stop programs/projects. IDH is strong in kicking off new projects and programs, leveraging its convening power and innovative mindset. It is, however, less clear how IDH makes decisions on a portfolio level to stop or discontinue initiatives that don't deliver on set targets. We identified some initiatives for which there was no information available on why they ended, the lessons learned, or how this helped IDH to focus its efforts.

<sup>5</sup> Criteria of the Donor Committee for Enterprise Development (DCED): [https://www.enterprise-development.org/wp-content/uploads/DCED\\_Demonstrating-Additionality\\_final.pdf](https://www.enterprise-development.org/wp-content/uploads/DCED_Demonstrating-Additionality_final.pdf)

# Executive Summary (VI/XIII)

## **IDH's governance structure ensures an assessment on internal coherence. External coherence is confirmed by project documentation and some ex-post evaluations**

IDH's pre-contracting process and governance structure support a uniform assessment on internal coherence. IDH's targets and strategy are described in the Multi-Year Plan and updated each year in the Annual Plans per commodity program or landscape. The PoCs are the foundation of the strategy. IDH innovation strategies and respective pilots show strong internal coherence; innovations build on each other.

Most in-depth project assessments demonstrate external coherence, though differ in their approach due to their nature. For example, in the Living Wage Benchmark project, Fyffes, IDH, other private entities, and the Rainforest Alliance collaboratively worked with participating farms to develop monitoring tools and pilot strategies and plans for improving worker compensation. This safeguarded coherence from the start of the project.

External reports express mixed views on the question of coherence. Three ex-post reports expressed positive conclusions on external coherence: the NICFI and ISLA landscapes and the Farm & Cooperative Investment Program (FCIP, cocoa). In these cases, coherence was sought with governmental efforts and other interventions.

Strong knowledge and convening power enable IDH to ensure external coherence; however, IDH should more clearly acknowledge the contribution of others. IDH brings the relevant stakeholders together to address the sustainability issues in a specific sector, and this helps to foster coherence and the additionality of interventions. IDH's ability to fund this work might also be a reason why stakeholders (especially companies) are willing to join. Some stakeholders note that IDH claims success for concepts to which it indeed contributed but did not act alone.



# Executive Summary (VII/XIII)

**Most PoCs have achieved or are expected to achieve their objectives at output and outcome level in the areas of sector governance and business practices, within the intended budget. For field level sustainability the objectives are less often met. These results should be attributed to IDH and its partners, not IDH alone.**

Over the course of 2016-20 donor funding contributed EUR 130,9 million and the private sector contributed EUR 229,9 million to the program and landscape portfolio of IDH, achieving respectively 95% and 83% of its targets. IDH monitored the progress of programs and sectors through a set of indicators mainly focused on output level.

IDH is actively changing its role to focus on establishing critical mass in various programs; however, concrete outcome level results are not always measurable:

The strategy for the “traditional” agricultural commodities cocoa, coffee, and tea as well as cotton and soy evolved over the course of the evaluation period.

Downstream and local convening led to innovative and better locally embedded projects. For example, IDH’s Landscape program is able to respond to key challenges around deforestation and peatland loss and is sufficiently flexible for context-specific adaptations.

- The sector platforms in the Fresh & Ingredients program grew their membership base beyond Dutch players but still have a strong core of very active Dutch companies.
- Convening the collective bargaining process in the tea sector in Malawi is also demonstrating IDH’s effectiveness in policy dialogue.
- Additional grants and co-investments help IDH to scale approaches; for example, the Farmfit Africa Program funded by the Bill and Melinda Gates Foundation and the UK Foreign, Commonwealth and Development Office (USD 30 million).
- IDH has insufficient leverage to drive systemic change in complex global markets such as soy and timber that are not consolidated on the FMCG side. The Apparel and Aquaculture program do not seem to be designed to reach critical mass.

IDH did not act alone in any of its interventions; numerous partners have contributed to all outputs, associated outcomes and potential impact. Therefore, it does not make sense to attribute results directly to IDH (donor) funding in terms of, for example, “cost per farmer”, “hectares with better agricultural practices, or “hectares of forest protected”.

The Results Measurement Framework (RMF), the main tool for monitoring progress, failed to deliver robustness and transparency due to inconsistent reporting and lack of data-validation. We observed a mismatch between data collected (per program) and requested reporting unit (PoC at theme level). IDH has developed an improved data strategy and a new RMF to be implemented within the new strategic cycle 2021-25. It is not yet clear how this will address all the challenges relating to verifiability and robustness of data. Despite the improvements, progress measurement will be challenging due to the innovative nature of the projects, the complexity, the scale, and the regions in which the interventions take place. New techniques and alternative sources (big-data, satellite imaging, AI) could help to better measure the impacts and do this in an efficient manner.

IDH increasingly focuses on measuring effectiveness of programs. Impact studies and end-lines were commissioned for most material PoCs, and measurement at field level often included an assessment on the adoption of practices. These evaluation reports are generally positive on effectiveness.

Field level impact does not in all cases relate to sector governance results. The reported impact at field level through the NICFI and ISLA landscape programs (NICFI, ISLA report) relates to pilot projects which aim to inspire a broader uptake, hence do not relate to sector governance changes. Across all programs IDH has worked with 84 companies on 95 Service Delivery Models (SDMs) in 22 countries in order to improve local production practices and benefit large amounts of smallholder farmers. Observed field level results through the program level assessments (see details in Appendix I) relate to individual SDM projects for which ex-post data was also collected through additional evaluations. In these cases, there is a link with business practices but not with sector governance. In the context of sector platforms, field level projects serve to generate learnings and inspiration, in order to be scaled within the sector by other companies or even cross sector.

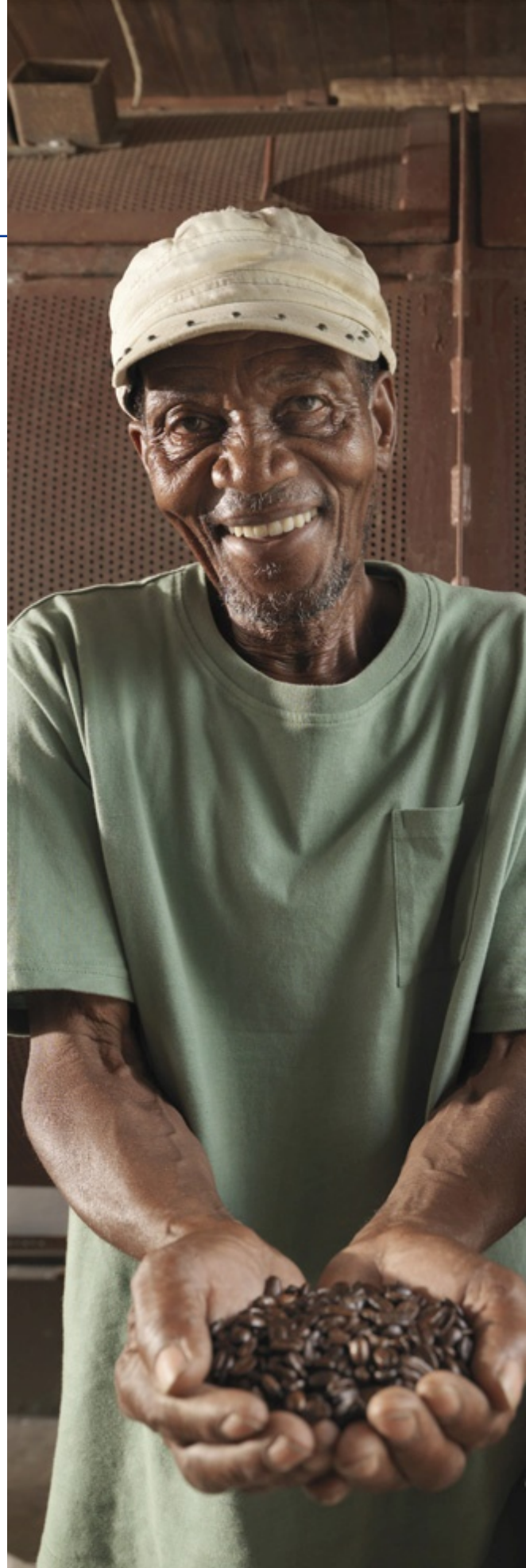
## Executive Summary (VIII/XIII)

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**Most interventions are still running, so long term impact cannot be measured yet. Expectations may have been raised too high.**

For most PoCs it is too early to measure sustained impacts at field level. Realizing wider and sustained impacts usually takes a longer time-horizon than the current timespan of the projects. This challenge is also recognized in several third-party end evaluations of PoCs and emphasized by the theme experts.

An important point of concern is that IDH's ToCs lack specificity with regard to when to expect impact as well what exactly to expect. In many cases the ToC only describes a direction.



# Executive Summary (IX/XIII)

## Results per impact theme

**Smallholder Inclusion:** *There are tangible outcomes and impacts for sector governance and business practices; field level results are less visible so far.*

- In the Better Cotton Initiative (BCI, cotton) and the Farm & Cooperative Investment Program (FCIP, cocoa), there is a clear connection between interventions in all three result areas (sector governance, business practices, and farm level sustainability). These two PoCs reached an impressive number of farmers through the program interventions and achieved measurable results at outcome level. These are also the programs with the largest budgets, demonstrating the effectiveness of interventions and confirming the ToC at this level.
- The Farmer Field Book analysis of the Cocoa Challenge Fund (part of the Farm & Cooperative Investment Program) concluded that across the board evidence for the impact of the Cocoa Challenge Fund program is mixed and not decisively positive.
- The “sector platforms” approach in the Fresh & Ingredients program provides the private sector with tools that enable them to meet their commitment. The projects at field level, co-funded by IDH, aim to provide examples, knowledge, and learnings for further scaling by the partners themselves. The scale of these projects, and therefore the number of farmers reached, is therefore relatively small. We did find evidence that new projects are in the pipeline to follow up on the pilot, but the actual scale is unclear.
- To a certain extent the coffee program and the tea program work similarly by addressing crop specific issues (e.g., climate smart coffee farming, inclusion of smallholders) and partnering with industry leaders to set up pilot projects (through Service Delivery Models). The intention is not to reach large numbers of farmers but to gain learnings and insights, and facilitate the partner in scaling. We found business practice impact level results as well as some plausible field level results in all three focus countries (Vietnam, Indonesia, Uganda) for the coffee program and for the tea project in Tanzania.
- For PoCs with a company commitment included in the intervention, like the Better Cotton Initiative and the sector commitments in Fresh & Ingredients, outcome level results regarding business practices are most clearly measured.
- Only for three PoCs observed field level results related to changes in sector governance: Farm & Cooperative Investment Program (FCIP, cocoa), the Better Cotton Initiative (BCI, cotton) and Trustea (tea). Positive impact level results for farmers are only plausible in the case of the Better Cotton Initiative; for Trustea, impact has not been measured.

**Mitigation of Deforestation:** *Strong outcome level results for sector governance in most landscapes; small scale field level sustainability impact observed in pilot projects.*

- The key intervention in IDH’s landscape approach is the Production, Protection and Inclusion partnership program. The ISLA and NICFI evaluations confirm the effectiveness of these and reported outcome level results across all landscapes. Outcome level and impact results for field level sustainability were related to pilot projects. These pilot projects aim to inspire a broader uptake hence do not relate to sector governance changes and have not achieved scale yet.
- The Cocoa and Forest Initiative (CFI) finalized the design phase in 2020, and outcome level results for business practices and sector governance have been measured. The progress to date has not yet resulted in field level impact.
- The market-end PoCs focus on convening the sector, raising awareness and creating market pull for sustainably sourced commodities. Therefore, with the exception of SourceUp, there are no field level outputs and outcomes. For SourceUp, it is too early to measure field level outputs and outcomes.
- One of the challenges in preventing deforestation through supply chain interventions is the risk of leakage, displacement, or spill-over effects at landscape level. Zero-deforestation may be achieved for particular supply chains and/or regions, but unsustainable production activities may have been transferred from a region with stringent regulations to another region with less strict rules. IDH pays little attention to acknowledging or mitigating this kind of leakage.

# Executive Summary (X/XIII)

**Gender Equality & Empowerment:** *Strong outcome and some impact results in Kenya (tea) and Ethiopia (flowers) but 'do no harm' across the full portfolio could not be assessed.*

- The ToC on gender should approach the issue from two sides: do no harm and create positive impact. Currently 'do no harm' is not explicitly addressed. As a result, gender has not been sufficiently mainstreamed across IDH to effectively drive the agenda within the programs.
- Although an ex-ante assessment on "do no harm" is addressed in IDH's internal procedures, no data in this context could be provided.
- Gender should not be only about reaching women, but the selection of focus suggests that there is a tendency to focus interventions on sectors where women are a relatively large part of the work force.
- The gender project in Kenya (tea) and gender equality activities in the flower sector in Ethiopia (under the Floriculture Sustainability Initiative) both resulted in field level impact results. The pilot project in the Better Cotton Initiative was very well designed and documented from a gender perspective.
- The outcome level results vary in their nature – from addressing women specific labor conditions (Race to the Top, BOHESI Ghana) to more transformational as measured in the gender project in tea, Kenya.
- For the gender PoC in Kenya we can link observed field level impact to changes at sector governance level. Also, within the Malawi Tea 2020 PoC there is a link between sector governance and field level, at outcome rather than impact level. The same goes for BOHESI in Ghana through which working conditions for female workers are addressed (output level result). For the other PoCs addressing gender, either sector governance is not addressed (Cocoa Nutrition Initiative Program, Better Cotton Initiative, and Race to the Top) or the pilot project did inspire sector governance (Empowering the Source, Ethiopian Horticulture Producer Exporters Association).

**Responsible Agrochemical Management (RAM):** *Strongest results observed in cotton (India) and projects in Vietnam (coffee, spices) but overall field level impact limited.*

- The ToC on responsible agrochemical management seems to ignore the role of the agrochemical and could have addressed implementation of Integrated Pest Management and the use of advances in technology more explicitly.
- The intervention strategy related to responsible agrochemical management differs across the respective programs due to differences between crops and the nature of the programs. Overall, field level impact is not very substantive.
- Cotton is the only program with a focus on responsible use of agrochemicals. It is addressed in the Better Cotton Initiative standard, meaning that field level results could be measured. This is the only PoC where there is a clear link between sector governance results and observed impact level results at field level.
- The interventions and reported outcome level results in tea, coffee and spices in Vietnam all relate to the work of ISLA Vietnam. Outcome level results observed for sector governance are due to the work in the agrochemical working group. Strong local presence contributed largely to measured results.
- The observed results in coffee in Vietnam relate to the company-driven Service Delivery Models although they emerged (partly) under the ISLA program, so to a certain extent sector governance influence could be observed. The observed changes at outcome level in the Tea PoC (Trustea) could not methodologically be attributed to the respective intervention, however these interventions can be traced back to sector level. The results in the Floriculture Sustainability Initiative (FSI) and Sustainable Spices Initiative (SSI) relate to project level interventions which have a sector governance component. The progress booked through the Cocoa and Forest Initiative (CFI) has not yet resulted in field level impact

# Executive Summary (XI/XIII)

## Living Wage & Working Conditions: *Strong results with impact at field level in Malawi (tea), and Vietnam and India (apparel)*

- IDH played a key role in the observed impact level results achieved through the Malawi 2020 program; the decrease of the living wage gap and enhancement of collective bargaining were critical targets and complex issues to tackle.
- Improved working conditions in the apparel and sportswear sectors in India and Vietnam, and the banana sector in Ecuador, are additional impacts at field level that were achieved with IDH's contribution.
- With the Dutch retail commitment on living wages, and new and more ambitious strategies for the Floriculture Sustainability Initiative (FSI) and Sustainability Initiative Fruit and Vegetables (SIFAV) in place, it is likely that sustainability became further embedded in these sectors. Child labor is being addressed at sector level through the Sustainable Spices Initiative (SSI) and Sustainable Vanilla Initiative (SVI). A multi-stakeholder membership is no guarantee of success and therefore IDH should be careful to anticipate the increased leverage this membership/increased dialogue can provide on outcome and impact level.
- For both PoCs in the apparel programs the observed improvements at field impact level relate to changes at sector governance level.
- The observed impact within the Sustainability Initiative Fruits and Vegetables (SIFAV) at field level does relate to change in sector governance but not as a result of SIFAV; rather, it is a result of the BOHESI project in Ecuador, co-funded by IDH.





# Executive Summary (XII/XIII)

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## **Efficiency is not monitored in a structured way.**

Cost efficiency is not monitored in a structured way and IDH's financial reporting system is not aligned with the PoC structure. It was not possible to determine which portion of IDH's activities is included in this assessment.

The organizational costs versus total expenditures ratio remained stable over the past four years and varied between 14-18%. Non-profits typically have overhead ratios of around 20% but some question the relevance of using a ratio like this as it will highly depend on what an organization aims to achieve and how it is organized.

The overall ratio between private sector and IDH contributions decreased and varies between programs despite IDH's ambition to increase the relative share of private sector contributions. The cotton and apparel program succeeded in attracting investments by the private sector and created a self-funding mechanism in which (private) funding safeguards future investments. However, the private sector showed less appetite to invest in as-yet unproven approaches in the context of challenging issues like deforestation and living wage. In addition, IDH shifted to work with smaller companies that have lower budgets available to invest. The expansion of the landscape approach sorts its effect; a larger share is not co-financed due to the fact that the finance model works differently and no longer meets the original co-financing definition.

IDH's procedures and requirements for implementing partners are perceived as cumbersome. Stakeholders argue that IDH has more complex administrative requirements than other funding organizations, and that IDH reporting requests are challenging and time consuming.

## **IDH steers systematically on sustainability but exit strategies do not always seem feasible within the given timeframe.**

Ex-post program evaluation reports show mixed results with regard to the long-term business case for farmers. Some of the third-party research reports (Wageningen University & Research report on Better Cotton Initiative, Agri Logic on Farm & Cooperative Investment Program) observe that farmers do not adopt trained practices fully or correctly. As a result, no or only limited impact can be measured. This does not necessarily mean that the ToC is not correct, but attention should be paid to understanding the driving force behind this. Sustained impact at field level can't be measured yet for most PoCs.

IDH's interventions are intended to last but ex-post evaluations conclude with mixed results, and for some interventions securing structural funding remains a challenge. It is difficult to sustain projects where IDH has an important convening role or a larger and more hands-on role like the facilitation of the platforms.

# Executive Summary (XIII/XIII)

## IDH further enhances its relevance, additionality and effectiveness through five innovation strategies.

Over the course of the evaluation period (2016-2020) IDH continued to innovate, aiming to create new ways to reach impact at scale. Five innovation strategies were identified to further drive sustainable market transformation:

1. Focus on data-driven insights to compile the business case for sustainable interventions (Farmfit, including Service Delivery Models).
2. Develop and deploy digital tools upstream and downstream to accelerate sustainable market transformation (Roadmap Living Wage, Digital Transformation).
3. Drive investable interventions from niche to norm through the development of innovative finance solutions.
4. Enable inclusive and transparent supply chains through the launch of a new market mechanism for landscape initiatives (SourceUp).
5. Unlock a premium market for smallholders, enabling them to earn a better income, through empowerment of SMEs (Value Chain Development).

With regards to coherence, relevance, additionality and effectiveness we observed the following:

- The five innovation strategies showed strong internal coherence and are coherent with IDH's impact themes.
- The innovations build on lessons learned in existing programs and on IDH's unique strengths and therefore safeguard relevance and additionality.
- Output data is available for Farmfit (private sector parties engaged, farmers reached, budget invested). For the other innovations like SourceUp, Finance Solutions, and Value Chain Development, a pipeline of projects has been developed but it is either too early in the engagement process or still confidential to report output data.
- Some pilots (Finance Solutions, Value Chain Development) show outcome level results, confirming effectiveness at project level.
- Each innovation has its own platform/website. The goals, target audiences, and end-user needs of these platforms are not always clear. The maintenance these platforms require might be underestimated. Future efficiencies might be gained by taking a more coherent approach in this context.
- Despite the confirmed internal coherence, relevance, and additionality of each innovation, IDH takes on many innovation tracks in parallel. It still remains to be seen whether IDH is able to deliver on effectiveness, impact, and sustainability for all of these tracks.



# Conclusions & recommendations (I/II)

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One of the key assumptions of IDH's strategy is that creating change in sector governance, business practices, and field level sustainability will result in market transformation and systemic impact for the public good. The vehicles to drive these changes are Proofs of Concept (PoCs). Scale should be achieved by either replication of the successful PoC and/or scaling the intervention.

## Our findings are mixed:

- We observe that IDH has grown into a big and influential actor in its context.
  - The available data support the hypothesis that IDH is an impact-driven organization that systematically steers on relevance, coherence and sustainability while scoring well on effectiveness, with most tangible results in sector governance and business practices. We also observed that IDH enhances its relevance, additionality and effectiveness through innovation.
  - We conclude that IDH is capable of accelerating existing initiatives (Cocoa & Forests Initiative, Better Cotton Initiative, Trustea), putting the pieces of a unique (innovative) puzzle together (Value Chain Development), or providing innovative finance solutions, including taking first loss positions (project with Neumann Kaffee Gruppe in close collaboration with ABN AMRO, Rabobank, BNP Paribas, USAID).
  - We conclude that IDH's ToCs per impact theme are logical but not always transformative by design.
  - We conclude that, to be transformational, you indeed need interventions at all three levels (sector governance, business practices, and field level sustainability) but also that you need a global reach of interventions at both supply and demand side. The best PoC addressing this is the scaling of the Better Cotton Initiative.
  - Straightforward replication of PoCs to reach scale and market transformation seems to be an overly simplistic assumption of reality. We have seen PoCs addressing all result areas in the local context of a specific theme. For example, in Malawi a decrease in the Living Wage gap could be observed. Theoretically this PoC is ready for replication. However, given the global nature of the sector, a truly global and sector-wide approach is needed to come to transformation. Next to that we observed that successful field level interventions potentially lead to replication, for example with new projects leveraging learnings of the Gender project in flowers in Ethiopia, but this replication is not necessarily a guarantee for scale within a sector. The best example of replicability and continuous improvement is the Service Delivery Model methodology (SDM). However, SDM is a methodology and not an intervention program in itself. It is a tool for companies to be (hopefully) more effective.
- Our assessment showed that IDH overpromised on its impact. IDH's ToCs lack specificity on when to expect impact as well what exactly to expect. This makes it challenging to determine the reason why impact cannot be measured yet: it could be due to insufficient attention given to the complexity of the issue, execution error, or other driving forces.
  - We observe that IDH has an organic way of learning and an entrepreneurial drive, resulting in many new initiatives. As a result, IDH efforts are diluted. At the same time there is a strong focus on quantifying a large number of KPIs and a push for proofing impact whereas a focus on understanding crucial outcomes might be more effective.

# Conclusions & recommendations (II/II)

## Going forward we recommend:

- a) IDH should make a strategic choice on its role and portfolio. Is IDH an incubator or does it want to drive transformative change in a few sectors? As an incubator IDH can leverage its innovative power and entrepreneurial drive, addressing many issues at a smaller scale to test and improve a specific approach. IDH will need others to further scale. On the other hand, for transformative change at global scale IDH's focus should be on one or two issues and a small selection of sectors; even then, being prepared to accept failure. The choice is not necessarily black and white. The portfolio can be built along these lines, based on sector analysis and acknowledging there are more potential pathways from niche to mainstream than the model applied for the 2016-20 strategy.<sup>6</sup>
- b) Whichever choice is made, IDH should be transparent on the expected impact within a specific timeframe in close collaboration with donors and other stakeholders. IDH should commit to and describe clear outcomes, and where possible the impacts as well as external factors that will determine these. Next to IDH's contribution, it should be transparent about the contributions of other parties as well as the role of donors.
- c) Ensure that the supporting systems, procedures and processes are in place to safeguard relevance, additionality, coherence, and sustainability across the full portfolio as well as over the timeline of the respective interventions and in line with the choices made (incubator vs transformer):
  - Align budget reporting with the intervention agenda enabling future assessments on cost-effectiveness and intermediate monitoring.
  - Extend the Investment Committee Process with an interim check and an end evaluation for most material interventions on key aspects (e.g., requested KPIs on ROI, way of addressing 'do no harm'). Ensure findings of the Investment Committee Process are accessible for future evaluators. Address current missing OECD/DAC criteria in the process (coherence).
  - Encourage the search for structural learning and reward transparency in communication. Systematically administer which lessons were learned at program level and ensure exchange of learnings between programs in a structural way.
  - Be more targeted in data requests towards the implementing partners, limit number of KPIs, and ensure the partner benefits equally from efforts. Be transparent on how data is used.
  - Monitor whether exit strategies (intervention level) are still valid and feasible over the course of an intervention and adjust where necessary. Be involved in and develop ways to scale programs and initiatives and adjust exit timing to the need of the program. Do not leave a project too soon. Determine whether a project is indeed scalable, and whether others are willing to invest.
- d. Strengthen the future evidence base and align upfront with donors which PoCs and/or interventions should be central in the evidence base, to prevent this being determined in the context of the evaluation.
  - Ensure the most material interventions are covered through independent evaluations (baseline and end-line) and safeguard consistency in approach of these evaluations, for example with consistent interpretation of OECD/DAC criteria. Ensure it includes both impact measurement at field level and the adoption of practices as a proxy for impact including an analysis on why farmers have or have not adopted the improved practices.
  - Guide and monitor programs and interventions with respect to the program level ToC; avoid loaded terms, limit KPIs, and ensure clear description of expected results and outcomes. Ensure outcomes are defined as change in behavior of the beneficiaries. Specify achievable and measurable ambitions at program and intervention level, be explicit on expected timelines, and bring these in line with the timeline of the intervention.
  - Review the new Results Measurement Framework and include more clear direction on how data should be verified, as well as suggestions for how this can be organized. The document should also address how to monitor consistency across programs and/or projects within a program.
  - Consider including new techniques and alternative sources (big-data, satellite imaging, AI) to support impact measurement in an efficient manner.

<sup>6</sup> Market transformation model: 4 phases of market transformation by [NewForesight](#)

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# 1. IDH 2016-20 in a nutshell

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# IDH 2016–20 in a nutshell (I/III)

## IDH’s strategy to achieve systemic change

IDH has been contributing to the improvement of the sustainability of production systems in developing countries through supply chains since 2008. Its key assumption in the light of the Multi-Year Plan 2016–20 is that only through creating change at three integrated levels (sector governance, business practices and field-level sustainability), market transformation can be achieved, resulting in systemic impact for the public good.

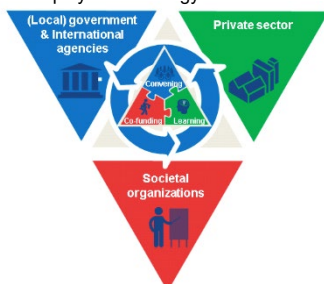
IDH has defined five cross-cutting impact themes to focus its efforts and guide IDH and its partners toward the Sustainable Development Goals (SDGs). These impact themes are: [Smallholder Inclusion](#), [Mitigation of Deforestation](#), [Gender Equality and Empowerment](#), [Responsible Agrochemical Management and Living Wage and Working Conditions](#).

IDH aims to change business practices of financial institutions, retailers, brands, manufacturers, traders and producers in terms of sustainable sourcing, making investments, monitoring and offering services to farmers and workers. To secure effective and structural changes, public and private strengths need to be aligned through sector and landscape governance. Part of IDH’s exit strategy is to institutionalize sector governance and embed it within business strategy and practices.

IDH’s deployment strategy can be summarized as follows (see Figure 1 below which shows how IDH acts in relation to its stakeholders in the light of its activities):

- **Convening:** IDH bundles public and private interests and strengths to solve complex issues and unlock large-scale sustainable production and trade; IDH convenes governments, civil society organizations and companies in public-private action-oriented coalitions across global commodity supply chains.
- **Co-investing:** Through co-funding, IDH leverages business interests to drive sustainable sector transformation; 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.
- **Learning and innovation:** IDH pilots, evaluates and disseminates lessons learnt and best practices.

Figure 1: IDH’s deployment strategy and interaction with stakeholders



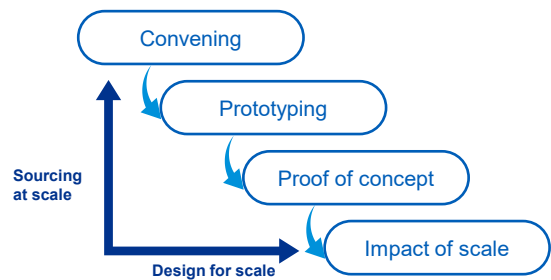
Source image: IDH MYP 2016-2020 vol I

## Defining Proofs of Concept (PoCs) as vehicles to drive change

From 2018, programs organized their activities under Proofs of Concept (PoC) and IDH used ‘Proofs of Concept’ in its annual reporting to relate progress to. Within each PoC, the different deployment strategies as mentioned, are addressed and tailored to the specific objective of the respective PoC.

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’. The figure below visualizes the framework IDH applied to its portfolio strategy and the role of the PoC in this context.

Figure 2: IDH’s framework to achieve impact at scale



Source: IDH MYP 2016-2020 vol I

The tables on page 25-27 detail the PoCs in scope of this assessment, organized per program and includes the impact themes they intend to address. We observed that some PoCs were not fully compliant with the IDH definition. Over the course of the evaluation period (2016–20), IDH continued to innovate. It aimed to create new ways to reach impact at scale by leveraging its ability to quickly adjust initiatives as well as to provide the next intervention responding to the phase of market transformation of a specific sector. An assessment on the initial results of these innovations was part of this evaluation (Chapter 4).

## Theory of Change per impact theme

For each impact theme, a Theory of Change (ToC) is formulated, of which the plausibility was assessed in the first assessment through literature review. These ToCs were used as the starting point for the evidence assessment on IDH’s actual contribution in both the midterm evaluation and this end-line evaluation. Over the course of the evaluation period, IDH made refinement to these ToCs to reflect the change of the overall program strategies. In Chapter 2, we explain how we used these updated ToC in the context of this evaluation.

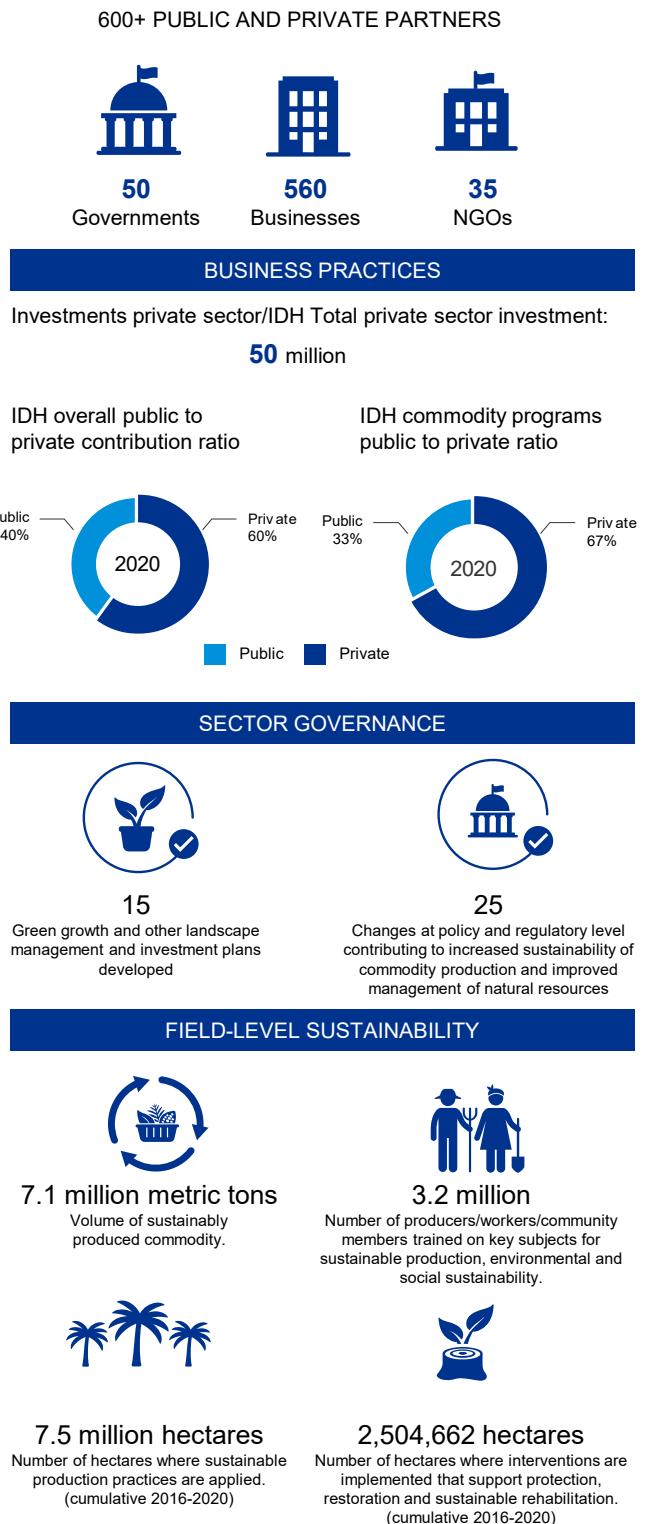
# IDH 2016–20 in a nutshell (II/III)

## IDH has grown into a global player but does not act on its own

Currently, IDH has programs and projects running in 36 countries (excluding Europe) covering over 25 commodities. IDH's headquarter is located in the Netherlands. Although we observed an increase in local entities, the underlying vision is that IDH establishes legal presence only in countries where a long-term strategy to develop and manage locally funded programs is in place, or where this is required based on local laws (P.20).

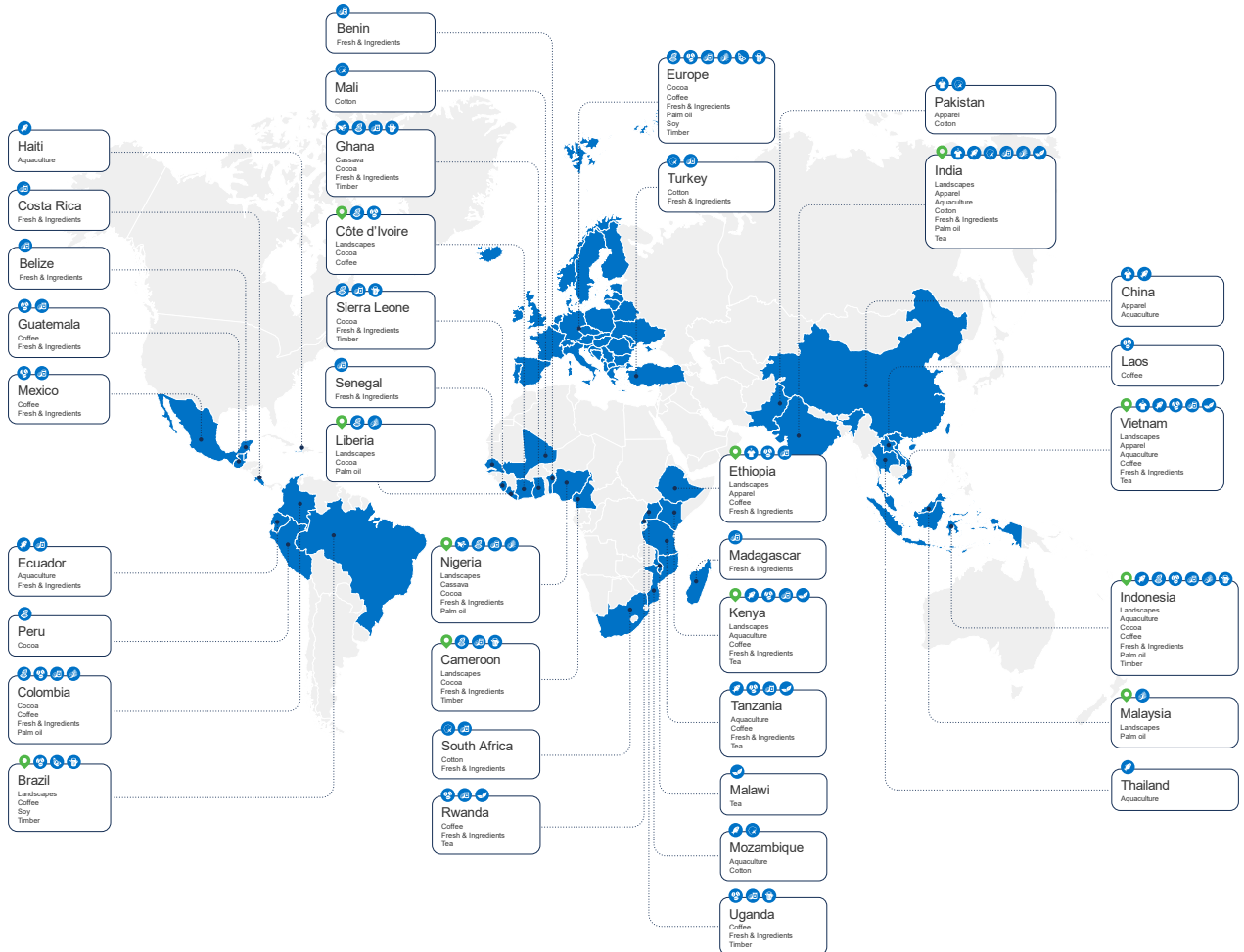
IDH can leverage on 600+ public and private partners, and the outreach of their interventions in terms of number of people reached and/or hectares covered by sustainable production communicated, has to be seen in this light (P.20). IDH's programs and landscapes differ significantly in nature with respect to how they aim to reach field-level impact. In some interventions/programs, an impressive number of farmers received treatment related to the intervention and are reported where other program's outreach to farmers/end beneficiaries is indirect. In none of the interventions IDH reported on, it acted on its own; other parties contributed as well.

Figure 3: IDH in facts and figures (source IDH annual report 2020)



# IDH 2016–20 in a nutshell (III/III)

Figure 4: IDH's global outreach per country and commodity (source IDH annual report 2020)
















# IDH's intervention program in more detail (overview of PoCs per program) (I/III)

Program/Landscape	Proof of Concept	Theme(s)	Geographical scope	Phase
Apparel	<p><b>Working Conditions: Worker Engagement (RttP)</b></p> <p>Fostering worker management dialog and productivity in collaboration with industry, CSOs and public partners. This empowers workers and creates worker panels that serve as continuous improvement muscle for working conditions, while higher productivity can increase the take-home wage for workers earning a piece rate (~30% of the industry) and improve factory profitability creating a margin for improving wages for workers earning hourly wages.</p>		Vietnam	Completed
	<p><b>Working Conditions: Life &amp; Building Safety</b></p> <p>The LABS program, based on a harmonized assessment method, strives to make the apparel and footwear supply chain safe from safety risks related to structural, electrical and fire safety, and to facilitate evacuation.</p>		Vietnam and India	completed
Aquaculture	<p><b>Aquascapes: Do More with Less</b></p> <p><b>Five projects:</b> China Blue - Hainan Guangdong Tilapia; Walton, Banyuwangi, Indonesia - Investment Guidelines &amp; Implementation; SFP, Thailand - Shrimp Health Resources Improvement Project (SHRImp); VINAFIS &amp; VASEP, Vietnam - Promoting sustainable aquaculture through strengthening public private collaboration in the Mekong delta; Sustainable Shrimp Partnership (SSP), Ecuador</p>		China, Indonesia, Thailand, Vietnam and Ecuador	In progress
	<p><b>Local Food: Production and Value Chain Development</b></p> <p><b>Two projects:</b> Chicoca, Mozambique - Developing a Sustainable Tilapia Sector in Mozambique and Taino Aqua Ferme, Haiti - Feeding Haiti with farmed fish</p>		Mozambique and Haiti	In progress
	<p><b>Innovation: Data-driven Approach</b></p> <p><b>Five projects:</b> eFishery, Indonesia - Disease Intelligence Platform for Shrimp and Catfish Farms; Jala, Indonesia - Disease Platform Jala; AquaConnect, India - FarmMOJO - Better disease management using machine learning; Larive, Kenya - Proving the business case of Kenian Tilapia Farming through the introduction of a data-driven approach; Larive, Tanzania - Proving the business case of Tanzanian Tilapia Farming through the introduction of a data-driven approach</p>		Indonesia, India, Kenya and Tanzania	In progress
Cocoa	<p><b>Farm and Coop Investment Program (FCIP)</b></p> <p>Enabling the development of 220 professional cooperatives/entrepreneurial farmers and creating a sector-wide enabling environment for farmers and cooperatives, including engineering 11 financial products to reach 130.000 (cocoa) producers.</p>		Côte d'Ivoire	Completed
	<p><b>Cocoa Nutrition Innovation Program (CNIP)</b></p> <p>Develop, validate and benchmark different models to be applied by the cocoa industry to effectively address the underlying causes of malnutrition through adjusting farm services leading to improved diets and loyalty.</p>		Côte d'Ivoire and Ghana	Completed
	<p><b>Cocoa &amp; Forests Initiative (CFI)</b></p> <p>The CFI is recognized as a leading action-oriented public-private-civil-society partnership able to effectively end cocoa-related deforestation and support forest restoration in key cocoa-producing countries, starting with Côte d'Ivoire and Ghana.</p>		Côte d'Ivoire and Ghana	In progress; design phase just completed
Coffee	<p><b>Smallholder Resilience</b></p> <p>Through innovative service delivery eco-systems, income resilience (diversification and productivity) and joint household (business) decision making (improved gender equality and youth engagement), smallholder household resilience will be strengthened, and the coffee supply base will be more stable and sustainable.</p>		Vietnam, Indonesia and Uganda	In progress
	<p><b>Water and Climate Smart Agriculture</b></p> <p>Through policy dialog, testing field-level innovations and innovative financial solutions, economically viable and water-efficient smallholder irrigation access will be rolled out at scale, leading to less water use (Vietnam) and more climate-smart production systems (Uganda and Tanzania).</p>		Vietnam	In progress
	<p><b>Responsible Use of Agro-inputs</b></p> <p>Through policy dialog, innovative finance deals for input financing, and innovative SDM eco-systems, agro-input (mainly fertilizer) use is made economically viable and more environmentally responsible, leading to less pollution and increased income for smallholder farmers.</p>		Vietnam, Indonesia and Uganda	In progress

# IDH's intervention program in more detail (overview of PoCs per program) (II/III)

Program/ Landscape	Proof of Concept	Theme(s)	Geographical scope	Phase
Cotton	<p><b>Better Cotton Initiative (BCI)</b></p> <p>By partnering with the Better Cotton Standard, we can achieve impact at scale for smallholder farmers and on RAM. By training 3.5 million farmers on good agricultural practices (GAPs), improved use of water and optimal use of chemical inputs, awareness of the Decent Work conditions on farms and improved profitability, we can transform one-third of the global cotton production into sustainable cotton.</p>		(list countries)	Ongoing
	<p><b>Securing Smallholder Livelihoods</b></p> <p>By establishing farming-related livelihood activities (beyond and related to primary crop), additional revenue will be generated by the farmers and related organizations, resulting in an increase in climate resilience of smallholder farmers.</p>		India and Mozambique	Completed
Fresh & Ingredients – sector platforms	<b>FSI – Floriculture Sustainability Initiative</b>		Global	Ongoing
	<b>SSI – Sustainable Spices Initiative</b>		Global	Ongoing
	<b>SIFAV – Sustainability Initiative Fruit and Vegetables</b>		Global	Ongoing
	<b>SJC – Sustainable Juice Covenant</b>		Global	Ongoing
	<b>SNI – Sustainable Nuts Initiative</b>		Global	Ongoing
	<b>SVI – Sustainable Vanilla Initiative</b>		Global	Ongoing
Fresh & Ingredients Value Chain Development	<p><b>HortInvest</b></p> <p>Through direct support in capacity building and by cofounding through the Investment and Innovation Fund (IIF), SMEs will get access to premium fresh produce export markets in Rwanda.</p>		Rwanda	In progress
	<p><b>Cassava</b></p> <p>By setting up efficient outgrower schemes, industrial cassava processors can secure supply to fully utilize their capacity. This will result in an attractive, inclusive investment proposition for financial institutions, investors and donors to unlock available sector financing resulting in improved income and resilience of smallholder farmers</p>		Nigeria and Ghana	In progress
Landscapes	Brazil		Brazil	Ongoing
	Indonesia		Indonesia	Ongoing
	Liberia		Liberia	Ongoing
	Ethiopia		Ethiopia	Ongoing
	Côte d'Ivoire		Côte d'Ivoire	Ongoing
	Kenya		Kenya	Ongoing
	Vietnam		Vietnam	Ongoing

# IDH's intervention program in more detail (overview of PoCs per program) (III/III)

Program/ Landscape	Proof of Concept	Theme(s)	Geographical scope	Phase
Market Ends	<b>Palm Oil:</b> The Palm Oil program will achieve 100% sustainable and traceable palm oil in the EU through shared governance of targets driving public and private policy innovations, verified region sourcing providing clear market incentives, and supply chain convening for the verified sourcing areas.		Upstream markets	Ongoing
	<b>Soy:</b> The Soy program will make sustainable soy mainstream through shared governance of targets driving public and private policy innovations, verified region sourcing providing clear market incentives, and supply chain convening for the verified sourcing areas.		Upstream markets	Ongoing
	<b>Tropical Timber:</b> The Tropical Timber program reduces deforestation and forest degradation by strengthening the business case for SFM and forestry business models and is based on three pillars: 1. European Sustainable Tropical Timber Coalition (STTC) partners implementing policy plans, action plans and market data-based approaches to accelerate European demand for verified sustainable tropical timber; 2. Co-funding innovation in sustainable forest management and forestry business models in selected landscapes; 3. Co-funding innovation in certification schemes, resulting in 2 million hectares of additional forest under SFM.		Upstream markets	Ongoing
	<b>SourceUp:</b> It is an inclusive sustainable sourcing model that builds on strong local government involvement and creates a pre-competitive space for buyers. It matches the global demand for sustainably produced commodities with local sustainability priorities/achievements, and enables a diverse range of both existing and future landscape initiatives to be featured and cultivated in one global space. It enables companies to create tangible impact in their sourcing regions, based on local needs.		Global approach	Ongoing
Tea	<b>Malawi Tea 2020</b> Through the convening of the Malawi Tea 2020 supply chain partnership (35 organizations), a roadmap is developed and implemented to: 1) revitalize the Malawi tea industry, 2) empower Malawi tea workers and improve their livelihoods and create opportunities for women, and 3) improve buyer procurement practices; and as a result, achieve a profitable, competitive Malawi tea industry where its workers earn a living wage by 2020.	 	Malawi	Completed
	<b>Gender Empowerment Program Kenya and Beyond</b> By addressing gender-based violence (GBV) issues in the tea supply chain in Kenya through the platform, via prevention and response, IDH aims to develop viable business solutions leading to a better gender balance and reduction of GBV in Kenya.		Kenya	Completed
	<b>India Trustea</b> Through the implementation of the voluntary sustainability code for the Indian domestic tea market, the Trustea code, this PoC focuses on sustainable domestic market transformation in the Indian tea industry. The code should be a credible, independently run scheme that is recognized by key players in the Indian tea industry. Buyers should be able to source as per their desired quality parameters, and the intention is to reach critical mass through the verification of 45% of India's tea production as Trustea. An increasing number of producers should become Trustea verified and smallholder profitability should be improved through Trustea service delivery.	 	India	Completed
	<b>Smallholders (Tanzania and Broader)</b> By strengthening the relationship between smallholders and an established tea value chain partner and creating a balanced power relationship, smallholders receive good quality services and are therefore able to improve their production practices resulting in resilient and empowered farmers (e.g. health, education).	 	Tanzania, Rwanda, Malawi and Vietnam	Completed

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## 2. Introduction to the evaluation and research approach

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# Introduction to the evaluation and research approach (I/VIII)

## End-line portfolio evaluation as part of IDH Impact evaluation 2016–20

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 the first assessment study in 2016 which provided the first synthesis of the available impact evidence for each impact theme as well as per result area.

KPMG was appointed to execute the midterm evaluation and the end-line evaluation, based on the original methodology, and included an expert panel to validate the findings. The details of this original methodology are described in the respective evaluation reports. We summarize our approach in this chapter and highlight methodological elements specific for this end evaluation.

## Objective of this evaluation and research questions

The overall objective of this final evaluation is to assess the relevance, coherence, effectiveness, efficiency, impact and sustainability of IDH's program portfolio between 2016 and 2020. Lessons learned from the evaluation should support IDH to improve its future performance.

In this report, we answer the following research questions:

1. How did IDH perform against the OECD/DAC criteria: Relevance, Coherence, Effectiveness, Efficiency, Impact and Sustainability (OECD DAC criteria)? (Chapter 3: *IDH performance against the OECD DAC Criteria*)
2. To what extent did IDH's recent portfolio innovations enhance performance? (Chapter 4: *Innovation and evolution: enhancing relevance, additionality and effectiveness*)
3. How did IDH's programs and landscapes perform with respect to three result levels (outputs, outcomes, and impacts) and three result areas (sector governance, business practices and field level sustainability)? (Chapter 5: *IDH's Contribution to Results – theme-level achievements and Appendix I: IDH's Contribution to Results – program-level assessments*)

Figure 5 on the right visualizes how these elements relate to each other.

## A methodology based on contribution analysis

The core of the methodology applied in the first assessment, the midterm evaluation and this end-line, is based on contribution analysis, combined with elements of process tracing to develop and underpin the impact storylines for each impact area.

Contribution analysis is used to test the ToC for each impact area against the evidence. Principles of process tracing are used for collecting information on past events and/or decisions that will be used to explain why certain changes have occurred. The principal motivation to opt for contribution analysis is to find a systemic way to exploit a variety of monitoring information to assess impact, even when it is challenging to attribute the outcomes unambiguously to the interventions. The attribution challenge is typical to IDH's work. 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.

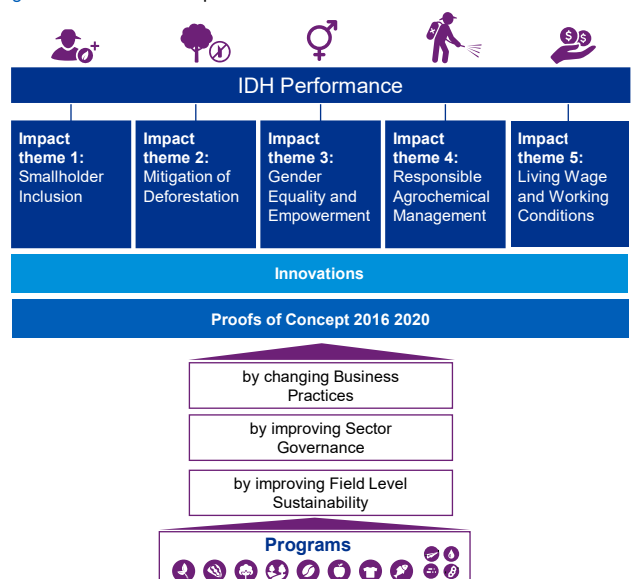
In summary, the core questions we try to answer for each step in the impact pathway are:

- Can we observe if change has happened?
- Can we observe IDH's contribution in this?

IDH partners with governments, CSOs and companies (see Fig 1, page 22). Observing IDH's contribution does not mean others did not contribute. Where applicable, we acknowledge these other parties but have not quantified their contributions.

In the next paragraphs, we explain in more detail our approach and describe which data sources we used for our research.

Figure 5: Framework scope evaluation



# Introduction to the evaluation and research approach (II/VIII)

## IDH's performance against the OECD DAC criteria: methodology and approach

### Tailored questions to evaluate according to the OECD DAC criteria

IDH formulated a set of specific research questions (see table below) to be answered using the Organization for Economic Co-operation and Development/Development Assistance Committee (OECD DAC) criteria. The OECD DAC has developed [six evaluation criteria](#)— relevance, coherence, effectiveness, efficiency, impact and sustainability. These criteria provide a normative framework used to determine the value of an intervention. The criteria serve as the basis upon which evaluative judgements can be made. These criteria reflect the questions addressed in previous corporate evaluations and questions received from IDH's donors in the past. The questions were provided to KPMG in the 'Terms of Reference' (ToR) for this evaluation.

Each research question is further refined by IDH and KPMG using underlying questions in order to adjust the OECD DAC criteria to IDH's context. KPMG has further specified the questions in order to set the scope and to identify the data sources and collection methods (Appendix II). In addition, our conclusions with regard to effectiveness and impact also reflect the main conclusions derived from the impact assessments per theme ('Objective 1' in the ToR).

### Stepwise approach

To answer the research questions, we followed a stepwise approach:

1. We assessed how the OECD DAC criteria are embedded in the IDH organization through policies and procedures.
2. We evaluated how projects apply these processes and/or how they act in practice; for this we selected six projects, the so called 'in-depth assessments'. These projects should be able to illustrate IDH's performance but are not expected to be representative for the full portfolio. In addition to the available documents per project, we used interviews with the project teams.
3. We included a meta evaluation of seven recently conducted ex-post evaluations of IDH's programs.
4. Conclusions and insights are validated leveraging stakeholder interviews, the sector survey and evidence from the different program evaluations per impact theme.
5. A panel of three methodological experts has provided feedback to the methodological approach of this end-line evaluation and challenged our conclusions as presented in the final draft version of this report. Their feedback was used to validate and shape the

methodology and strengthen this final report. The framework expert consultation as well as the summary of the final consultation session can be found in Appendix VI.

On page 33 we present our data sources in detail and on pages 34 and 35 we explain the way we systematically triangulated our findings.

## Assessment of IDH's recent innovations: methodology and approach

We analyzed IDH's innovations and validated our findings, combining qualitative and quantitative methods:

1. We identified IDH's innovation strategies and the respective core innovation through interviews and validation sessions with IDH's Management team and a review of the annual plans.
2. To measure the effectiveness of IDH's innovations, we analyzed whether a measured increase in programs, change in impact topics, outreach (geographically and population) and private sector engagement (number of partners, budget invested) could be linked to the core innovations of the respective strategies.
3. We validated and contextualized our findings through key informant interviews and sector survey to measure to what extent the innovations increased the additionality of IDH and relevance for the sector and communities.

# Introduction to the evaluation and research approach (III/VIII)

Figure 6: IDH's specific research questions to assess their performance

Criteria	Re-phrased questions
Relevance	1. Does IDH's <b>initiative</b> respond to the relevant needs and serve well-identified beneficiaries in partner countries and communities?
	2. How does IDH's <b>initiative</b> perform according to the criteria of 'additionality' of the Donor Committee on Enterprise Development (DCED)?
Coherence	3. Does IDH's <b>initiative</b> usefully complement and develop synergies with other development assistance interventions in related areas?
Effectiveness	4. Has IDH's <b>PoC</b> achieved, or is it expected to achieve, its objectives at output and outcome levels?
	5. How does IDH's role and measurable results in the respective <b>programs</b> differ throughout the different phases of market transformation?
Efficiency	6. Are IDH's individual <b>initiative</b> expenditures proportional with results at output and outcome levels?
Impact	7. Within a given <b>PoC</b> change, logic flows from sector governance to the field level; do changes of sector governance lead to field-level changes on behavior and well-being of individual producers/workers and/or prevention of environmental degradation of production areas?
Sustainability	8. Within each proven business cases of private sector players, is there a business case for individual producers?
	9. How do IDH's <b>initiatives</b> safeguard power balance between producers and service deliverers? Are farmers' interests well represented in IDH's programming at the field level?
	10. To what extent are the outcomes and impact of IDH's interventions expected to continue after project completion? ( <b>initiative level</b> )
Lessons learned	11. How has IDH developed its corporate reporting in response to the midterm review (PEMconsult, 2018) and midterm evaluation (KPMG 2019)?
	12. How has IDH developed its data strategy to prove and validate key RMF statistics?
	13. Within a given <b>initiative</b> , is the pre-established ToC confirmed by program results or not? Is there an alternative hypothesis in question?
	14. What are the lessons learned from the evaluation to improve the performance of IDH's future interventions?

# Introduction to the evaluation and research approach (IV/VIII)

## IDH's contribution to results: methodology and approach

The research methodology applied for the assessments per impact theme builds upon the methodology described in the first report (see Chapter 2 of 'Assessing our contribution to public good impacts (2016–20): First assessment report on the existing evidence behind IDH's impact stories') and the refinements made for the midterm evaluation. We build on the existing evidence base and observed results through the midterm evaluation.

Stepwise approach (see figure below):

1. At the start of our research, a panel of theme experts (see Appendix VI for details of the expert framework and constitution of the panel) confirmed plausibility of the ToCs. The ToCs reflect IDH's expectations about the causal relations between its support activities and their final outcomes and impact per impact theme. We adjusted the assessment framework used in the midterm in answer to IDH's request to report at the PoC level instead of the program level. In these assessment frameworks, we document, categorize and assess the multiple sources of evidence to ensure all our assessments are traceable and transparent.
2. 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. We consulted the IDH team for clarification or requested additional documentation. We validated our findings with the IDH program teams.
3. We triangulated our initial findings through stakeholder interviews and the survey results by asking interviewees about specific moments in time when changes had occurred in a sector, and examples of how IDH's activities and events have played a role in these change processes. We conducted a survey, to capture perceptions on IDH's impact from a broad group of stakeholders.

4. We validated our final findings with the IDH program teams and the IDH Management team.
5. A final validation was done through consultation of the theme expert panel. We shared our detailed findings (Appendix I), our draft narrative summarizing our results (Chapter 5), the summary tables per impact theme (see page 63-79) and our assessment frameworks, and gave them access to the full data room. Their validation statements are included in our report.

In Chapter 5, we summarized our findings. To substantiate conclusions per impact theme for sector governance, business practices and field level, respectively, we applied the following principles at each level:

### 1. Impact claims

Select and assess the strongest impact claims to confirm contribution to impact (or not).

Illustrate the 'share' of the programs the claims relate to in terms of the number of PoCs, spent (institutional donor contribution), and the number of people and/or area targeted.

The maturity of the PoCs has been taken into account, especially when no impact could be observed.

### 2. Outcomes

For PoCs where impact cannot (yet) be claimed, strong examples of outcomes are highlighted.

Where possible, specific outcomes are illustrated as proxies for impact when appropriate (e.g. cash contributions, higher wages, increased yield) and supported by primary data.

### 3. Output

For PoCs where no impact or tangible outcomes can be claimed, we confirm whether target program outputs can be observed.

Figure 7: Summary Evaluation Approach





# Introduction to the evaluation and research approach (V/VIII)

## Multiple sources used for the analysis

We assessed different sources of evidence (Figure 10) to answer the research questions. Some of the sources covered the entire scope of IDH's intervention at that time, while others tuned into a specific topic.

### IDH's 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. Over a thousand documents were assessed.

### Ex-post evaluation studies

The most recent ex-post evaluation reports (seven in total) were selected for a meta analysis in the context of Research Question 1 and for the in-depth assessment (Research Question 3).

Although the more recent reports show stronger consistency in the approach, the overall conclusion from analyzing the reports is that it is not possible to draw representative conclusions for the entire portfolio based on these reports alone. We observed that the interpretation of the OECD DAC criteria differs among the reports and reports do not cover (all) OECD DAC criteria or cover them in a more general way providing a qualitative reflection. In addition, the PoCs covered, differ in nature and level of maturity. Therefore, we have given less weight to these reports than anticipated in the inception report to focus more on the policies and procedures in place and used all available sources to support the conclusions. This was done in order to be able to draw conclusions for each of the OECD DAC criteria. The table on page 36 summarizes findings through these ex-post evaluation reports.

### In-depth project assessments

The first high-level assessment of available evidence learned that IDH's data room would be insufficient to assess all interventions and projects in the light of the specific research questions related to the OECD DAC criteria (see Figure 6, page 31). Therefore, we selected across IDH's portfolio, six projects for an in-depth assessment. We ensured this subset was complementary to the expected ex-post evaluation reports in terms of impact themes and programs covered. Next to that, we focused on projects that addressed one impact theme and operated in one country/region enabling us to be as specific as possible. Figure 8 (next page) gives an overview of how themes and programs are represented through both the ex-post evaluation as well as the in-depth

project assessments. Appendix II gives a short description of the projects in scope.

For each of these projects, we first assessed the data room on available evidence to answer the specific research questions. We completed the data per project through a questionnaire we developed for the IDH project managers. Based on their answers and the additional data they provided, we had a validation session with them.

### The sector survey

KPMG has conducted a survey which has been distributed among 421 stakeholders. The stakeholders were asked to provide input to the performance of specific programs and IDH as an organization. The aim of the sector survey was to allow the respondents to provide open answers and context to their response. The survey thus provides relevant insights on the performance on the OECD DAC criteria and can show patterns, but the answers provided may not be representative for the entire portfolio. IDH provided KPMG with a list of possible respondents to participate in the sector survey which was held in March 2021. The response rate of the sector survey was 21%. 156 respondents started the survey and 92 respondents completed it. We decided to process all answers to base our analysis on the largest set of data available. The survey score was 21% compared with the industry standard of 20% (See Appendix IIIe for more details).

### Stakeholder interviews

KPMG has conducted 62 semi-structured interviews with IDH's key stakeholders. The stakeholders are selected by KPMG based on a long list of 203 stakeholders as shared by IDH. Many of these stakeholders were also included in the sector survey. Purposive sampling is used in order to get a representation of stakeholders for each specific theme (see Appendix IIIe for details on interviewees). The OECD DAC criteria were reflected in the questions with a focus on effectiveness, relevance, sustainability and additionality of IDH's contributions (interview guide included in the final report). The interviewees were, among others, asked to reflect on the performance on the OECD DAC criteria based on their own experience with IDH.

# Introduction to the evaluation and research approach (VI/VIII)

## Other (IDH documentation)

In addition to the data room (which focuses on evidence specifically related to the achievements of PoCs), supporting documents have been analyzed to get a better understanding of how the OECD DAC criteria are implemented in IDH's processes and procedures, such as:

- IDH's annual reports
- Pre-(contractual) documents
- Proposal templates
- Investment Committee Process charts
- Internal procedures, strategy documents, etc.

See Appendix IV for a full list of documents used in this evaluation.

Figure 8: Overview of PoCs selected for the in-depth project assessment and ex-post evaluation reports

	Smallholder	Deforestation	LW&WC	RAM	Gender
Coffee	SDM Vietnam				
Cotton	Maharashtra				
Cocoa	CNIP	CFI Cote d'Ivoire			
	FCIP				
Apparel			LABS		
			RttT		
F&I			Fyffes		EHPEA
Market End Program		Palm			
Tea					Tea Kenya
Aquaculture				Aquaculture	
Landscapes		NICFI			
		ISLA			

Key: ■ In-depth project assessments ■ Third party research

# Introduction to the evaluation and research approach (VII/VIII)

## Systematic triangulation of evidence

Over the course of the evaluation, we systematically triangulated our findings. The figure below visualizes how we approached this. We based our strongest conclusions on the ex-post evaluation studies. In general, these third-party studies were based on mixed method studies and included triangulation.

For PoCs who lacked such a report, our main source of triangulation was the extensive interview program. In our detailed assessment (see Appendix III), all claims are referenced. We made reference either to one or more written sources or to one or more interviews in which the specific claim was discussed.

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 and the midterm evaluation, 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). Furthermore, at this point in time, it cannot be proven yet that impact results found for one specific PoC will be successful in a different context.

### Lack of consistency in ex-post evaluations

The programs within IDH's portfolio have different levels of complexity and differ in nature. Comparing these interventions and providing representative conclusions is thus complicated. Furthermore, programs may not have been finalized yet to allow a thorough evaluation and the evaluations which have been performed are not always consistent in their approach to cover all OECD DAC criteria (or have translated the criteria to different underlying questions). See the previous slide for an overview.

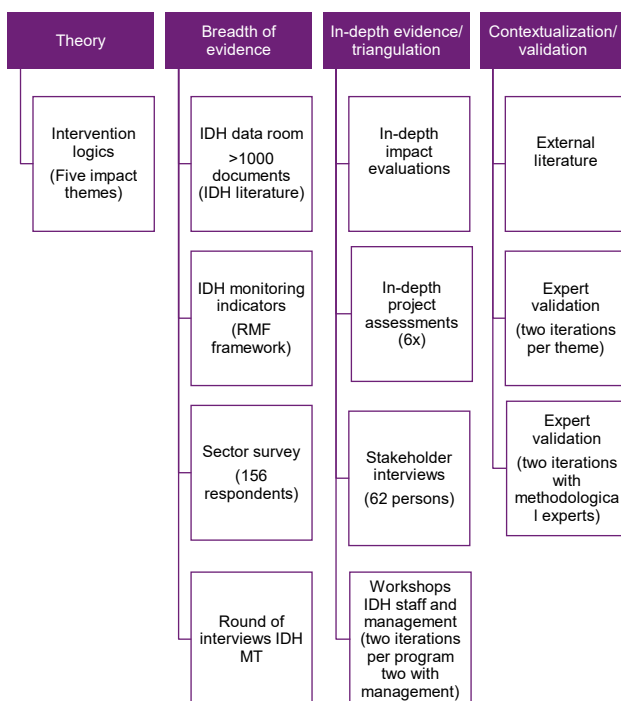
Based on documentation and evidence, it is thus not feasible to come to an overarching assessment across the full portfolio. The subset of data analyzed cannot be considered a representative sample and our evaluation would therefore seek to identify common findings, contradictions, good practices and lessons in response to each of the evaluation questions. Where relevant, a reference is made to the underlying sources.

### Quality of evidence provided is relatively low

We systematically assessed the quality of evidence provided through IDH's data room. This led to a score for each document (maximum score of 18). In Chapter 5, we communicate the average score per Proof of Concept, per impact theme and indicated the score of the highest quality document. The scoring does not include a score on the actual quality of the research performed.

The overall quality of provided evidence was relatively low; average scores for an individual PoC between 5 and 7 were not an exception. The extensive interview program (>60 interviews) was used to triangulate claims which were poorly documented. So even if the available evidence was limited, we did not shy away from coming to a conclusion and discussed these claims with the theme experts.

Figure 9: Sources of information used in the evaluation



## 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

# Introduction to the evaluation and research approach (VIII/VIII)

## Summary of findings ex-post evaluation reports

The table below summarizes our assessment of the ex-post evaluation reports. All reports assessed, covered effectiveness (the extent to which output- and outcome-level results have been achieved). We included these findings in our program-level assessments and in more detail in the program reports. The summary of these findings is included in the paragraph on Effectiveness. That also goes for the criterion 'Impact'.

Figure 10: Summary of findings through ex-post evaluation reports

Report	Themes	Relevance	Additionality	Coherence		Efficiency	Sustainability
				External	Internal		
<b>1 – LABS</b> Apparel MYP 2-16-2020 – Independent Impact Research: Final Evaluation Report (Mekong Economics)		?	+	+	?		?
<b>2 – RttT</b> Apparel MYP 2-16-2020 – Independent Impact Research: Final Evaluation Report (Mekong Economics)		?	?	+	?		?
<b>3 – Tea Kenya</b> 'Addressing Sexual Harassment and Gender Based Violence in Kenya Tea Industry': An Impact Assessment of IDH Gender Empowerment Program – Kenya (ACEPIS)		++	++				+
<b>4 – NICFI</b> Evaluation of the Connecting Production, Protection & Inclusion Partnership Programme (KIT Royal Tropical Institute)		+	++	+	?	?	+
<b>5 – ISLA</b> Evaluation of Initiative for Sustainable Landscapes Program (ISLA) (Unique)		+		++		?	++
<b>6 – FCIP</b> FCIP 2017-2021 end evaluation: Draft evaluation report (technopolis group)		++	+	++		?	++
<b>7 – CNIP</b> Summative Evaluation of Cocoa Nutrition Innovation Program (CNIP) in Ghana: Revised Draft Report v3 (PDA)		?				?	+
<b>8 – Aquaculture</b> Aquaculture Impact Study: Key findings from an evaluation (Akvo)		+	+	?	+	-	+

**Legend:**

- ++ Meets the OECD DAC criterion
- + Partially meets the OECD DAC criterion
- Does not meet the OECD DAC criterion
- ? Inconclusive
- Not evaluated in the respective report

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# 3. IDH's performance against the OECD DAC criteria

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# Introduction

In this chapter, we detail our observations with regard to IDH's overall performance organized along the lines of the OECD DAC criteria of relevance (and additionality), coherence, effectiveness, efficiency, impact and sustainability. For each criterion, specific research question(s) were formulated (see table to the right).

We organized our findings in the order of the research question per the OECD DAC criterion and start each paragraph with repeating the specific research question(s) followed by our key findings. From there, we underpin each key finding and include reference to the sources we base our conclusion on.

The research questions under the heading 'Lessons learned' do not refer to an OECD DAC criterion. Questions 11, 12 and 13 are answered in the section 'Insights gained'. Question 14 is covered in the section 'Conclusions and recommendations' (see pages 19 and 20).

In the paragraph on effectiveness, we include for each impact theme a summary of the findings for this theme as well as the validation statement of the theme expert. Details regarding the impact theme assessment can be found in Chapter 5 (IDH's contribution to impact – theme level) and Appendix I.

Where applicable, reference to the IDH data room is made. The full list of sources used can be found in Appendix IV. The documents assessed are organized per impact theme; e.g. a reference code starting with 'S' refers to the literature list Smallholder Inclusion. There is a general list with corporate documents (reference code starts with 'P').

Figure 11: IDH's specific research questions to assess their performance

Criteria	Re-phrased questions
Relevance	1. Does IDH's <b>initiative</b> respond to the relevant needs and serve well-identified beneficiaries in partner countries and communities?
	2. How does IDH's <b>initiative</b> perform according to the criteria of 'additionality' of the Donor Committee on Enterprise Development (DCED)?
Coherence	3. Does IDH's <b>initiative</b> usefully complement and develop synergies with other development assistance interventions in related areas?
Effectiveness	4. Has IDH's <b>PoC</b> achieved, or is it expected to achieve, its objectives at output and outcome levels?
	5. How does IDH's role and measurable results in the respective <b>programs</b> differ throughout the different phases of market transformation?
Efficiency	6. Are IDH's individual <b>initiative</b> expenditures proportional with results at output and outcome levels?
Impact	7. Within a given <b>PoC</b> change, logic flows from sector governance to the field level; do changes of sector governance lead to field-level changes on behavior and well-being of individual producers/workers and/or prevention of environmental degradation of production areas?
Sustainability	8. Within each proven business cases of private sector players, is there a business case for individual producers?
	9. How do IDH's <b>initiatives</b> safeguard power balance between producers and service deliverers? Are farmers' interests well represented in IDH's programming at the field level?
	10. To what extent are the outcomes and impact of IDH's interventions expected to continue after project completion? ( <b>initiative level</b> )
Lessons learned	11. How has IDH developed its corporate reporting in response to the midterm review (PEMconsult, 2018) and midterm evaluation (KPMG 2019)?
	12. How has IDH developed its data strategy to prove and validate key RMF statistics?
	13. Within a given <b>initiative</b> , is the pre-established ToC confirmed by program results or not? Is there an alternative hypothesis in question?
	14. What are the lessons learned from the evaluation to improve the performance of IDH's future interventions?

## IDH ensures relevance and additionality prior to its interventions; available ex-post evaluations and stakeholder consultation confirm relevance and additionality

### Research questions

This criterion considers whether an intervention responds to the needs of beneficiaries and the broader local environment.

To assess relevance, IDH asks the following research question:

**(#1) Does IDH's initiative respond to the relevant needs and serve well-identified beneficiaries in partner countries and communities?**

One challenge to assessing relevance is the varying interpretations of 'beneficiary'. In some cases, third-party assessors see this as the entity directly benefitting from an IDH intervention, such as a company or factory, instead of the ultimate beneficiary, which is usually a farmer or worker. The OECD defines beneficiary as 'the individuals, groups or organizations, whether targeted or not, that benefit directly or indirectly from the development intervention' (page.7 of ['Better Criteria for Better Evaluation'](#)).

To assess additionality, IDH asks the following research question:

**(#2) How does IDH's initiative perform according to the criteria of 'additionality' of the Donor Committee on Enterprise Development (DCED)?**

Here, the DCED provides detailed guidance in the form of eight additional criteria, which are assessed ex-ante, meaning before an intervention starts. In sum, they measure the extent to which funding recipients (i.e. implementing partners) could have reasonably been expected to execute the intervention without IDH looking at factors such as funding and capabilities. The criteria also measure whether an intervention duplicates or displaces other interventions and whether the intervention leveraged external funds. We assessed a sample of IDH's interventions ('in-depth project assessments') on these additionality criteria, using inputs from IDH's program managers, documents and third-party evaluations.

### Key Findings



- IDH's 'Investment Committee Process safeguards adherence to the DCED criteria on additionality but IDH could improve its ex-post monitoring at the project level
- The SDM analysis is a structured way to identify the relevant needs and beneficiaries upfront at the field level.
- The needs of the beneficiaries are monitored and evaluated over the course of a project.
- Most ex-post evaluations confirm the relevance of IDH's interventions.
- Interventions are generally aimed at sector governance or business practices, which means that IDH's direct beneficiaries are not always the ultimate beneficiaries. IDH's local presence contributes to safeguarding the needs of ultimate beneficiaries.
- Stakeholders praise IDH's convening power, entrepreneurial mindset understanding private sector and confirm the relevance of IDH's impact themes.
- IDH could put more focus on the most relevant/effective programs/projects, and communicate better about choices to stop programs/projects

## IDH's 'Investment Committee Process safeguards adherence to the DCED criteria on additionality but IDH could improve its ex-post monitoring at the project level

- For each project that applies for funding, an ex-ante assessment on relevance and additionality takes place. This assessment is integrated in the investment decisions process (P.13). This process has been in place since 2017. Projects under EUR 50,000 usually get a waiver for this.
- More recently, the process has been harmonized across all sectors and Landscape programs. IDH implemented a guidance document, standard project proposal form, budget sheet and KPI templates (P.21, P.25). It ensures that the internal criteria were aligned with the OECD DAC criteria, specifically with regard to relevance and additionality. For each proposal, the budget applicant has to prove that the application complies with at least six out of eight of the DCED criteria to get granted.
- The process is managed in a stricter manner with timely involvement of business unit directors to avoid surprises and misalignment in projects and program strategy. Prior to the assessment by the investment committee, applicants can be requested to improve or adjust.
- Our assessment of the projects selected for the in-depth assessments confirm they adhered to the IDH procedure, applicable at the time the project was initiated. For all projects, an ex-ante assessment on relevance and additionality took place.
- For example, for the CFI, The Joint Framework for Action was elaborated in 2017 through a series of consultations in Ghana and Côte d'Ivoire, which brought together government institutions, companies, farmer organizations, CSOs, etc. The governance of the initiative is also inclusive of these stakeholder groups and comprises government institutions, companies, representatives of civil society organizations (CSOs) representatives, etc. This helps ensure that the interests and needs of various stakeholder groups are balanced in the CFI discussions (P.46).
- The Maharashtra PoC evidenced an extensive assessment on additionality; there was no commercial support that could be accessed for a project at this scale. As there are no companies directly involved in project implementation, it is unlikely that this project will displace any companies or commercial interests. The needs of the beneficiaries were identified based on a village questionnaire consisting of information about the demographics details, village electrification, educational facilities, health facilities, other infrastructure, drinking water and sanitation, land use, formal and informal institutions/groups working in the village and the bio-physical interventions by the NGO (Maharashtra) (P.48).
- The in-depth assessment on the SDM project in Vietnam; we got a findings note of the investment committee (S.666) which proved that the committee conducts an actual assessment and provided the program team with findings and recommendations to be followed up by the program team before approval. (For the other projects, such information was not provided).
- Although the process (P.13) is clearly described, it is less clear how the actual quality and consistency of the proposals is monitored. At this stage, it is not possible to cross-check the database on the uploaded documents for individual projects. It is not possible to do a check on how (realistic) KPIs are formulated and how they relate to each other across projects.
- 'Gender' is specifically addressed in this process (P.15, P.16) to ensure all programs at IDH (at minimum) follow a 'do no harm' principle; the process is designed to test if the program team is sufficiently aware of the gender dynamics in the program/project and, following from that, able to estimate risks and the opportunities related to it. In addition, the process prescribes that the Investment Committee can decide to ask the program team to conduct additional activities to document the status of gender dynamics in the intervention, such as a gender analysis.
- It was not possible to assess if indeed granted projects met the 'gender' — do no harm criteria; the data could not be provided. This also limited the theme-level evaluation.
- An ex-post evaluation across all programs, if indeed the granted projects delivered on the pre-empted KPIs are not yet formalized. The projects are merely managed within the programs. Implementing partners report every six months on output indicators related to field-level projects and a selection of other output indicators in an IDH-prescribed format. Within the Coffee program, all projects use the same format (e.g. S.256); the format contains guidance for the IP on how to report. We observed that the requested list of KPIs is extensive (beyond what is reported through the RMF). The extent to which the reporting format is aligned across programs is not known. We also have seen other formats (e.g. in the Cotton program).



## The SDM analysis way to identify the relevant needs and beneficiaries upfront at field level

- The SDM analysis is a data-informed and standardized business model analysis on the agri-business/tech company/financial institutions working with smallholder farmers that allows IDH to engage with and understand the structure, context and economics of the model that companies use to integrate smallholder farmers into their business in an impactful and sustainable manner. The SDM analysis that collects primary data at the company level is complemented through primary data collection (PDC) at the farmer level to ensure a solid business case both for the company and the farmer.
- The process of PDC has been professionalized since IDH started with Farmfit. This means that for the SDM analysis, IDH not only has data on farmers obtained from the SDM company and from existing data bases (e.g. national statistics) but also from surveys they administer among farmers.
- The primary data collection at the farmer level is executed through interaction with farmers in the context of the foreseen intervention. Farmers that receive services from the SDM are surveyed. Trained enumerators visit the farmers and administer the survey face-to-face (during the COVID-19 pandemic, remote data collection took place (e.g. via phone calls)). Although the survey administered among farmers for each SDM analysis is standardized (same approach and the same set of questions) to allow for comparability across SDMs, depending on the types of intervention or focus area of the SDM analysis, additional survey questions can be added. Farmers are asked about their challenges and perceptions (e.g. opinion about the SDM and its services and their outlook on the future). IDH commissioned AKVO to develop a document on PDC (P.42).
- Until now, the survey has taken place 18 times.
- Within the Coffee program, the performance of an SDM analysis is a prerequisite to start a project. In coffee, IDH worked with numerous partners (e.g. NKG, Ecom, Nedcoffee, Simexco, Nespresso, Olam and Volcafe) to support coffee farmers on sustainable water and agrochemical use. The SDM analyses were executed to model the economic viability of different delivery systems to optimize input use and increase the adoption of irrigation systems with farmers.
- According to IDH's Coffee team, during this process, they allocate time to speak with farmers to understand their needs and views on the project. IDH has staff in the field in their project areas to ensure that there is alignment between projects, local government and farmer organizations and it is ensured that farmers' voice is also heard in the overall program design.
- For an SDM analysis, findings are translated into forecasting of expected yield, cost of production and income effects for farmers (and the implementing partner). If applicable, pay-back time for farmer investments is also taken into account. In the specific case in Vietnam, a project which was included in our in-depth assessments, the first SDM analysis learned that the foreseen highly mechanized irrigation system was not sufficiently interesting for farmers. As a result, the intervention was adapted to include a simpler and more affordable solution to mitigate irrigation challenges.

## The needs of the beneficiaries are monitored and evaluated over the course of a project

The in-depth assessments show that at some point in the project a needs assessment took place. The way they addressed this differs.

- Within CFI (the Cocoa & Forest Initiative) — Côte d'Ivoire, the focus in the design phase of the program has been on sensitization workshops to create buy-in for the program. The first round was with the local authorities, followed by a sensitization campaign focused on local populations by launching the recruitment process for a service provider with proven expertise in rural outreach (P.46).
- In the case of the 'Empowering the source' project with EHPEA, the focus was first to get farms interested to join the project. The identified farms were associated with EHPEA. It can be questioned if the farms selected were the ones who needed it most from the perspective of the women involved. It were merely farms which already were aware and/or willing to improve. An assessment was conducted after the first phase of the project to measure the progress and achievement of the project implementation. In addition, it was intended to draw lessons and recommendations based on the evaluation criteria: impact, relevance, efficiency, effectiveness and sustainability of the project (P.49).
- Within the Fyffes initiative, working sessions on living wages were held with two Rainforest Alliance Certified plantations in Costa Rica in April 2018. The lessons learned based on these sessions were extremely useful for further dialog with the wider banana sector on sustainability and shared value. The meetings also helped the Rainforest Alliance to further design templates for wage monitoring that could also support farm self-assessment and implementation initiatives. For the involvement of farms, an important component was the design of the salary matrix, using direct inputs from the participating farms in terms of the data collection and validation. Those activities referred more to the implementation rather than the design phase (P.50).
- Within CFI — CDL, the Joint Framework for Action was elaborated in 2017 through a series of consultations in Ghana and Côte d'Ivoire, which brought together government institutions, companies, farmer organizations, CSOs, etc. The governance of the initiative is also inclusive of these stakeholder groups and comprises government institutions, companies, CSOs, farmer organization representatives, etc. This helps ensure that the interests and needs of various stakeholder groups are balanced in the CFI discussions. In parallel, there has been regular engagement and dialog with civil society organizations to ensure that the engaged CSOs were also liaising with other more local CSOs. Finally, in 2020, the CFI started a series of community sensitization activities that aimed to bring the initiative to the ground: to sensitize communities on the commitments made by companies and government but also to collect feedback from communities on the initiative (P. 46).
- Within Maharashtra, a management implementation style was created that ensured a continuous review and course correction on the relevance of the initiative (P.48):
  - i. Biweekly IDH, Watershed Organisation Trust (WOTR), Agri Entrepreneur Growth Foundation (AEGF) meetings to ensure cohesion in the in-field and SDMs
  - ii. WOTR had regular meetings with the farmers & and communities both to drive adoption of program and also to consult on any proposed changes
  - iii. The reporting that came in two times a year was more detailed and also allowed IDH to adapt our implementation plan based on the community needs as required, while still linked to the PoC goals.

## Most ex-post evaluations confirm the relevance of IDH's interventions

In the third-party research, we found that IDH's initiatives responded to relevant needs and served well-identified beneficiaries in partner countries and communities.

- The ISLA program was relevant in each country and landscape because it addressed key agri-commodity production and environmental protection needs and priorities of the stakeholders in the landscape. The ISLA program was relevant in each country and landscape because it filled a gap in the stakeholder landscape by bringing different parties together, sharing knowledge and pointing to challenges those stakeholders needed to fix (M. 406).
- The evaluation of the NICFI Landscape program concluded that the PPI partnership program is characterized by high relevance in all three countries of implementation (Brazil, Indonesia and Liberia). Although the chosen approach is considered a challenge in all three contexts, the three-pronged, multi-stakeholder landscape approach is able to respond to key challenges around deforestation (and peatland loss) in each country and is sufficiently flexible for context-specific adaptations, which IDH has conducted (M.370).
- The Kenya Gender Based Violence (GBV) study concluded that the different aspects of the Gender Empowerment Program (GEP) endeavored to address the relevant root causes. For instance, field-level projects targeted to increase awareness of GBV, tackle root causes related to household financial management and decision making and promotion of women leadership. At the company level, changes in business practices targeted to create an environment where cases would be effectively dealt with but also promote work environments that discourage GBV. At the sector governance level, the program worked to develop mechanisms for providing safe spaces for GBV survivors. These demonstrated that the program remained relevant over its four years of implementation. Further, in order to assure relevance, the assessment noted that the Program took critical actions. IDH conducted a baseline study to highlight the challenges and justify the rationale for action; scoping studies informed the nature and conduct of the GEP and several consultative forums' help prior to the platform were useful for exploring the avenues for change and rationale for action for the program intervention (G.205).
- The FCIP evaluation (S.665) concluded that the FCIP responded well to relevant needs and served well-identified beneficiaries in Côte d'Ivoire and cocoa communities. The evaluation argues that the cocoa sector plays an important socio-economic role in Côte d'Ivoire. They observed that accessing finance at affordable costs and conditions is a challenge for SMEs in Côte d'Ivoire and that this issue is particularly acute in the agriculture sector (for cooperatives societies and farmers). The investigation by the evaluators showed that the FCIP addressed quite adequately the needs of cooperatives, farmers, financial institutions, agribusiness companies, the Conseil Café Cacao (CCC) and the National Agency for Financial Inclusion.
- The evaluation on aquaculture (R.501) concluded that relevance across the 12 projects in scope of the evaluation was found to be high, with main reason being that diseases and efficiency were major obstacles in sustainable development of the aquaculture sector worldwide.
- The reflection on relevance in the study on the Cocoa Nutrition Innovation Project (S.550) and the and the evaluation of RttT/LABS (L.332) only reflected on certain elements and/or interpreted the question in a different way. Therefore, we concluded here 'inconclusive'.

## **Interventions are generally aimed at sector governance or business practices, which means that IDH's direct beneficiaries are not always the ultimate beneficiaries; IDH's local presence contributes to safeguarding the needs of the ultimate beneficiaries**

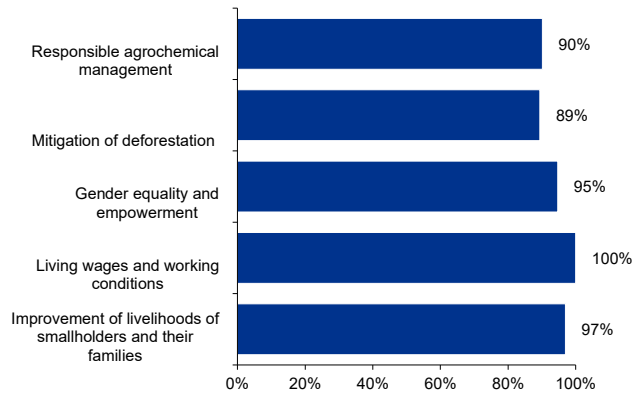
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- IDH and their partners aim to identify clear needs of the beneficiaries as confirmed by the in-depth project assessments. IDH does not solely identify ultimate beneficiaries, which are in many cases the farmers and/or workers, but for example, companies can also be identified as beneficiary (RttT, LABS, EHPEA). In the case of CFI, IDH's initial focus was on local authorities.
- Stakeholders and program managers acknowledge that defining the ultimate beneficiaries and their needs is increasingly challenging with interventions focusing more on sector governance and business practices. The field-level impact is not necessarily the primary focus of the initiative, as a context specific field level ToC is often still to be developed (e.g. Landscape approach, SourceUp). This stepwise approach is designed to ensure local beneficiaries and needs are identified at the appropriate level by the local stakeholders involved.
- The above is reflected in the way the ex-post evaluations define relevance and from which perspective they have done their assessment. As an example, both the NICFI as well as the ISLA evaluation reason from the perspective of the landscape and confirm that local beneficiaries and needs are identified. The evaluation of the LABS and RttT program reasons from the perspective of the factories which consisted of a self-selecting group and concludes that the public-private partnership (PPP) interventions are rated highly, as they were appreciated and effective, while for the factory-level interventions, the contribution to sustained impact and changes is harder to determine (L.332).
- In the evaluation of the Aquaculture program, lack of direct involvement of farmers in the actual design of the program is raised as a concern; the recommendation is to include farmer voices in project design. In the report, it is mentioned that SDM analysis has been done. It is not known if these SDMs included Primary Data Collection.
- During the interviews, the commitment, expertise and knowledge of IDH's staff was mentioned as an important factor in ensuring that the needs of the ultimate beneficiaries were served. Theoretically, local presence can risk the long-term sustainability of an intervention. The survey and interview results did not inform us that this was actually happening.
- IDH grew its staff in origin; in 2016, there were approximately 60 contracted staff members outside the Netherlands and 145 at the end of 2020.

## Stakeholders praise IDH’s convening power, entrepreneurial mindset, and understanding of the private sector and confirm the relevance of IDH’s impact themes

- For interviewees, the convening power of IDH stands out and makes them a ‘one of a kind’ actor in this field. There is no doubt around their ability to get the relevant actors involved. 67% of respondents in the survey confirm this. IDH’s strong convening power is recognized as crucial in the successful design and implementation of the project. In contrast to this, some interviewees raised that IDH’s financial involvement in projects could jeopardize their convening. They feel that IDH perceives being financially involved as a reason to assert more influence in the project, whereas a neutral position would be more appropriate. Others mentioned that without IDH co-funding, ability convening would be not that powerful.
- For many cases, interviewees explained that it is not that without IDH the respective project would not have happened, but that the additionality of IDH lied in the fact that they could accelerate the project. Without IDH, current results could not have been achieved at the same pace.
- Next to accelerating projects, IDH’s entrepreneurial mindset and understanding of business dynamics is perceived as unique and key to drive change. Examples mentioned by stakeholders were ‘IDH taking the first loss position has been crucial. There was no other party which could do so’ (in context of innovative finance) and ‘IDH understands very well what is needed: innovation, creativity and well-balanced assessment of risks. Institutions such as IFC and FMO act often risk-avoiding. IDH is pragmatic and delivers’.
- The sector survey results confirm the relevance of the selected impact themes for IDH’s stakeholders (mainly private sector respondents); all impact themes score >80% (see figure on the right).

Figure 12: % of respondents that find the stated themes important, fairly important or very important to their organization



## **IDH could put more focus on the most relevant/effective programs/projects, and communicate better about choices to stop programs/projects (I/II)**

- As mentioned before, IDH also has a clear process in place to assess new projects. It is, however, less clear how they make decisions on a portfolio level to stop or discontinue initiatives which do not deliver on set targets. Some projects organically evolve into new ones, but it is not systematically administered which lessons were learned. Most of it stored in the collective memory of the staff. Some of the PoCs in scope of this end-of-program evaluation ended within the evaluation period (Figure 13, next page). Based on interviews with the IDH Management team, we also identified some initiatives for which we did not receive any information. Therefore, we cannot analyze why they ended, the lessons learned or how this helped IDH to focus on the most relevant (and/or effective) programs/projects even more.
- We observed a strong push for impact whereas a search for structural learning and transparency in communication might increase the likeliness for a long-term impact.
- IDH is strong in kicking off new projects and programs, leveraging their convening power and innovative mindset (see Chapter 4 on the evolvement of IDH's portfolio). Based on the innovations launched (see Chapter 4), we observed a strong internal coherence between this innovation and the one that they built on each others' learnings. However, IDH takes on many innovations in parallel. It is still to be seen whether IDH will be able to deliver on effectiveness, impact and sustainability for all.



## IDH could put more focus on the most relevant/effective programs/projects, and communicate better about choices to stop programs/projects (II/II)

Figure 13: Overview of identified PoCs which ended over the course of the evaluation period

Program	PoC	In scope	Comments of the IDH program team
<b>Apparel</b>	RttT ended in 2018	Yes	Project ended, and part of the end-line evaluation (IDH Annual Report 2020 page 33). Years after the conclusion of the final training from the first factories that joined, over 85% of workers still use the ICs to resolve issues and discuss improvement opportunities. Over the lifetime of the program, IDH's RttT initiative had a direct reach to about 45,000 workers; 74% of them were females. Through dissemination and online tools, a wider audience has been reached indirectly.
<b>Aquaculture</b>	No information on PoCs/projects stopped		
<b>Cocoa</b>	Cocoa Fertilizer Initiative (2016)	No	The Cocoa Fertilizer Initiative led to CocoaSoils. The end-of-program portfolio evaluation focuses on PoCs. This initiative is run in addition to the PoCs in scope of the end-of-program evaluation.
	Cocoa Origins Program	No	According to IDH, the final evaluation of this project has just started, with an end report expected in 2022.
	CocoaSoils	No	CocoaSoils is at two-third of the full program, and currently conducting a midterm review. IDH is not the lead implementor of the program; it is IITA. Therefore, this program is not in scope of the end-of-program evaluation.
<b>Coffee</b>	GCP global convening	Yes	From 2018, IDH's contribution to GCP was based on a board seat, and cash-contribution toward the national platforms in production countries. Through these platforms, the aim is to establish local enabling environments that allow improvements on coffee sustainability and create alignment in the sector locally. The adjustment is a clear response to lessons learned.
	Gender	No	There have been a few projects (gender intentional) in which household decision training has been integrated. Next to that, we addressed gender-sensitive service delivery (through SDMs). However, the Coffee program does not have an overarching strategy/narrative on gender, hence cannot claim impact.
	Discontinued collaboration; implementing partner – Indonesia	Yes	The partner did not meet expectations; first SDM has been evaluated. The evaluation report was part of the evidence base and included in the end-line evaluation.
<b>Cotton</b>	Maharashtra Mozambique	Yes	For both projects, the funding ended. Both PoCs have been included in the end-line evaluation.
<b>Fresh &amp; Ingredients</b>	Cashew; discontinued collaboration with SMEs in cassava	Yes	Integrated in Sustainable Nut Initiative (SNI). SMEs did not meet the quality criteria.
<b>Market Ends</b>	Soy/Timber/Palm		Programs were not ended but the Market Ends programs were adjusted and changed based on new insights. See the chapter on IDH's contribution to impact.
<b>Tea</b>	Discontinued collaboration with Wood Foundation	Yes	Future plans of the Wood Foundation did not align with tea strategy.
<b>Landscapes</b>	Indonesia (South Sumatra, Jambi) North Liberia	Yes	In South Sumatra, due progress, results, and traction with stakeholders were limited and therefore IDH decided to phase out its support after 2021 (AR IDH 2020). To bring back focus in its landscape portfolio in Indonesia, IDH is aiming to phase out the program in Jambi after 2021. The external evaluation by KIT (M.370) includes an explanation on North Liberia; despite extensive effort on the side of IDH throughout the years, the Oil Palm community project turned out to be more challenging than anticipated and has so far not materialized. The primary reason for this was the difficulty in financing the scheme.

# IDH's governance structure ensures an assessment on internal coherence; external coherence confirmed by project documentation and some ex-post reports

## Research questions

This criterion considers how compatible an intervention is with its context. This is viewed in two distinct ways: internal coherence looks at links between interventions within IDH and external coherence looks at links between an intervention and its external environment, such as the country or sector.

IDH's research question focuses on external coherence.

**(#3) Does IDH's initiative usefully complement and develop synergies with other development assistance interventions in related areas?**

In our assessment, as well as several third-party evaluations, we look at both types of coherence.

## Key Findings



- IDH's pre-contracting process and governance structure support a uniform assessment on internal coherence.
- Most in-depth project assessments demonstrate external coherence, though differ in their approach due to their nature.
- External reports express mixed views on the question of coherence; three reports expressed positive conclusions on external coherence.
- Strong knowledge and convening power enable IDH to ensure external coherence; however, IDH should more clearly acknowledge the contribution of others.



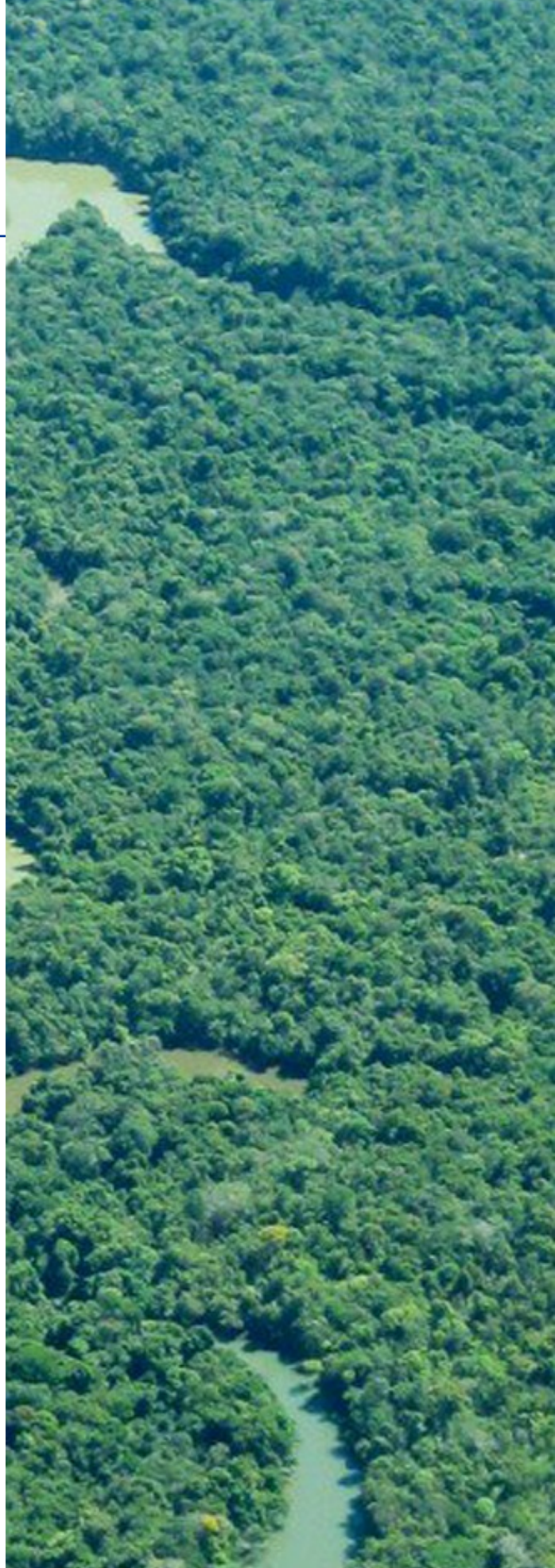
## IDH's pre-contracting process and governance structure support a uniform assessment on internal coherence

**Internal coherence** addresses the synergies and interlinkages between the intervention and other interventions carried out by IDH.

- IDH's targets and strategy are described in the Multi-Year Plan (P.7, P.8) and updated each year in the annual plans per commodity program or landscape. The PoCs are the foundation of the strategy and are linked to program targets. In the pre-contracting phase, the PoC is leading in terms of assessing strategic fit. (P. 13) In the landscape approach, the key focus is to look beyond a single commodity and look for interlinkages with interventions in multiple commodities.
- The 'Guidance Document Pre-Contracting' describes the assessment on 'Fit with Program Objectives & Strategy', though leaves the opening to the applicant to motivate if there is another reason which should legislate funding (e.g. fundraising, strategic position IDH or to have a future deeper engagement with the private sector) (P. 13).
- IDH's innovation strategies and respective pilots (see Chapter 4 for details) show strong internal coherence; innovations build on each other.

**External coherence** considers the consistency of the intervention with other actors' interventions in the same context. This includes complementarity, harmonization and co-ordination with others, and the extent to which the intervention is adding value while avoiding duplication of effort.

- External coherence is not explicitly addressed through the pre-contracting process.
- Nevertheless, coherence is ensured in the in-depth project assessments and also the third-party reports confirm this (see next paragraphs).



## Most in-depth project assessments demonstrate external coherence, though differ in their approach due to their nature

- In the Cocoa & Forest Initiative (CFI), an inventory study of all existing initiatives in the CFI priority region was conducted to help identify existing players and activities, and trigger more collaboration (P. 46)
- CFI is an example of coherence in which different entities collaborate. The Partnership for Forests co-funded CFI together with IDH institutional donors (Ministry of Foreign Affairs Netherlands/BUZA). The World Resources Institute (WRI) provided maps and data which helped to kickstart the initiative and the German Agency for International Cooperation (GIZ) provided funding for the sensitization activities in Côte d'Ivoire (P. 46).
- The project in Maharashtra (Cotton program) focused on coherence through funding and states that the WOTR engagement had a convergence of financial support from the public sector (government supported and facilitated by WOTR), also as a part of the exit strategy and to build capacity of the community to tap into this source once the project is over. It also included contributions from other back funders who shared the costs of as well as contributed to the costs of hardware used in the training phases (P. 48).
- In the Living Wage Benchmark project, Fyffes, IDH, other private entities, and the Rainforest Alliance came together to finance and support the living wage estimates, and to understand the gaps between living wages and current wages in Costa Rica and Belize. Consequently, they collaboratively worked with participating farms to develop monitoring tools and pilot strategies and plans for improving worker compensation. This way coherence was safeguarded from the start of the project (P. 50).
- The SDM projects with coffee traders took place in a landscape setting (ISLA Vietnam). That ensured a good oversight over what is and what is not being done. The local team is aware of other donor funded parts of implementation interventions and aims to have discussions about how they can link . An example is the Lac Duong area, where IDH is actually coordinating with SNV on the landscapes program and also coordinates between the government interventions and the company interventions (P. 47).
- The 'Gender empowering the source' project seems not to have explicitly addressed external coherence upfront; the business case report concludes — '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' (P. 49).
- IDH's Market Ends programs and SourceUp focus on coherence with other landscape initiatives and organizations to further grow SourceUp and achieve PPI model goals (P. 51).

## External reports express mixed views on the question of coherence; three reports expressed positive conclusions on external coherence

- Three end evaluations did explicitly look at external coherence and concluded positive; they were coherent (NICFI M.370 and ISLA M.406, FCIP S.665). Coherence is sought with governmental efforts and other interventions are embedded in the local context.
  - ‘The majority of stakeholders agree that the ISLA program has been complementary and coherent to government policies in the landscapes where the program has been implemented. In general, the alignment with other donor funded development programs was good’. (M.406)
  - ‘IDH made the PPI program relevant by adapting to the Liberian context. [...]. The PPI Landscape program is complementary to the government’s ambitions and to agricultural interventions in Lofa County’. (M.370)
  - ‘In complement to the existing initiatives, the FCIP brings an innovation by convening a multi-stakeholder approach and giving incentives to financial institutions and agribusiness companies to re-think their SDMs to better serve the cocoa sector. The FCIP endeavors to create synergies with the existing initiatives by first integrating other development partners in its steering committee (IFC and World Cocoa Foundation) and exchanging information with them’. (S.665)
- The importance of seeking external coherence is growing when operating on a landscape level or when creating the market demand for multiple sustainable products or addressing a specific cross-sectoral, commodity overarching theme (deforestation, living wage). Coherence with local governmental policies and actions is thus of growing importance, which is also expressed in the third-party reports.
  - ‘Engage and bring the government on board early for better alignment with national and country efforts. It was notable that engagement with national and country government remained limited. The assessment established that it would have been prudent to involve both levels of government from the onset of the program’. (G.205)
- Two reports explicitly provide conclusions on internal coherence.
  - ‘Coherence across projects was found to be medium — perhaps reflecting the pandemic situation. It is also reflective of the innovative nature of projects. Internal coherence can be improved by increasing collaboration within the projects of Aquaculture program’. (R.501)
  - ‘The IDH landscape approach has been complementary and coherent to IDH’s value chain approach in the landscapes where the ISLA program has been implemented’ (M.406).

## Strong knowledge and convening power enable IDH to ensure external coherence; however, IDH should more clearly acknowledge the contribution of others

- The sector survey results confirm the value of IDH's convening power related to coherence of its activities. 76% of the respondents agree (strongly) that IDH brings the relevant stakeholders together to address the sustainability issues in a specific sector. 65% believe that without IDH, the multi-stakeholder process or coalition would not have existed. 88% of the respondents perceive progress in the cooperation between public and private sectors in a multi-stakeholder coalition.
- It was also acknowledged that IDH's ability to fund might also be a reason why stakeholders (especially companies) are willing to join. This positively contributes to IDH's capability to bring the relevant actors at the table, fostering coherence and the additionality of the interventions.

Although IDH's convening power is recognized and highly appreciated, we also observed some critical feedback.

- Some interviewees feel that IDH pushes the agenda too much to its own interest; others feel that it is not always as inclusive as it should be and focuses only on the interests of the bigger players.
- Some stakeholders perceive IDH's approach as arrogant, with lack of sensitivity and/or empathy. Although stakeholders are well aware that this most probably depends on the individual, it does negatively reflect on the overall perception of IDH as an organization.
- Some stakeholders note that IDH claims success for concepts to which IDH indeed contributed to come to fruition but did not act on its own. Externally, it would be appreciated if it would take a more humble approach in those cases and acknowledge the other stakeholders as well.



# Most PoCs have achieved or are expected to achieve their objectives at output and outcome levels in the areas of sector governance and business practices

## Research questions

This criterion considers to what extent an intervention has achieved its objective and intended results.

IDH has two research questions relevant to effectiveness.

(#4) How does IDH's role and measurable results in the respective programs differ throughout the different phases of market transformation?

(#5) Has IDH's PoCs achieved, or is it expected to achieve, its objectives at output and outcome levels?

## Key Findings



- IDH is actively changing its role to focus on establishing critical mass in various programs, however, concrete outcome-level results are not always measurable:
  - The strategy for the “traditional” agricultural commodities cocoa, coffee, and tea as well as cotton and soy evolved over the course of the evaluation period.
  - Downstream and local convening led to innovative and better locally embedded projects.
  - Dutch-based pan European platforms gradually take off.
  - Effective policy dialog requires strong local teams.
  - Investing in local convening and landscape approaches, IDH is able to better link the coalition of the willing to locally embedded projects.
  - Additional grants and co-investments help IDH to scale approaches.
  - Not all programs and projects are designed or able to reach critical mass.
- IDH increasingly focuses on measuring effectiveness of programs but the RMF, the main tool for monitoring progress, failed to deliver robustness and transparency due to inconsistent reporting and lack of data validation.
- Available third-party evaluation reports are generally positive on effectiveness.
- Most PoCs have achieved or are expected to achieve their objectives at output and outcome levels in the areas of sector governance and business practices:
  - Smallholder Inclusion: Despite tangible impact and outcome at sector governance and business practices levels, field-level results are less visible yet.
  - Mitigation of Deforestation: There were strong results at outcome and sector governance levels in most landscapes, and small-scale field-level impact was observed in pilot projects.
  - Gender Equality and Empowerment: There were strong outcome and some impact results in Kenya (tea) and Ethiopia (flowers) but ‘do no harm’ across the full portfolio could not be assessed.
  - Responsible Agrochemical Management: Strongest results were observed in cotton (India) and projects in Vietnam (coffee, spices) but the overall field-level impact was limited.
  - Living Wage and Working Conditions: There were strong results with impact at the field level in Malawi (tea), Vietnam and India (apparel).

## IDH is actively changing its role to focus on establishing critical mass in various programs, however, concrete outcome-level results are not always measurable (I/V)

IDH identified different stages in the market transformation process, its required role in it (see Figure 14, page 55) and set its targets and ambitions accordingly to drive transformation at scale. We used this as a framework to assess to which extent the individual programs delivered on this and derive insights on the effectiveness of IDH's role in the transformation to sustainable global supply chains. This section starts with some reflections at the level of the transition characteristics, followed by an analysis of IDH's roles to systematically work from first movers toward critical mass.

### The strategy for the “traditional” agricultural commodities cocoa, coffee, and tea as well as cotton and soy evolved over the course of the evaluation period.

The strategy 2013–16 depended heavily on the establishment of standards for the ‘traditional’ agro-commodities cocoa, coffee and tea as well as cotton and soy. We have seen that these programs evolved over the course of the evaluation period and adapted their strategy. In cotton, the focus remained on the scaling of BCI, however, through an integrated approach with additional interventions at all levels to reach scale, and increase and measure impact at the same time.

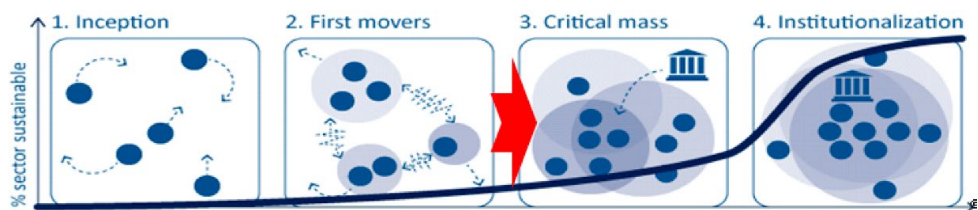
- The **Cocoa program** evolved over time to design more impactful projects as it became clear that focusing on certification and fertilizer did not address the systemic issues such as deforestation in the sector. In order to address deforestation in Ghana and Ivory Coast with 60% of the world's cocoa production, IDH contributed to the development of the Cocoa Forest Initiative by bringing together the major traders and confectioners. With IDH's contribution to the CFI, a total of 35 companies, accounting for about 85% of the world's cocoa usage, released individual [action plans](#) to deliver on commitments. Meanwhile, both the governments of Ghana and Ivory Coast participate in this via PPP to combat deforestation.
- In 2018, with the GCP becoming a global convener in the coffee sector, the **Coffee program** changed focus from actively leading the development of the GCP and the country platforms to proving concepts in the areas of smallholder resilience, water use in Vietnam and responsible agro-input access and use through changing business practices creating impact at the field level. The program focused on partnering with leading companies (both in trade and roasting). Compared to cocoa, this has not yet led to sector commitments. However, coffee roasters such as JDE, the second largest roaster, made a commitment through SourceUp.
- The **Tea program** focused on two tea-specific issues: living wage and gender empowerment, leveraging learnings and insights gained under the former program period. The living wage gap in Malawi was highest in relation to the downstream tea buying and retail companies (ETP-IDH-Oxfam report as the source). Gender-based violence in tea regions in Kenya proved to be rampant through several independent researchers (source). Unilever reached out to IDH to convene wider action in the Kenyan tea industry. For both initiatives, we can conclude that in the local context, critical mass has been achieved but does not yet capture most important producer countries to transform the global supply chain. However, the intention is that the lessons learned on living wage in Malawi are rolled out globally by IDH through the Global Tea Coalition (GTC).
- **Cotton program**: The BCI reached a record level of better cotton uptake of over one million metric tons by 93 retailers and brand members, representing 19% of the global cotton market. IDH worked throughout the years on the availability of BCI cotton in all major origin countries at reasonable cost (S.19) and keeps adding origin countries to data (e.g. Greece) and works systematically on better embedding BCI in government initiatives in countries such as Pakistan and India (I5-I10). IDH effectively convened the first movers to scale the BCI initiative and helped BCI to scale its member base (S.19). Especially, the COVID-19 insurance project in cotton contributed to poverty alleviation in a totally different way, leveraging the BCI access to farmer infrastructure (I.9, I.10).
- In **soy, palm** and **timber**, IDH took a holistic approach; on one hand, it focused on convening the upstream companies in Europe while through the landscape approach in countries such as Indonesia and Brazil, establishment of local compacts should enable these companies to make their sourcing more sustainable (for details, see program assessment Market Ends and Landscapes).

## IDH is actively changing its role to focus on establishing critical mass in various programs, however, concrete outcome-level results are not always measurable (II/V)

### Downstream and local convening led to innovative and better locally embedded projects

- IDH's **Landscapes program** can be defined as a three-pronged, multi-stakeholder landscape approach which is able to respond to key challenges around deforestation (and peatland loss) in a specific country and is sufficiently flexible for context-specific adaptations (M.370).
- IDH's **Value Chain Development (VCD)** aims to support the development of sustainable and socially inclusive agricultural supply chains in Africa. The IDH Cassava program commenced in 2018 and convened local stakeholders around national platforms in Nigeria, Mozambique and Ghana (see program assessment). Convening activities include supporting local processors to establish sustainable, inclusive cassava supply chains and engagement of global players.
- Leveraging learnings from Malawi Tea 2020, IDH continued to work in the tea sector within the GTC, initiated in 2019 (L.344, I.28) together with ETP. This coalition focuses on equality, economy and environment (L.329). The intended signatories represent a significant part of the global tea industry.
- Across all programs, the SDM approach plays a significant role. The SDM approach in itself facilitates convening at local level but involving global supply chain actors.

Figure 14: Market transformation model: 4 phases of market transformation by [New Foresight](#) & IDH's strategic approach (P.7)



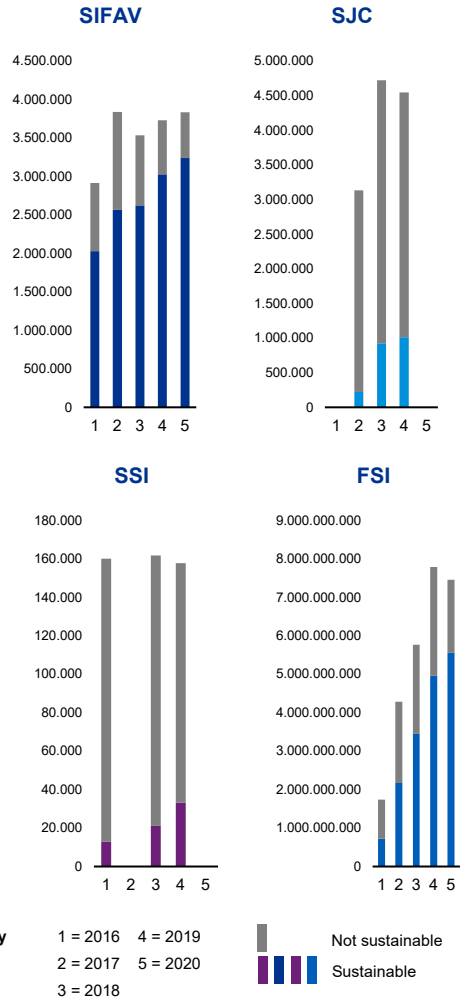
	From inception towards first movers	From First movers towards critical mass
<b>Transition characteristics</b>	Establishments of standards First mover coalitions	Beyond certification agenda Western and Local convening
<b>Role IDH</b>	Dutch based Accelerating standards programs Convening large multinationals Grants	Dutch based pan European platform Beyond standards agenda, policy dialogue, drive innovation Convening multinationals, local convening & landscape Grants and co-investments

# IDH is actively changing its role to focus on establishing critical mass in various programs, however, concrete outcome-level results are not always measurable (III/V)

## Dutch-based pan European platforms gradually take off

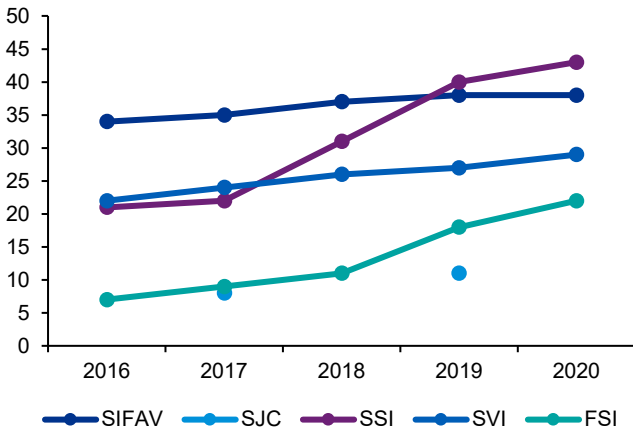
- The sector platforms in the F&I program grew their membership base beyond the Dutch players but still have a strong core of very active Dutch companies (see figures below)
- IDH's Cocoa program supported and facilitated the Beyond Chocolate initiative (Belgium) and the Dutch Initiative for Sustainable Cocoa (DISCO); both aim to increase the demand of sustainable chocolate through company commitments.
- In soy, the demand side is less concentrated and the uptake of sustainably produced soy is still low. Therefore, IDH designed a new approach to reach critical mass. On the demand side, IDH contributed to and developed responsible/sustainable soy guidelines and criteria in close cooperation with CESFAC, the Spanish Confederation of Manufacturers of Compound Feed for Animals, FEFAC and the Amsterdam Declaration Partnership. Via the establishment of the country platforms, the uptake is further stimulated but is still relatively low. In 2017, 22% of the soy used in Europe was FEFAC-SSG compliant, and 13% was deforestation free [IDH soy monitor, 2019 ].

Figure 16: Development of fraction sourced sustainably by platform members



Key 1 = 2016 4 = 2019 2 = 2017 5 = 2020 3 = 2018 Not sustainable Sustainable

Figure 15: Growth of the respective sector platforms in membership





## IDH is actively changing its role to focus on establishing critical mass in various programs, however, concrete outcome-level results are not always measurable (IV/V)

### Effective policy dialog requires strong local teams

The focus of IDH shifted to an agenda beyond standards, more policy dialog, and driving innovation. While IDH constantly innovates and adds new approaches to reach critical mass, policy dialog is not always effective and still limited in scope and geographies. As innovations are widely covered in Chapter 4, we focus here on successes in and limitations of IDH's role in policy dialog.

- In [cotton](#), IDH effectively contributed to policies to promote the BCI throughout the program (S.19), but it requires dedication and local teams to be effective. While IDH was recently effective in some countries such as Greece and Pakistan, in India, IDH's team was perceived as not connected enough to the relevant government agencies to drive change.
- To increase the uptake of sustainably produced [palm](#), [timber](#), [soy](#) and other commodities, IDH is now focusing on raising awareness via its progress reports and furthermore focuses on establishing jurisdictional approaches to address sustainability challenges in origin countries such as in Mato Grosso, Brazil, where 27% of the Brazilian soy is produced. A compact is created in a coalition of public and private sector stakeholders led by the Government of Mato Grosso, the Produce, Conserve and Include (PCI). Similar local policy dialogs take place in the ISLA and NICFI landscape initiatives.
- Other strong examples of IDH's effort to influence the policy dialog at a national or sector level include the [F&I](#) sector platforms (e.g. putting child labor on the agenda in sector associations in Turkey), [cocoa](#) (with the CFI leading to clear government commitments in Ivory Coast and Ghana), coffee (addressing glyphosate) and the agrochemical work force in [ISLA](#) Vietnam. The HortInvest project ([Value Chain Development](#)) in Rwanda is probably the strongest example where IDH was invited by the government to take the lead in convening at the sector level.
- Convening the collective bargaining process in the [tea](#) sector in Malawi is also demonstrating IDH's effectiveness in policy dialog. Global transformation would require similar processes in other countries as well, but it is very time consuming and requires a strong team locally.
- IDH has offices in the UK, Belgium to actively engage with companies in the respective countries. The first milestone of the engagement is visible. For instance, IDH UK has supported 22 major companies including Unilever and Nestlé with a response on the proposed UK legislation for [due diligence requirements for forest risk commodities](#).

### Investing in local convening and landscape approaches, IDH is able to better link the coalition of the willing to locally embedded projects

- A clear example that shows IDH is following the market transformation model is the landscape approach in which frameworks are built for inclusive and multi-sectoral land use management and territorial development.
- Global companies, representing 'the coalition of the willing' have roles in the governance of the SourceUp initiative and IDH works with the local or state government, private companies, civil society, producers, smallholders, NGOs, and any relevant stakeholders to establish an integrated and inclusive governance structure for that area.
- IDH also actively links the agro-commodity programs to the landscape approaches. Good examples are the JDE commitment to SourceUp (coffee) and the role of the landscape approach in CFI with the Cavalli pilot in Ivory Coast (cocoa).
- The 15 (draft) compacts in SourceUp with commitments from multiple multinationals that are not always on the forefront of the sustainability debate, as well as large local companies embody this approach to link the coalition of the willing to local projects to increase demand for sustainable commodities.
- The effectiveness of the SourceUp approach at scale is, however, yet to be proven. The IDH Landscape programs, on the other hand, are already extensively evaluated and proven to be effective in reaching output and outcome targets. In the ISLA report, it is found that other development partners show interest in replicating the convening process for creating new landscape coalitions in Côte d'Ivoire and Vietnam. IDH has been quite successful to scale the outcomes, findings, and networks developed as part of the ISLA program beyond the direct intervention landscapes (M.367).

## IDH is actively changing its role to focus on establishing critical mass in various programs, however, concrete outcome-level results are not always measurable (V/V)

### Additional grants and co-investments help IDH to scale approaches

IDH evolved its approach to attract additional grants and co-investments. Examples include:

#### Additional grants

- Farmfit Africa Program (USD 30 million) (BMGF and FCDO) and Farmfit Fund (EUR 100 million)
- Rockefeller Foundation (EUR 1.7 million) (cassava) and EU founded smallholder program in Tanzania (EUR 5 million)
- Increased private sector co-investments through SDMs; for the initial SDM analysis, individual companies contribute 10–15k per study. Ideally, an SDM analysis is followed by a technical assistance trajectory. The current amount of project value equals EUR 19.4 million with a private sector contribution of 59% for all IDH SDM-related activities. This is for the timeframe of 2017 until today.
- IDH contributed to the establishment of &Green, LDN, Agri3, raised grant money for these funds and the funds can be used to scale interventions across the program.

#### Innovative finance

- IDH focuses on innovative finance; the DH Farmfit Fund Pipeline overview shows two deals being closed with a total value of EUR 4 million (50% fund contribution), and 10 high to medium priority opportunities being worked on (total value > EUR 140 million, 23% fund contribution).
- 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).

### Not all programs and projects are designed or able to reach critical mass

- IDH has insufficient 'leverage' to drive systemic change in complex global markets (e.g. soy, timber) that are not as consolidated on the FMCG side as coffee, cocoa and to a certain extent the apparel and sportswear sectors related to cotton. Although some progress could be observed in Europe (see program assessment on Market Ends in Appendix I), it raises the question regarding what type of additional interventions are required and by whom to change the demand side of these global supply chains.
- IDH is strong in working toward critical mass on the sector governance level, but too optimistic with regard to business practices and field-level sustainability. PoCs or individual project success may prove that a transition is possible with the required efforts and external funding but can be insufficient to reach

critical mass in global supply chains without a lot of additional interventions from others (see also paragraph 'Sustainability' on P. 60). For example:

- The hypothesis that SDMs work as vehicle to learn what works and what does not and that sharing these insights broadly will let others scale best practices has to be proven. The planned evaluation for SDMs under Farmfit (Dec 2023) should test this. Individual SDMs, for instance, with one trader and a roaster/manufacturer do not necessarily scale (e.g. some SDMs in coffee, F&I).
- The EHPEA 'Empowering the Source' project has been positively evaluated and will probably be replicated; however, external funding remains key. There is no self-sustaining model.
- To keep the salary matrix relevant and tools such as the Procurement Kit operational, a constant investment in living wage benchmarks is requested. Although IDH has addressed this, and continues to convene (e.g. through the GTC), these are not self-sustaining models/tools yet. IDH aims to offer support for these tools so that they become self-sustaining models.
- The SDM approach is designed to focus on scalable end-to-end solutions but it is not always clear how the pathway to scale would look like. In cases such as tea in Tanzania, the project with Unilever now seems to be replicated with an additional external grant. Examples like this are rare.
- IDH funds projects such as BOHESI (bananas, Ecuador), which deliver strong outcomes but are not automatically replicated elsewhere.
- Some projects generated strong outcome or even impact-level results; however, it is not clear how cross-sector learning within IDH is addressed. This is illustrated in the context of the gender impact theme; a few PoCs (in flowers, tea, cotton) show strong results but we have not seen a 'spill over' to other programs.
- The Apparel and Aquaculture programs do not seem to be designed to reach critical mass. The initiatives in apparel, though successful, are relatively small in the context of the sector. The seafood sector is highly fragmented. We understand that IDH's Aquaculture program aims to address the fragmentation of global seafood production by supporting a global multi-stakeholder platform. We could not evaluate whether this will be successful or not due to its relatively recent start.

## IDH increasingly focuses on measuring effectiveness of programs but the RMF, the main tool for monitoring progress, failed to deliver robustness and transparency due to inconsistent reporting and lack of data validation

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- IDH gave follow-up to the main recommendation of the midterm report with regard to impact. It commissioned the impact studies and end lines for most material PoCs and ensured that impact measurement at the field level was included as well as measurement of the adoption of practices as a proxy for impact, where applicable. Due to COVID-19, not all research could be completed as planned. This specifically affected the field-level research for the Cotton program.
- IDH professionalized its M&E approach and increased the capacity of the M&E department. For each business unit, a designated M&E advisor was hired.
- To monitor progress for accountability and steering at the project level, IDH collects data through the Results Measurement Framework (RMF) (P.13). The RMF is reported per program or landscape. The reporting unit for this end-of-program evaluation is PoC within a specific impact theme. Because there is a mismatch between the level of reporting through the RMF (program level) and the requested detail for this evaluation (PoC-level split by theme), the reported numbers through the RMF are of very limited use to measure effectiveness in the context of this evaluation.
- We observed many inconsistencies in availability over the respective years and way of reporting at the program level and across programs (see midterm evaluation). A check transparency and robustness of measurement was not feasible, as there was no process description or assessment on these data shared other than the following:
  - The Program Managers collect and aggregate RMF data (related to field projects; reported twice a year) they received from implementing partners.
  - Data is reviewed and aggregated by operations managers.
  - This data is submitted to the M&E corporate team for aggregation across business units; no review takes place.
- Overall, the RMF data were of very limited use to assess effectiveness at the level of the PoC. IDH reports that at the program level, set targets related to these KPIs are met (see Appendix V based on IDH's Annual Report 2020), however, we were not able to reconstruct this or validate the robustness of these data.

## Available third-party evaluation reports are generally positive on effectiveness

In general, the evaluation reports conclude that IDH initiatives have achieved or will achieve their objectives at output and outcome levels.

- The evaluation of the project in Kenya, for instance, states ‘Overall, the impact assessment found the program substantively effective. This is judging by its ability to deliver results at output, outcome and impact levels for most of its pathways to change’. (G.205)
- The FCIP report (S. 665) concludes that FCIP has a clear contribution to the development and innovation of SDM for smallholders, which has been proven to be scalable and replicable. Cooperatives also benefited from training and coaching that enhanced their level of professionalism. The FFB research end-line report found that farmers in the program are more likely to have access to credit from formal sources and on average, across that whole group, have access to larger loans. This was the primary objective of the program. It was also found that fertilizer applications tend to be biased (not applied in the correct way) and therefore it is not surprising that having access to credit is not associated with earning higher margins. A better understanding of the root cause of this is needed.
- The third-party reports are particularly positive about the effectiveness of the programs in realizing sector governance changes. In the evaluation of the ISLA, NICFI Liberia initiative and FCIP, the evaluation highlights:
  - ‘ISLA has been effective. Overall, ISLA has been successful in convening multi-stakeholder coalitions playing a key role in sustainable landscape management’. (M.406, p8 )
  - ‘IDH played a pivotal role in the implementation of the Land Rights Act (2018) by supporting communities in formalizing their customary land rights and in facilitating PLUP’. (M.370)
  - The evaluation of FCIP concludes that FCIP successfully provided the cocoa value chain a platform that supports multi-stakeholder approaches to align key cocoa sector actors, thereby creating an enabling environment for farmers' and cooperatives' professionalism and better access to financial services and products. In addition, the FCIP contributed to developing sustainability strategies in Côte d'Ivoire by successfully convening cocoa sector actors and animating a dynamic multi-stakeholder concertation process to improve access to finance for cooperatives and farmers. (S.665)
- The effectiveness of the Aquaculture program (R.501) was evaluated as ‘variable’, stating that the project context was not very well defined, perhaps influencing effectiveness along the way.



## **Most PoCs have achieved or are expected to achieve their objectives at output and outcome levels in the areas of sector governance and business practices – summary of results**

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Based on the results presented in Chapter 5 of this end-line evaluation, we can conclude that most PoCs have achieved or are expected to achieve their objectives at the output and outcome levels, on and sector governance and business practices levels.

On the field level, the objectives are less often met at the output and outcome levels.

In the program assessment (Appendix I), the detailed results per program are reported, including a narrative to contextualize our finding. For each PoC, we detailed to what extent we could validate the output, outcome or impact claim of IDH. We made reference to the sources we used to underpin our conclusion (e.g. third-party evaluations, triangulation through interviews, etc.).

For the purpose of this report we summarized these findings. The next page explains how to read this summary in the context of the full report and its appendices.

## Reader's guide to summary of results

- The summary of results is organized per impact theme: **Smallholder Inclusion, Mitigation of Deforestation, Gender Empowerment and Equality, Responsible Agrochemical Management and Living Wage and Working Conditions.**
- We start for impact theme with a summary of key observations (page 63;66;70;73;76). This summary is based on the detailed assessment in Appendix I.
- Next we present a table which summarizes the results per PoC for the specific theme (page 64;67;71;74;77) etc. A color scheme reflects our conclusion related to a specific result at the output-outcome or impact level. See legends below each table explaining the meaning of the colors. There can be multiple reasons why no impact (yet) can be measured. This is contextualized in Appendix I in the section on the respective program.

- For each theme, an independent expert was asked to reflect on our findings. We included their validation statement including additional comments (see page 65;68;72;75;78).
- Based on the RMF data and IDH's annual reports we indicated for each PoC the estimated number of people reached ("outreach") and budget spent ("budget"). Available data did not allow to specify per impact theme. The reported estimate (in the summary tables) represents the estimate for the full PoC.

### Appendix I: Detailed assessment per PoC per theme split by result area

The image shows six detailed assessment tables arranged in a 3x2 grid. The rows correspond to the themes: Sector Governance, Business Practices, and Field Level Sustainability. The columns correspond to the result areas: Output and Outcome. Each table contains a list of results with associated scores and color-coded indicators (green, yellow, red, purple).

### Chapter 3: Summary of results score (color) per PoC with a high-level summary contextualizing the displayed results. Validation statement

The diagram illustrates the structure of Chapter 3. It features three main components in boxes: 'Key observations', 'Summary table', and 'Expert validation statement'. Below these, a large blue arrow points to a composite image. This image includes a photograph of a smiling man, a screenshot of a summary table with a color-coded grid, and a text block representing an expert validation statement.

## Smallholder Inclusion — key observations

### Despite tangible impact and outcome at sector governance and business practices levels, the field-level results are less visible until now

- In the Better Cotton Initiative (BCI, cotton) and the Farm & Cooperative Investment Program (FCIP, cocoa), there is a clear connection between interventions in all three result areas (sector governance, business practices, and farm level sustainability). These two PoCs reached an impressive number of farmers through the program interventions and achieved measurable results at outcome level. These are also the programs with the largest budgets, demonstrating the effectiveness of interventions and confirming the ToC at this level.
- In the case of BCI (Cotton program), positive impact-level results for farmers are plausible; the Farmer Field Book analysis of the Cocoa Challenge Fund (CCF) (part of FCIP) concluded that across the board, evidence for the impact of the program is mixed and not decisively positive.
- The “sector platforms” approach in the Fresh & Ingredients program provides the private sector with tools that enable them to meet their commitment. The projects at field level, co-funded by IDH, aim to provide examples, knowledge, and learnings for further scaling by the partners themselves. The scale of these projects, and therefore the number of farmers reached, is therefore relatively small. We did find evidence that new projects are in the pipeline to follow up on the pilot, but the actual scale is unclear.
- To a certain extent the coffee program and the tea program work similarly by addressing crop specific issues (e.g., climate smart coffee farming, inclusion of smallholders) and partnering with industry leaders to set up pilot projects (through Service Delivery Models). The intention is not to reach large numbers of farmers but to gain learnings and insights, and facilitate the partner in scaling. We found business practice impact level results as well as some plausible field level results in all three focus countries (Vietnam, Indonesia, Uganda) for the coffee program and for the tea project in Tanzania.
- For PoCs with a company commitment included in the intervention, like the Better Cotton Initiative and the sector commitments in Fresh & Ingredients, outcome level results regarding business practices are most clearly measured.



# Smallholder Inclusion — summary of results

Smallholder Inclusion				Sector governance			Business practices			Field level			
Program	PoC	Initiative	Budget	Outreach	Output	Out-come	Impact	Output	Out-come	Impact	Output	Out-come	Impact
Cocoa	FCIP	FCIP	€€€		Green	Green	Light Green	Green	Yellow	White	Green	Yellow	White
	CNIP	CNIP	€		White	White	White	Green	Green	Light Green	Green	Green	White
Coffee	Vietnam	Vietnam	€€		Green	Green	Green	Green	Green	Light Green	Green	Light Green	Light Green
	Uganda	Uganda	€€		Green	Green	Green	Green	Green	Light Green	Green	Light Green	Green
	Indonesia	Indonesia	€€		Green	Green	Green	Green	Green	Light Green	Green	Light Green	Purple
Cotton	BCI	BCI	€€€		Green	Green	Green	Green	Green	Green	Green	Green	Green
	Climate Resilience Program	Maharashtra	€		Green	White	White	Green	White	White	Green	Green	White
		Mozambique	€€		Green	White	White	Green	White	White	Green	Purple	White
F&I	Commodity Platforms and Sustainable Sourcing	SSI	€		Green	Green	Green	Green	Green	White	Green	Light Green	White
		SIFAV	€€€		Green	White	White	Green	White	White	Green	Green	Green
		SJC	€		Green	White	White	Green	Light Green	White	Green	White	White
		SNI	€		Green	White	White	Green	Light Green	White	Green	Purple	Light Purple
		SVI	€		Green	Green	Green	Green	Green	White	Green	Green	Light Purple
	Value Chain Development	HortInvest *)	€		Green	Green	Light Green	Green	Light Green	White	Green	Light Purple	White
		Cassava *)	€		Green	White	White	Green	Light Green	White	Green	Green	White
Tea	India Trustea	India Trustea	€€		Green	Green	Green	Green	Green	Green	Green	Light Green	White
	Smallholder	Malawi Tea 2020	€		Green	White	White	Green	White	White	Green	Green	Light Green
		Tanzania - MOG/UTT	€		Green	White	White	Green	Light Green	Light Green	Green	Green	Light Green
		Rwanda - Wood Foundation	€		n/a	n/a	n/a	Green	White	White	Green	White	White

**Legend:** ■ Change & contribution observed    ■ Some/Limited change and contribution observed    ■ Change but no contribution observed    ■ Some/Limited change but no contribution

■ Inconclusive     No impact measured, various reasons, see detailed program assessments for context    n/a: Not part of TOC

**Budget:** €: <1.000.000    €€: >1.000.000-<2.500.000    €€€: >2.500.000

**Outreach:** <50.000    >50.000-<250.000    >250.000



## Dr. Alejandro Guarin — International Institute for Environment and Development (IIED)

“My sense is that the evaluation does a good job with the material available. It seems to be that the shortcomings of the assessment are due to the shortcomings of the data available. Overall, I found a good effort to move from evidence to conclusions. In general, I think the report is well balanced, given the constraints of the framework.

The framework (Theory of Change) applied is quite clunky in my view (overly ambitious and complicated), so it is sometimes difficult to follow the logic. The ToC is not always clear and often too complex. ToCs on outcome or output level do not necessarily seem to lead to impact-level results. In my opinion, sector governance should ultimately be a means to achieving an end at the farm level, whether it is, for example, better livelihoods, quality product or sustainability. I challenge the relevance of claiming impact at the sector level. Aren't these outcomes, at best? These outcomes should be phrased as observed changes in behavior of the actors involved and made measurable. The current framework could imply that impact at the sector level weighs equal to impact at the field level, whereas it has to be proven that observed changes at the sector level indeed impact change at the field level. As IDH, it would concern me that many interventions, particularly at the farm level, show few results or are inconclusive with regard to impact and outcomes. IDH also should be cautious to push too much for impact and rather focus on learnings (outcome level) to improve future interventions.

In that light, I support the conclusion of, e.g. the FCIP program in this evaluation. It articulates the complexity of achieving the field-level impact. Even with the program objective (access to finance) achieved, it is not a given this results automatically in increased yields and farmers applying learnings from trainings correctly. There is much to be learned from, to strengthen future interventions and further investigate drivers for behavioral change of farmers.

With respect to the impact concluded for the Cotton program, I'm hesitant. Although I understand the formulation of 'plausibility that BCI improves the profitability of farmers through efficient use of inputs thereby decreasing input costs', there is no evidence provided that the cotton itself will be produced more sustainable. In broader sense, it seems that due to the way impact is defined in the ToC, there is a push for evidence to confirm ('Increased yield and/or quality of crop of interest, and/or profitability of crop of interest; and/or

increased household income; and/or increased financial resilience or climate resilience'). The third-party evaluations commissioned would have more value if they are (also) transparent on what not has been achieved or only weak results could be observed. In addition, I would expect third-party evaluations to make do a more deliberate attempt to engage with the literature on the topic.

A point of concern for me is the quality of the evidence. The evidence is very systematically scored across three dimensions, with a possible maximum score of 18. Across the sources, the average score is 6.5. I can't say what the threshold is for 'good' evidence, but it certainly suggests that it is far from ideal. Some evidence is more robust than others. In general, most evidence consist heavily of self-assessments and is prone to a bias of the third-party evaluators and/or IDH. In general, the evidence tends to be overly positive for IDH. There is little focus on constructive criticism or reflection, or an assessment of the broader picture. I would like to invite IDH to focus their evaluations on generating learnings from the outcomes and on what it tells about IDH's effectiveness more generally.

I would have liked to see more disaggregation to understand better how and where the impact is occurring, also in relation to investments made. The evidence available does not allow to disaggregate the investments by intervention level (sector, businesses, farms). This would have provided additional insight as to the cost effectiveness of different types of investment. The same goes for a lack in disaggregated reporting enabling, e.g. a gender analysis to understand what the evidence says through a gender lens.

The most expensive programs (FCIP, SIFAV and BCI) appear to show very different achievements, so it doesn't seem like more money leads to more impact. As noted before, there are less green squares at the field level, and this seems to span all types of crops and sectors.

One last thought has to do with the way these interventions are designed. I know nothing about how these investments are decided, but some of the evidence is suggesting that training or business skills are not translating into material differences at the farm level. I wonder if this is suggesting a top-down approach in which interventions are being decided 'by committee' instead of being co-created with the communities, based on their concerns and priorities. I am speculating of course, but evidence in my mind speaks to some incompatibility by what IDH is offering and what people want/need.”

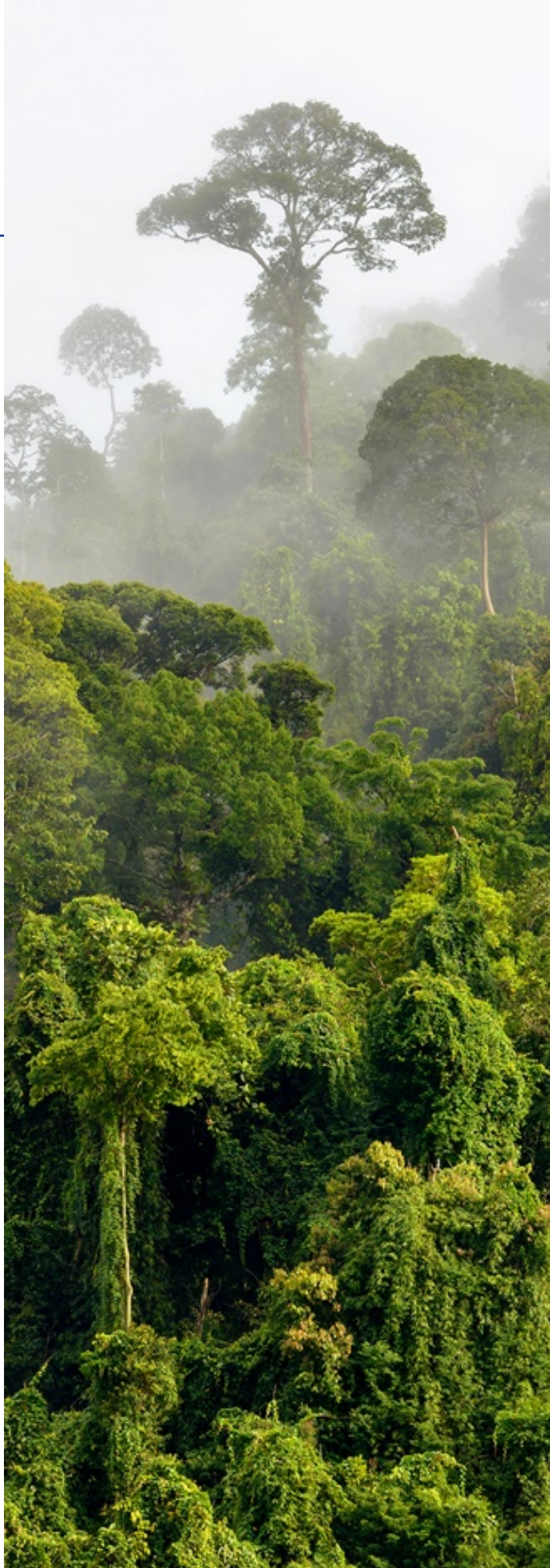
## Mitigation of Deforestation — key observations

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### **Strong outcome-level results at the sector governance level in most landscapes; small-scale field-level impact observed in pilot projects**

The key intervention in IDH's landscape approach is the Production, Protection and Inclusion partnership program. The ISLA and NICFI evaluations confirm the effectiveness of these and reported outcome level results across all landscapes. Outcome level and impact results for field level sustainability were related to pilot projects. These pilot projects aim to inspire a broader uptake hence do not relate to sector governance changes and have not achieved scale yet.

- The Cocoa and Forest Initiative (CFI) finalized the design phase in 2020, and outcome level results for business practices and sector governance have been measured. The progress to date has not yet resulted in field level impact.
- The market-end PoCs focus on convening the sector, raising awareness and creating market pull for sustainably sourced commodities. Therefore, with the exception of SourceUp, there are no field level outputs and outcomes. For SourceUp, it is too early to measure field level outputs and outcomes.
- One of the challenges in preventing deforestation through supply chain interventions is the risk of leakage, displacement, or spill-over effects at landscape level. Zero-deforestation may be achieved for particular supply chains and/or regions, but unsustainable production activities may have been transferred from a region with stringent regulations to another region with less strict rules. IDH pays little attention to acknowledging or mitigating this kind of leakage.



# Mitigation of Deforestation — summary of results

Mitigation of Deforestation			Sector governance			Business practices			Field level			
Program	PoC	Budget	Outreach	Output	Out-come	Impact	Output	Out-come	Impact	Output	Out-come	Impact
Cocoa	CFI	€€€										
Market Ends Programs	Market Ends Program Palm Oil	€€	n/a							n/a	n/a	n/a
	Market Ends Program Soy	€€€	n/a							n/a	n/a	n/a
	Market Ends Program Tropical Timber	€€€	n/a							n/a	n/a	n/a
	SourceUp	?								n/a	n/a	n/a
Landscapes (NICFI)	Brazil	€€€										
	Indonesia	€€€										
	Liberia	€€€										
Landscapes (ISLA)	Côte d'Ivoire	€€€										
	Ethiopia	€€€										
	Kenya	€€€										
	Vietnam	€€€										

**Legend:** Change & contribution observed    Some/Limited change and contribution observed    Change but no contribution observed    Some/Limited change but no contribution  
 Inconclusive    No impact measured, various reasons, see detailed program assessments for context    n/a: Not part of TOC

**Budget:** €: <1.000.000    €€: >1.000.000-<2.500.000    €€€: >2.500.000

**Outreach:** <50.000    >50.000-<250.000    >250.000

## Dr. Eric Arets — Wageningen Environmental Research (I/II)

“In summary, my conclusions are that the conclusions in the end-term evaluation are valid and correctly reflect the provided evidence. As also found in the midterm assessment, the used approach for assessing and scoring available evidence, including a scoring for different levels of quality of the documents in principle appears to be a good approach for evaluating the large amounts of documents and information sources that vary in scope and quality.

With regard to the quality of the evidence as indicated by the scoring in the draft evidence assessment framework, I have two observations:

- When assessing effects on deforestation, the assessment of developments over time (preferably including a baseline assessment) is considered to be an important element. Of the evidence documents listed, only 17% (25 out of 145) are based on research over time.
- The overall quality (based on the quality score) of the evidence used in the evaluation of the Cocoa and Market End programs appear to be relatively poor, with average scores of around 5 (out of a max score of 18). The evidence for the Landscape programs hence is much more conclusive than for the market programs which show a risk for bias and lack monitoring over time.

### Effectiveness of realized outcomes

Effectiveness of realized outcomes in preventing deforestation is not always conclusive and sometimes only temporary. For example, the overview of outputs achieved on changed business practices in Indonesia (Table 16 in M.370) indicates for each of the landscapes an area (x ha) where sustainable production, farm rehabilitation or intensification interventions are being implemented. From this statement, it is not entirely clear if the objectives of PPI are actually met, as the objectives would be on all three elements, which implies and instead of or, including both improved production and protection of the landscape. Interventions aimed at intensification of production only may not work in protecting the landscape from deforestation. There is mixed evidence that improved productivity close to forest areas actually releases pressure on those forests. A large number of studies indicate that without additional measures local yield increases lead to increased agricultural encroachment into forests. Moreover, productivity improvement may even encourage deforestation if commodities or products are involved that show an elastic demand, i.e. prices are not depressed when supply (locally) increases.

The Bumitama, West Kalimantan case study presented in M370, however, describes the successful implementation of interventions aimed at protecting the forest. At the outcome level, this seems to be successful. Additional

spatial analysis, however, showed that at the field level, deforestation rate only showed a dip in deforestation in the year after Essential Ecosystem Areas (KEEs) were designated, but increased again in the years after that. The substantial decline in forest cover inside the KEE, after the KEE designation, is likely caused by forest fire. Success at the field level hence appears to be still uncertain and will need continuous attention and monitoring.

### Reflections on plausibility of long-term impact at the field level in Brazil

The evaluation by KIT considers long-term impacts on the field-level sustainability in the Brazilian program to be plausible, mainly based on the inclusion of positive incentives for halting deforestation, and the anticipated key role of the CARs. When you only look at the number of CARs supported, then it does not yet indicate what the actual impact is. Recent studies on the impacts of the CAR on deforestation so far have shown mixed results. The conclusion that long-term impact is plausible in Brazil, therefore, in my opinion, seems a bit premature with the available evidence at this point.

The approach of providing positive incentives and to engage with non-complying parties providing technical assistance to enable their regularization and reinsertion in the market is important and differs very much from the currently often used exclusion when non-compliant. It would be interesting to see more evidence that this approach indeed is successful.

### Mixed results on the field-level sustainability in ISLA Kenya

Key activities in the evaluated ISLA Kenya project focused on intensification of milk production and prevention of livestock grazing in forest areas. From the evidence provided, it is not clear, however, what was the relative scale of the interventions or how this relates to the (section of) the Mau forest landscape considered. The ISLA evaluation study (M.406) indicated that as a result of the livestock intensification project, milk production increased from 4.6 to 6.25 liters per cow per day. It is not clear if that would be overall, or only for the farmers participating in the program.

Based on what I have seen in the southern Mau forest landscape, it will only be the farmers with larger parcels of land who will be able to implement a non-grazing dairy production, with their cows in stables near the house (also needed for producing the biogas, which is not possible with free roaming livestock). If smaller farms follow the example of the bigger farms (triggered by the improved livelihood of these latter farmers), this may even increase pressure on available land and hence promote deforestation. To mitigate this, some kind of land reform will be necessary.

## Dr. Eric Arets — Wageningen Environmental Research (II/II)

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### Challenges in preventing deforestation

One of the challenges in preventing deforestation through supply chain interventions is the risk of leakage or spill-over effects. Through supply chain interventions, zero deforestation may be achieved for particular supply chains and/or regions. This, however, is not always enough to also contribute to reduce the global-level deforestation because leakage or displacement may occur, transferring unsustainable production activities from a region with stringent regulations to another region with less strict rules, from one producer to another, or from one consumer market to another (e.g. Ingram et al. 2020). While I think this is an important aspect to take into consideration regarding deforestation, from the evaluated evidence, I find little attention of IDH for mitigating leakage.

Most interventions target companies that are well aware of and already implemented strategies around Mitigation of Deforestation. The effect of the interventions could be greater if companies that are not yet aware and who do not have policies in place to prevent deforestation would be targeted. The additionality of the interventions is not always clear. In addition, the scalability of the initiatives to a broader pool of companies that are more or less aware of their impact on deforestation is difficult to prove.

### Anticipated new EU legislation

Regarding deforestation, the European Commission is preparing a new legislative framework on demand-side regulatory and non-regulatory measures in order to increase supply chain transparency and minimize the risk of deforestation and forest degradation associated with products placed on the EU market. IDH could play an important role in supporting the development and implementation of improved sector governance, business practices and field-level measures addressing the requirements of the new EU legislation. I assume IDH closely follows these developments in EU legislation. Depending on the measures proposed in this new EU legislation, adjustments to the current IDH methodologies could be needed.”

## Gender Equality and Empowerment — key observations

### Strong outcome and some impact results in Kenya (tea) and Ethiopia (flowers) but ‘do no harm’ across the full portfolio could not be assessed

- The ToC on gender should approach the issue from two sides: do no harm and create positive impact. Currently ‘do no harm’ is not explicitly addressed. As a result, gender has not been sufficiently mainstreamed across IDH to effectively drive the agenda within the programs.
- Although an ex-ante assessment on “do no harm” is addressed in IDH’s internal procedures, no data in this context could be provided.
- Gender should not be only about reaching women, but the selection of focus suggests that there is a tendency to focus interventions on sectors where women are a relatively large part of the work force.
- Differences in the quality of the evidence, and the level to which organizations in charge of the third-party evaluation have been able to understand and assess the gender component, was observed. With gender as a key impact theme, ‘addressing gender’ should not be optional and without understanding gender-related problems/opportunities, it can be questioned if the ‘do no harm’ principle, to which IDH has committed itself, can be held true. (EI.3)
- In some programs, there are signs of transformation and interventions pushing in this direction, while in others we see no/little interventions at all, reflecting little awareness and understanding of the problem at stake.
- The outcome level results vary in their nature – from addressing women specific labor conditions (Race to the Top, BOHESI Ghana) to more transformational as measured in the gender project in tea, Kenya.
- The gender project in Kenya (tea) and gender equality activities in the flower sector in Ethiopia (under the Floriculture Sustainability Initiative) both resulted in field level impact results. The pilot project in the Better Cotton Initiative was very well designed and documented from a gender perspective.
- Compared to with the midterm evaluation, for some PoCs, we did not receive information. It is unclear what happened to the activities with focus on women in FCIP. There is no evidence for outcome results. The Coffee program informed us that in a few projects (gender intentional), household decision training has been integrated. The Coffee program does not have an overarching strategy on gender and therefore decided not to hand in evidence.



# Gender Equality and Empowerment — summary of results

Gender Equality and Empowerment				Sector governance			Business practices			Field level			
Program	PoC	Initiative	Budget	Outreach	Output	Out-come	Impact	Output	Out-come	Impact	Output	Out-come	Impact
Apparel	Working Conditions: Working Engagement	Working Engagement (RttT)	€€		n/a	n/a	n/a						
	LABS	LABS	€		n/a	n/a	n/a	n/a	n/a	n/a			
Cocoa	FCIP	FCIP	€										
	CNIP	CNIP	€		n/a	n/a	n/a						
Cotton	BCI	BCI	€€€										
Fresh & Ingredients	Commodity Platforms and Sustainable Sourcing	FSI	€										
		SIFAV	€€€										
Tea	Malawi Tea 2020	Malawi Tea 2020	€€	?									
	Gender Kenya	Gender Kenya	€€										

**Legend:** Change & contribution observed    Some/Limited change and contribution observed    Change but no contribution observed    Some/Limited change but no contribution  
 Inconclusive    No impact measured, various reasons, see detailed program assessments for context    n/a: Not part of TOC

**Budget:** €: <1.000.000    €€: >1.000.000-<2.500.000    €€€: >2.500.000

**Outreach:** <50.000    >50.000-<250.000    >250.000

## Dr. Anna Laven — Rokit Science, KIT Royal Tropical Institute

“Overall, the conclusions follow logically from the assessment of the evidence. The fact that IDH requested for an assessment on program level rather than organizational level is, however, a missed opportunity.

An assessment of IDH’s internal gender strategy, capacity and ambition is crucial to understand its maturity as convener of Gender Equality and Empowerment, and the progress made. I miss evidence on the integration of gender in IDH’s internal organization and on programs where gender was not identified as a theme. This makes it difficult to assess the risk of doing harm. This goes particularly for those programs/projects that are not gender intentional, and where ‘business as usual’ can imply that gender inequalities/disempowerment are reinforced. 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. In addition, there is a gap in evidence on more holistic strategies, showing how gender is integrated in core sustainability themes, such as living income/living wage, child labor, deforestation, and in Landscape programs. The lack of this evidence suggests that a more integrated approach is still lacking.

The selection of focus PoCs in scope of this evaluation suggests that there is a bias to focus gender-related interventions on sectors where women are a relatively large part of the work force (such as apparel, cotton and tea), while ‘gender’ is not about reaching women. In sectors where men are dominant (such as cocoa), gender-related interventions tend to focus on women in alternative income generating activities and on women in traditional roles (instead of recognizing women as co-farmers and their specific challenges). This bias hinders transformative change. Moreover, several programs focus on outreach (e.g. training on GAP). However, being reached or trained does not automatically mean that women will also benefit (or will be empowered), as this will depend, among other, on their resources/skills, agency and decision-making power within the household and on dominant social norms. To be transformative, IDH should avoid a focus on gender only in sectors where women are dominant, and/or on women in traditional roles and put more emphasis on the underlying reasons for gender inequality and disempowerment, which is often rooted in social norms, and on involving men.

In the Tea program, IDH has shown its strength as convener of the Gender Empowerment Platform in Kenya and contributor to creating an enabling environment to address gender-based violence in the tea sector in Malawi. The work IDH has been doing to address GBV, which is a highly complex issue, deserves appreciation

and valuable lessons can be shared between countries and across sectors.

IDH is well-positioned to facilitate learning between sectors and countries. Efforts in this direction are appreciated and should be continued. E.g. the pilot project in cotton (BCI) was from a gender perspective very well designed and documented. In the pilot phase, already some positive results have been measured (e.g. significant change in the mindset of men/perceptions on tasks, decision making, etc.). The pathways for scaling up this pilot provide a roadmap for sector governance on gender equality in cotton. In addition, the results with regard to BOHESI suggest that not only positive results can be replicated in the sector (and further contribute to gender equality at the sector level), but also in other sectors, such as tea and flower. IDH is in an excellent position to convene further cross-sector learning.

I notice quite some differences in the quality of the evidence, and the level to which third-party organizations in charge of the specific program evaluations have been able to understand and assess the gender component. In most of the evidence provided, I missed a gender assessment and/or integration of gender in the ToC to understand the gender-related problems/ambitions and interpret results. There were some exceptions, such as BCI.

Finally, I would like to re-iterate my comment from the midterm evaluation: 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.”



## Responsible Agrochemical Management — key observations

### Strongest results observed in cotton (India) and projects in Vietnam (coffee, spices) but overall field-level impact is limited

- The ToC on responsible agrochemical management seems to ignore the role of the agrochemical and could have addressed implementation of Integrated Pest Management and the use of advances in technology more explicitly.
- The intervention strategy related to responsible agrochemical management differs across the respective programs due to differences between crops and the nature of the programs. Overall, field level impact is not very substantive.
- Cotton is the only program with a focus on responsible use of agrochemicals. It is addressed in the Better Cotton Initiative standard, meaning that field level results could be measured. This is the only PoC where there is a clear link between sector governance results and observed impact level results at field level.
- The interventions and reported outcome level results in tea, coffee and spices in Vietnam all relate to the work of ISLA Vietnam. Outcome level results observed for sector governance are due to the work in the agrochemical working group. Strong local presence contributed largely to measured results.
- The observed results in coffee in Vietnam relate to the company-driven Service Delivery Models although they emerged (partly) under the ISLA program, so to a certain extent sector governance influence could be observed.
- The results in the Floriculture Sustainability Initiative (FSI) and Sustainable Spices Initiative (SSI) relate to project level interventions which have a sector governance component; the project in spices in India took place under the umbrella of SSI-India and the 'Chain Transparency Project', funded by IDH was facilitated by FSI — the sector platform.



# Responsible Agrochemical Management — summary of results

Responsible Agrochemical Management					Sector governance			Business practices			Field level		
Program	PoC	Initiative	Budget	Outreach	Output	Out-come	Impact	Output	Out-come	Impact	Output	Out-come	Impact
Coffee	Vietnam	Vietnam	€€		Green	Green	Light Green	Green	Green	White	Green	Green	Light Green
Cotton	BCI	BCI	€€€		Green	Green	Light Green	Green	Green	Green	Green	Green	Light Green
Fresh & Ingredients	Commodity Platforms and Sustainable Sourcing	FSI	€€		Green	Green	Light Green	Green	Green	White	Green	Green	Green
		SSI	€		Green	Green	Light Green	Green	Green	White	Green	Green	Green
		SIFAV	€€€		Green	White	White	White	White	White	White	White	White
Aqua-culture	Aquaculture	Aquascapes	€€		Light Green	Light Green	Light Green	Light Green	Light Green	Light Green	Light Green	Light Green	Light Green
		Local Food	€€		Light Green	Light Green	Yellow	Light Green	Light Green	Yellow	Light Green	Light Green	Yellow
		Innovation	€€		n/a	n/a	n/a	Light Green	Light Green	Yellow	Light Green	Light Green	Yellow
Tea	India Trustea	India Trustea	€€		Green	White	White	Green	Green	White	Green	Light Purple	White
	Smallholder	Vietnam	€		Green	Green	White	Green	White	White	Green	Purple	White

**Legend:**

- Change & contribution observed
- Some/Limited change and contribution observed
- Change but no contribution observed
- Some/Limited change but no contribution
- Inconclusive
- No impact measured, various reasons, see detailed program assessments for context
- n/a: Not part of TOC

**Budget:** €: <1.000.000    €€: >1.000.000-<2.500.000    €€€: >2.500.000

**Outreach:** <50.000    >50.000-<250.000    >250.000

## Emeritus Prof. Graham Matthews — Imperial College London

“I support the conclusions of this research and I would like to highlight the following:

I stated in the midterm report that the government needed to direct more attention to the pesticide registration process and that rotation of the use of pesticides needed to be rotated across regions to establish a pesticide resistance management strategy. For the end-line evaluation, it is still valid that the government needs to be more diligent regarding registration of products. It seems that the importance of the role of the government in this context is underestimated in IDH's interventions. The use of pesticides should also be better controlled to restrict overuse and allow rotation of modes of action to minimize pests developing resistance. More emphasis is needed on the common name of pesticides rather than local trade names. There is need to include biopesticides, but their application is more complex compared with chemicals.

Major changes in the way pesticides are applied in relation to formulation, spray volume, droplet spectrum need to be implemented to reduce adverse environmental impacts. From historical perspective, this area did not innovate much over the past decades. With their innovative mindset, IDH could have addressed this in their strategy. Currently, spray technology is evolving and innovations, such as drones, are promising to change the application of insecticides on cotton, as in China. The adoption of these new innovations relies heavily on the support of government to provide information for their adoption. Using drones will reduce exposure of farmers to pesticides and eliminate using heavy knapsack sprayers. Recommendations about how to apply pesticides need to be the result of well-managed research trials by government and universities to provide more detailed advice on pest management. Other problems are the result of the failure by governments to regulate the use of pesticides and to ensure proper practical training is required by law for users and those marketing pesticides.

Looking at business practices, 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. This could have been addressed more explicitly. Digitization is developing fast, resulting in an abundance of apps available for farmers. Before further investing in apps, I would recommend IDH to thoroughly research the actual user needs, given the results of the evaluation in Vietnam in the SSI program. There seems to be a distinct contrast between 89% of the farmers trained that get certified, yet relatively few know about the app. It is difficult to assess how important and useful the app is in farmers' daily practices, yet many advocate the use of an app in our digital era as a source of information and guidance.

Over the years, BCI have undoubtedly implemented more training, but the methodology of using pesticides needs to be improved. Much has been achieved with field facilitators, but as indicated above, much more needs to be accomplished with more definitive recommendations developed by researchers. Government must succeed with updating pesticide registration to stop the use of highly hazardous insecticides. Clearly the impact of the COVID-19 virus has limited obtaining all the information needed to show how much has been achieved so far. My concern here is that in using percentage changes contrasting BCI supported farmers versus other farmers, there is no indication of the precise number of farmers being compared or the proportion of BCI farmers who received practical training and whether any tests to assess the farmers' knowledge have taken place. There should be more emphasis on monitoring the quality of training and measuring actual adoption. No mention is made of the need by government to withdraw registration of highly hazardous pesticides or the need to also train those selling the pesticides, although BCI recognize the need for the central government to take action.

In addition, there are weaknesses as farmers still rely to a considerable extent on help from those selling the pesticides. The agrochemical industry is a major influencer, but their interest has been primarily in selling the insecticides and have a large influence on which are used. However, they have generally not received practical training or been directly involved in the sale of application equipment or personal protective equipment (PPE).”

## Living Wage and Working Conditions — key observations

### Strong results with impact at field level in Malawi (tea), Vietnam and India (apparel)

- IDH played a key role in the observed impact level results achieved through the Malawi 2020 program; the decrease of the living wage gap and enhancement of collective bargaining were critical targets and complex issues to tackle.
- Improved working conditions in the apparel and sportswear sectors in India and Vietnam, and the banana sector in Ecuador, are additional impacts at field level that were achieved with IDH's contribution.
- With the Dutch retail commitment on living wages, and new and more ambitious strategies for the Floriculture Sustainability Initiative (FSI) and Sustainability Initiative Fruit and Vegetables (SIFAV) in place, it is likely that sustainability became further embedded in these sectors. Child labor is being addressed at sector level through the Sustainable Spices Initiative (SSI) and Sustainable Vanilla Initiative (SVI).
- In general, SG and BP results relate to creation of conditions to address sensitive topics, alignment on language and methodology, and deployment of tools. A multi-stakeholder membership is no guarantee of success and therefore IDH should be careful to anticipate the increased leverage this membership/increased dialogue can provide on outcome and impact level.



# Living Wage and Working Conditions — summary of results

Living Wage and Working Conditions					Sector governance			Business practices			Field level		
Program	PoC	Initiative	Budget	Outreach	Output	Out-come	Impact	Output	Out-come	Impact	Output	Out-come	Impact
Apparel	Working Conditions: Working Engagement	RttT	€		Green	Green	Green	Green	White	White	Green	Green	Green
	LABS	LABS	€		Green	Green	Green	White	Green	Green	Green	Green	Green
Fresh & Ingredients	Commodity Platforms and Sustainable Sourcing	FSI	€		Green	Green	White	Green	White	White	Green	White	White
		SSI	€		Green	Green	White	Green	White	White	White	White	White
		SIFAV	€€€		Green	Green	Light Green	Green	Green	White	Green	Green	Green
		SJC	€		Green	Green	White	Green	White	White	White	White	White
		SVI	€		Green	Green	White	Green	White	White	Green	Light Green	White
Tea	Malawi Tea 2020	Malawi Tea 2020	€€		Green	Green	Green	Green	White	White	Green	Green	Light Green

**Legend:** ■ Change & contribution observed    ■ Some/Limited change and contribution observed    ■ Change but no contribution observed    ■ Some/Limited change but no contribution  
■ Inconclusive     No impact measured, various reasons, see detailed program assessments for context    n/a: Not part of TOC

**Budget:** €: <1.000.000    €€: >1.000.000-<2.500.000    €€€: >2.500.000

**Outreach:** <<50.000    >50.000-<250.000    >250.000

## Dr. Matthew Alford — Manchester Business School, University of Manchester (I/II)

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“The report provides a transparent, well balanced and detailed assessment of both the achievements, successes and challenges that cut across this ambitious set of programs. The suite of IDH programs under review have achieved a great deal, and represent a significant step forward in closing the living wage gap and improving working conditions. I therefore support the conclusions based on the assessment of evidence provided.

In apparel, IDH has played a central role in driving change. Particularly impressive has been the level of engagement with public/state actors, which is critical for achieving sustainable gains. More work could be done in terms of actually making long-term results more concrete and tangible. However, IDH has laid important foundations for future work resulting in a pathway to impact. At the business practice level, the LABS initiative has clearly become more embedded in brands’ business practices and supplier relations, which is absent in the RttT program. At the field level, RttT and LABS have led to contributions and positive changes. While this is clearly variable across programs and dimensions of working conditions, an important foundation has been laid on which to build.

For the Malawi Tea 2020 program, much has been achieved at the sector governance level to decrease the living wage gap and enhancing collective bargaining. These are two highly ambitious and yet critical targets to ensure sustainable improvements. IDH played a key role in this, despite parallel initiatives and measures that could have also contributed to the progress made. At the business practices level, positive change is clear at the output/outcome level. It is too early to measure long-term impact, with only sporadic success stories evident among certain buyers, and no guarantees that sustainable sourcing will be embedded in the longer term. Regarding the field level, evidence provided for ‘impact’ is more compelling, despite there being much more to do going forward. Reducing the living wage gap is a big achievement, and it is commendable that the report notes the need for union empowerment/activity to secure sustainable gains; it is also essential that the government (which could arguably play more of a role) be engaged with in future. Going forward, I would like to emphasize that an integrated ground-level assessment of living

wages and working conditions is crucial, taking into account both measurable standards (e.g. wage levels, health and safety standards, working hours) and enabling rights (trade union representation, freedom of association, non-discrimination, etc.).

Although the programs under Fresh & Ingredients are impressive and ambitious, I’m less convinced by the gains. Commitments are made, but tangible outcomes emanating from multi-stakeholder initiatives that would lead to impact were missing. A multi-stakeholder membership is no guarantee of success, and therefore IDH should be careful to anticipate the increased leverage this membership/increased dialog can provide on the outcome and impact level. I was also unconvinced by claims around the broader sector-level impact. While the roadmap for living wages is a commendable agenda, concrete data on the level of private sector uptake would have been useful. Substantial and impactful gains have been made through BOHESI – though notably more focused on health and safety – and less on living wages and/or collective bargaining. F&I achievements for business practices and at the field level were mixed. While SIFAV and SVI demonstrate some advances on working conditions (including child labor, health and safety and traceability), there is little, by way of tangible benefits, reported aside from the BOHESI project. This is partly because of different lifecycles of the projects.

## Dr. Matthew Alford — Manchester Business School, University of Manchester (II/II)

### Going forward

Recent academic evidence (Alford, Visser and Barrientos 2021) indicates that MSIs can in fact contain power asymmetries and imbalances between private, public and civil society actors, which can restrict social gains. The formulation of an MSI alone is no guarantee of sustainable sourcing. In fact, certain literature indicates that MSIs can in fact provide brands with an opportunity for 'greenwashing' (Alford et al. 2021; Lund-Thomsen and Lindgreen 2014), without altering or improving their supply chain practices. This is a point that applies across all three program areas (apparel, tea, F&I), wherein the continued collaboration, dialog and engagement between actors (private, public, civil society) is essential to secure sustainable improvements in living wages and working conditions.

Certain sectoral change elements and contributions remain non-compulsory and have not been converted into legislation/regulations. It will be critical to engage public/state actors throughout the project lifecycle, to secure buy-in and increase likelihood of incorporating standards/guidelines into legislation. (see Alford and Phillips 2018; Bartley 2018; Locke 2013)

IDH programs have (understandably) focused on particular country contexts. Yet, given the 'global' nature of these industries, for sustainable social gains to be realised – such as living wages and working conditions – a truly 'global' and sector-wide approach is needed. This is to avoid a potential 'race to the bottom' on standards, in the event a particular country (e.g. Malawi) increases quality and prices of products, prompting brands to look elsewhere. This will require alliances, negotiations and bargaining on a sector-wide basis, beyond particular supply chains sourcing from one or two country contexts.

I believe business practices being the most challenging area for which to achieve impact. Branded companies are themselves under substantial pressure from shareholders to secure high-quality goods at low cost, which inevitably affects their sourcing strategies (Anner 2020). The challenge is ensuring commitments are sustained on a sector-wide basis, and beyond a handful of companies (e.g. only Dutch retailers, FSI). Another point recognized as crucial in recent literature (Barrientos et al. 2016), is the fact that the geography of end markets is changing.

The field-level impact achieved across the three programs is already impressive, ranging from enhanced worker voice and social auditing (apparel); improved worker safety and productivity (F&I/BOHESI); and narrowing the living wage gap (Malawi Tea). To enhance impact further across these projects, I would suggest greater emphasis be placed on engaging with and empowering local civil society stakeholders – NGOs and particularly trade unions."

## Efficiency is not monitored in a structured way

### Research questions

This criterion considers how well resources are being used. Here, there are two defining characteristics for what efficiency entails: economic and timeliness. Economic looks at the conversion of inputs (e.g. funding) and outputs (e.g. results), whereas timeliness looks at whether those results were achieved within a reasonable timeframe.

IDH's research question focuses on the economic characteristic:

**(#6) Are IDH's individual initiative expenditures proportional with the results at the output and outcome levels?**

### Key Findings



- IDH's programs have reached most of their output targets within the intended budget. These results should be attributed to IDH and its partners, not IDH alone.
- Cost efficiency is not monitored in a structured way.
- The organizational cost versus total expenditure ratio remained stable over the past four years.
- The overall ratio between the private sector and IDH's contributions decreased and varies between programs.
- IDH's procedures and requirements for implementing partners are perceived as cumbersome.



## IDH's programs have reached most of their output targets within the intended budget; these results should be attributed to IDH and its partners, not IDH alone

- During 2016–20, donor funding contributed to EUR 130.9 million, whereas the private sector contributed to EUR 229.9 million to the program and landscape portfolio of IDH. With this, they achieved 95% and 83% of their targets, respectively (P. 20).
- Although IDH could reconstruct the individual program spent (see Figure 17, based on data provided by IDH's Finance team), it was not possible to allocate this to the individual PoCs and impact themes.
- IDH monitors the progress of programs and sectors through a set of mainly output indicators. The summarized results can be found in Appendix V (P. 20). IDH has achieved most of its output targets set.
- IDH's programs differ significantly in nature with respect to how they aim to reach the field-level impact. Interventions in cotton (through BCI) and in cocoa (through the FCIP) reported an impressive number of farmers who received treatment related to the interventions (2.8 million and over 500,000 farmers). Other programs' outreach to farmers/end-beneficiaries is indirect. Best example is the increase in sustainable sourcing reported by the sector, expressed in volumes sourced through an acknowledged standard. In none of the interventions IDH reported on, they acted on their own; other parties contributed as well.
- Therefore, we conclude that it does not make sense either to add the reported numbers or to calculate averages in terms of 'cost per farmer', 'tons sourced' or 'hectares with better agricultural practices', or 'hectares forest protected', compared with the (donor) funding.

Figure 17: Spent 2016-20 per program

Program	Spent 2016–20 (EURx 000)
Apparel	12.232
Cocoa	43.548
Coffee	42.846
Cotton	82.775
Fresh & Ingredients	37.071
Aquaculture	20.532
Market Ends Programs	28.924
Tea	32.001

Source: IDH Finance Department

## Cost efficiency is not monitored in a structured way

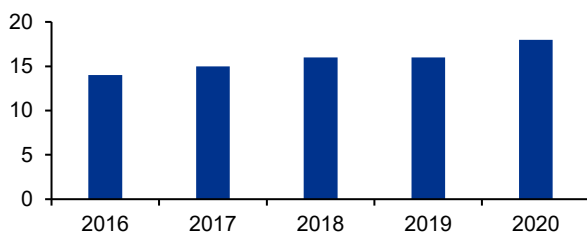
- The midterm evaluation report by PEM Consult (2018) concluded that cost efficiency is not as such measured by IDH but relies historically on, for example, total organizational expenditures, figures of which in the financial statements have been included in the annual reports.
- We conclude that IDH's financial reporting system is not aligned with the PoC structure. As a result, only an estimate on expenditure per PoC could be made (by the programs). This estimate does not account for e.g. convening activities or program investments. Therefore, the provided information is not very accurate. The question of which fraction of IDH's activities is included in our assessment could not be answered. In weighing our conclusions, we took into account IDH's contribution at the program level and applied three categories: low (< 1.000.000 total contribution), medium (1.000.000<X<2.500.000) and large (>2.500.000).
- Although in the pre-contracting process an estimate on KPIs as e.g. 'cost per farmer' is requested, no monitoring on the actuals could be shown by IDH. Consequently, an assessment on RoI could not be made.
- Three third-party reports explicitly evaluated efficiency; the focus, however, varies. The NICFI report focuses on the expenditures, compared to with the budget (NICFI), and concludes that 'the overall spending at the HQ level can be considered reasonable' (M.370). The ISLA report evaluated the level of co-funding which states that the 'program was successful in mobilizing significant amounts of co-financing'. The FCIP evaluation (S. 665) follows the same approach and concludes that the FCIP leverage factor is impressive, but that some issues during implementation delayed the realization of activities. As a result, some activities have not been implemented or delayed, and most KPIs have not been met.
- The NICFI report (M.370) also concluded that it is difficult to assess the efficiency of the program in terms of the proportion of financial and human capital resources used. It concludes that a large contribution to the outputs not only came through service agreements or co-financing agreements but also through staff time investments ('total convening'). It states that the extent to which this has happened cannot be assessed. Therefore, financial and human capital resources cannot be clearly distinguished based on the available information. We received the same feedback from IDH's program staff when we tried to reconstruct the actual investment in respective PoCs over time.
- IDH's activities often have an innovative, unique and complex nature, which requires to adapt the approach to unforeseen challenges. This nature of IDH's interventions makes it difficult to measure the efficiency of an initiative and to steer on efficiency. Nevertheless, the AKVO report (evaluation of aquaculture) concluded that efficiency is the weakest point in the intervention.

## The organizational cost versus total expenditure ratio remained stable over the past four years

- IDH monitors the total organizational expenditures closely and discloses them in its annual accounts. The ratio between organizational costs and total expenditures increased slightly from 14% in 2016 to 18% in 2020 (P.20) (See Figure 18). The organizational costs have remained stable over the years. According to the Annual Report 2020, the main reason for the increase in 2020 is the ramp-up in spending of IDH Farmfit. Excluding the consolidation of the Farmfit Fund, the overhead ratio would have ended at 15%, slightly below 2019. Non-profits typically have overhead ratios of about 20% but some question the relevance of using a ratio like this, as it will highly depend on what an organization aims and how it is organized (A.1).
- The NICFI evaluation report concluded that, specifically for this Landscape program, the overall spending at the HQ level can be considered reasonable, given that significant coordination and preparatory work for the new landscape approach, which had to be completely developed, including SourceUp and the &Green Fund, was done at the HQ level.



Figure 18: Ratio organizational cost/total expenditures in % 2016–20 (P.20)

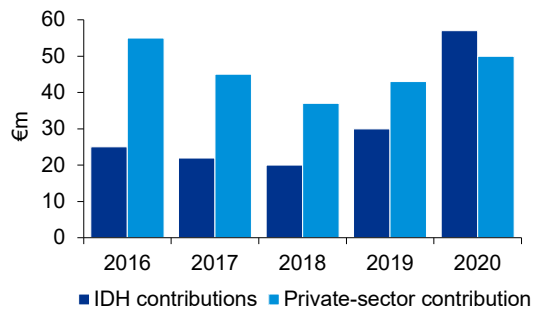


## The overall ratio between the private sector and IDH's contributions decreased and varies between programs

- Despite IDH's aim to increase the relative share of the private sector contributions, the overall ratio between the private sector and IDH's contributions decreased. IDH's contributions over the past five years increased from EUR 26 million in 2016 to EUR 35.5 million in 2020. The private sector contribution decreased from EUR 52 million in 2016 to EUR 50.9 million in 2020. (P.19, P.20). IDH started to work on more challenging sustainability issues such as fighting deforestation and achieving a living wage, where there has been less appetite from the private sector to invest in not yet proven new innovative approaches. In addition, the shift focus to work more locally with smaller companies had its effect, as these companies have lower budgets available to invest in. Finally, the expansion of the landscape approach sorts its effect; a larger share is not co-financed and, if so, the ratio is different (1:1).
- Especially for cotton and apparel, we see that IDH has succeeded in attracting investments by the private sector. Both programs created a self-funding mechanism in which (private) funding safeguards future investments (IDH AR 2020). The F&I initiatives were able to attract twice as much funding from the private sector in 2020, compared with 2016. The cassava program started in 2018 and is funded by the Rockefeller Foundation, and hence hardly depends on IDH's program contribution.
- With regard to the agri-commodities, we see that coffee has steadily improved its ratio (increase in SDMs). Over the years, the requirements regarding match funding have increased, which means that instead of 50% only 30% is funded by IDH. However, we see a different development in tea and especially cocoa. In 2016, these programs were well able to attract funding from the private sector, but this decreased significantly in 2020. This might be explained by the phasing of FCIP.
- While timber and palm oil attract an increasing share of their contributions via the private sector, soy has the opposite development.

Figure 19: IDH contributions and private sector contributions in millions (EUR)

### IDH contributions and private-sector contributions in million €



Note:

- The data we based our analysis on was not audited by us or any other independent third party.
- We note that the data has been corrected manually for BUZA1

## IDH's procedures and requirements for implementing partners are perceived as cumbersome

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- Some of the interviewees mentioned that the process to request funding from IDH requires a lot of time and effort and argued that IDH is the most complex organization of all other funding organizations in terms of (administrative) requirements. In combination with the lower percentage which can be funded through IDH, this does not always make it an attractive partner.
- The reporting IDH requests over the course of a project was mentioned to be challenging and time consuming. This administrative burden is particularly felt by organizations that are more experienced and familiar in the region they operate, because there is overlap in the additional requirements of IDH and their own procedures.
- It is also recognized that the information requested by IDH aims to contribute to analysis on additionality, need assessments and impact, which is relevant to better design, monitor and measure the outcomes and impact of the interventions. However, there are doubts to which extent the data are actually used and how the IP can benefit from this.
- At the operational level, IDH is known for quickly and effectively adapting its approach when things do not go as planned. Apart from that, the nature of the interventions could cause inefficiencies, and stakeholders acknowledge that IDH deals with these challenges in an efficient manner.

# Most interventions are still running, so long term impact cannot be measured yet. Expectations may have been raised too high

## Research question

This criterion considers what difference an intervention makes looking at positive or negative, and intended or unintended, effects.

IDH has one relevant research question here:

*(#7) Within a given PoC change, logic flows from sector governance to the field level; do changes of sector governance lead to field-level changes on behavior and well-being of individual producers/workers and/or prevention of environmental degradation of production areas?*

We observed, while assessing the impact, that the research question assumes changes in flows from sector to the field level. Even though this is often the case and an important part of IDH's approach, there are examples of impact occurring the other way round, from field to the sector level.

## Key Findings



- For most PoCs, it is too early to measure sustained impacts at the field level. Expectations may have been raised too high.
- For some of the PoCs which have achieved the field-level impact results, this can be linked to changes at the sector governance level.
- For other PoCs, the field-level impact observed, are not directly related to sector governance results.

## For most PoCs, it is too early to measure sustained impacts at the field level. Expectations may have been raised too high

- Realizing wider and sustained impacts usually takes a longer time horizon than the current timespan of the projects. This challenge is also recognized in several third-party end evaluations of PoCs and emphasized by the theme experts. Impact measurement is mentioned as ‘a weak link’ and ‘projects need a longer setup and duration for impacts to manifest over time.’ Most of the interventions are still running or only have been finalized recently, and therefore impacts cannot be measured. Quotes from third-party evaluations illustrate this as follows:
  - ‘There were some field-level projects that were ongoing. This meant that the assessment may have not gotten the full picture of all the Program’s interventions and the results of such activities. In addition, and more technically, impact assessments, according to industry practice, are best conducted a couple of years after an intervention’. (Tea, 55)
  - ‘It is still early in the process (e.g. some PPI Compacts have only just been established) to assess the impact of the program’. (NICFI, M. 370)
- More generally, the reports available conclude that IDH’s initiatives that they evaluated led to changes at the sector governance level. The reports conclude that the observed changes usually led to changes at the field level, often as outputs and outcomes – as envisioned in the ToCs. In some cases, there has not been sufficient time for the chain of impact to run its course to impact at the field level (e.g. see country impact results for Indonesia in NICFI M.370). On some occasions, the change went the other way (e.g. in RttT, changes at the factory level were used as case studies to influence more factories, L.332).
- Significant more (end) evaluation reports were available, compared with the evidence base we reviewed in the midterm. Still, many of these evaluations were not able to measure the impact yet for above-mentioned reasons. In some cases, they were hampered due to COVID-19 (e.g. the midterm evaluation of cotton by WUR).
- An important point of concern, also raised in the midterm, is that the ToCs lack specificity as to when to expect impact as well as what exactly to expect. In many cases, the ToCs only describe a direction. As an evaluator, we can therefore not distinguish or address whether impact can be measured yet, due to insufficient attention given to the complexity, execution errors or other driving forces.



## For some of the PoCs which have achieved the field-level impact results, this can be linked to changes at the sector governance level (I/II)

Based on the results presented in Chapter 5 of this report, we can conclude that only for a limited number of PoCs, the field-level results could be measured. In this paragraph, we analyze to what extent the observed field-level results can be linked to changes at the SG level to which IDH contributed. The following stands out:

### Smallholder Inclusion

- For only three PoCs, the observed field-level results were related to changes at sector governance:
  - FCIP (cocoa): The CCF enabled field-level interventions through scaled SDMs implemented by supply chain actors. The impact of these interventions is measured by Agri Logic (S. 659).
  - BCI (cotton): The BCGIF enabled IPs in (among other countries) India to roll out BCI farmer trainings. The impact of these is measured by WUR. (S.554)
  - Trustea (tea); IDH took the lead in setting up the Trustea Sustainable Tea Foundation as an independent secretariat with a multi-stakeholder governance (SG); 55% of Indian tea is Trustea verified, and an evaluation of the code was done in 2021, which included field-level data.
- Only in the case of BCI (Cotton program), positive impact-level results for farmers are plausible; for Trustea (tea, India), the impact has not been measured. The Farmer Field Book analysis of the CCF (part of FCIP) concluded that across the board evidence for the impact of the CCF program is mixed and not decisively positive.
- Additional field-level results reported through the program-level assessments (see details in Appendix I) are related to individual SDM projects, for which also ex-post data were collected through additional evaluations. In this case, there is a link with business practices but not with sector governance.

### Mitigation of Deforestation

- The Market Ends programs do not address field-level interventions, and hence no link with sector governance changes can be expected. More indirectly, there is, of course, an expected link through SourceUp; however, it is too early to measure these effects.
- The progress booked through the Cocoa & Forest Initiative not yet resulted in field-level impact.
- The reported impact at the field level through the Landscape programs (NICFI, ISLA report) is related to pilot projects, which aim to inspire a broader uptake, and hence do not relate to SG changes.

### Gender Equality and Empowerment

- For the PoC Gender Kenya, we can link the observed field-level impact to changes at the SG level.
- In addition, within the Malawi Tea 2020 intervention, there is a link between the SG and field-level outcome-level results, however, there is no impact but outcome-level results. The same goes for BOHESI in Ghana through which working conditions for female employees are addressed (assessed under SIFAV within the F&I program). Here only output-level results are presented in this stage.
- For the other PoCs addressing Gender, either SG is not addressed (cocoa/CNIP, cotton/BCI, apparel/RttT) or the pilot project did inspire SG (EHPEA – Empowering the source; flower industry Ethiopia); the ToC worked bottom-up.

### Responsible Agrochemical Management

- Only for cotton/BCI, there is a clear link between SG results and observed impact-level results at the field level.
- The observed results in coffee/Vietnam are related to the company-driven SDMs, although it has to be mentioned that they emerged (partly) under the ISLA program, and therefore, to a certain extent, SG influence could be observed.
- The observed changes at the outcome level in the tea PoC could be methodological and not be attributed to the respective intervention (Trustea, responsible agri teams); however, these interventions can be traced back to the sector level.
- The results in FSI and SSI are related to project-level interventions which have a SG component; the project in spices in India took place under the umbrella of SSI-India and the 'Chain Transparency Project', funded by IDH was facilitated by FSI – the sector platform. This could be seen as SG.
- The progress booked through the Cocoa & Forest Initiative has not yet resulted in field-level impact.
- The external evaluation of the aquaculture projects suggest a relation between field-level results and change at sector governance; however, due to limited information (report delayed), we could not confirm this.



## **For some of the PoCs which have achieved the field-level impact results, this can be linked to changes at the sector governance level (II/II)**

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### **Living Wage and Working Conditions**

- For both PoCs in the Apparel programs, the observed improvements at the field-level impact are related to changes at the SG level.
- The decrease in the gap in living wage in the Malawi tea sector can be contributed to the Malawi Tea 2020 initiative.
- The observed impact within SIFAV at the field level is related to change at the SG level; however, this is not as a result of SIFAV but as a result from the BOHESI project in Ecuador, co-funded by IDH.

## For other PoCs, the field-level impact observed, are not directly related to sector governance results

- Within the Landscape program, IDH works with implementing partners at the field level on projects to successfully intervene based on the PPI model principles. These interventions are often small-scale projects, but aim to have a more direct positive effect on sustainable production while avoiding or reducing deforestation. The results and learnings are expected to be scaled up through activities that are being done at the landscape and sector levels, and with businesses. Overall, the projects are too small to have tangible effects at the landscape level, but they are important 'tools' to provide PoC to potential investors and encourage upscaling of successful interventions (M.406).
- Across all programs, IDH has worked with 84 companies on 95 SDMs in 22 countries, in order to improve local production practices eventually benefiting large numbers of smallholder farmers. We can observe that the SDMs are set up and farmers are provided with services (e.g. training, access to finance and input). SDMs can be a strong tool to convene partners in the context of an intervention but not necessarily address sector governance.
- In the context of sector platforms, field-level projects serve to generate learnings and inspiration, in order to be scaled within the sector by other companies or even across sectors. An example, apart from the above-mentioned SDMs, is the EHPEA-empowered source project which was run under FSI.



# IDH steers systematically on sustainability but foreseen exit strategies do not always seem feasible within the given timeframe

## Research questions

This criterion considers whether the intervention benefits are likely to continue after it ends.

IDH has three research questions relevant to this criterion:

(#8) Within each proven business case of private sector players, is there a business case for individual producers?

(#9) How do IDH's initiatives safeguard power balance between producers and service deliverers? Are farmers' interests well represented in IDH's programming at the field level?

(#10) To what extent are the outcomes and impact of IDH's interventions expected to continue after project completion? (initiative level)

In our in-depth project assessments, we add nuance to the research questions by also asking how beneficiary interests are represented at the three levels (sector, business and field) and what exit strategy the intervention had.

## Key Findings



- Ex-post data, that could confirm the farmer business case, are scarce; ex-post program evaluation reports show mixed results with regard to the long-term business cases for farmers.
- IDH's local presence is seen as an important factor to represent farmer interests over the course of the intervention.
- IDH's interventions intend to last, but ex-post evaluation conclude with mixed results, and for some interventions, securing structural funding remains a challenge.

## **Ex-post data, that could confirm the farmer business case, are scarce; ex-post program evaluation reports show mixed results with regard to the long-term business cases for farmers**

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- Defining the business case is integrated in the SDM analysis and is focused on the business case for the individual producers and service providers. The SDM analysis is an important part of the pre-contractual approval process. This is further detailed on page 41. IDH aims to include ex-post data at the end of the TA projects.
- As concluded in the impact chapter for most PoCs, sustained impact at the field level cannot be measured yet.
- Some of the third-party research reports (WUR report on BCI, Agri Logic on FCIP) observe that farmers do not adopt trained practices fully or correctly. As a result, no or only limited impact can be measured. This does not necessarily mean that the ToC is not correct; however, attention should be paid in understanding the driving force behind this. We have already made this recommendation in our midterm evaluation report.

## IDH's local presence is seen as an important factor to represent farmers' interests over the course of the intervention

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- According to IDH's staff and stakeholder interviews, farmers' interests are better represented in the field-level interventions with local IDH's staff involved. Field staff works closely with both the implementing partner, the farmers and other stakeholders in the area.
- The in-depth project assessments confirm that farmers' interests are addressed. In the cotton project in Maharashtra, for instance, the business case was entirely based on results and impact at the farmer level (P.48). For the coffee project in Vietnam, there were no case studies conducted at the farm level; however, based on the key learning, IDH identified a need for tools which resulted in practical tools that benefit farmers on the field level. (P.47)
- The end evaluations did not explicitly evaluate to what extent the farmers' interests are safeguarded. The exception is in the Kenya Tea report (G.205), which stated that CSOs were involved in the governance and that evaluation participants felt engaged during the design phase.
- At the corporate level, IDH has a grievance procedure in place. Although this SpeakUP/grievance procedure does not talk about third parties, it is covered in IDH's general terms and conditions that all implementing partners have to sign. In addition, there is a link on IDH's website for the system that partners can use: <https://www.idhsustainabletrade.com/speakup/>. All information is in English only.

## IDH's interventions intend to last, but ex-post evaluations conclude with mixed results, and for some interventions, securing structural funding remains a challenge

- Based on the sector survey, 48% (n=100) agree or strongly agree with the statement that the multi-stakeholder process or coalition is likely to continue once IDH exits the project/program. 29% answered neutral and 23% disagree or strongly disagree.
- IDH is often perceived as an independent party with the right skills to get different parties around the table. Interviewees expressed their concern that this role is difficult to replace by another party.
- When looking at the sustainability of IDH's initiatives, the end evaluations conclude with mixed results. Some performed well, showing signs of scalability (G.205), a likelihood of partners continuing after IDH's exit (Vietnam, Indonesia, Brazil and Kenya the ISLA, M.406) or a likelihood of sustained changes (M.370). Other evaluations refer to specific components of initiatives that will likely not be sustained (e.g. animal rearing and horticulture in CNIP (S.550) and adoption of the LEAN approach by factories in LABS (L.332). The overall conclusion on sustainability for aquaculture was 'moderate' (R.501).
- "Overall, while the assessment documented a strong sense of ownership of the Program (at both company and beneficiaries' levels) there was need for deliberate mechanisms for assuring sustainability embedded in the structure of the platform that appeared not to be strong." (G.205, P.52)
- "The assessment noted a great sense of ownership of interventions and results of the Program among major stakeholders." (G.205, P.61)
- In addition, some interviewees expressed their concern that IDH finalizes projects too early and that there is a tendency to jump to other initiatives before it is clear if the impact will be realized or that the project will continue without IDH's contributions. A broader group of interviewees has shared their concern that structural funding is a challenge in the continuation of the project. Furthermore, in specific situations, it is difficult to sustain projects where IDH has an important convening role or a larger and more hands-on role like the facilitation of the platforms. Interviewees expressed their appreciation IDH's knowledge and pragmatic approach.
- Different elements for the sustainability of IDH's achievements are, at least partially, in place. However, organizational structures for implementation are still fragile at this stage (especially the PCI Institute) and funding mechanisms often concentrate on large-scale actors or temporary projects, whereas access to finance for small-scale actors, such as smallholder farmers in settlement schemes, remains limited. (M.370, P.20)
- Fyffes: The development of benchmarks will continue to need resources, whether companies or organization pay for them, or coalitions get created to support that. IDH has requested a proposal for a business modeling effort that will enable IDH-recognized methodologies to continue developing benchmarks but for public access under a more sustainable business model. The plan is that such initial consultancy could lead to a more robust international partnership to create a publicly available database of benchmarks. Meanwhile, funding will continue to be necessary for developing and updating benchmarks in key regions. (P.50)
- In CFI, a strategy is in place to become self-sustaining by building capacity for this, so that local government can fundraise by themselves. IDH will gradually hand over the CFI responsibilities to the Government. This transition has started, as IDH developed a plan in 2020 to gradually hand over some of its tasks (M.372, M.373).

## Insights gained

In this paragraph we answer the following research questions:

(#11) How has IDH developed its corporate reporting in response to the midterm review (PEMconsult, 2018) and midterm evaluation (KPMG 2019)?

(#12) How has IDH developed its data strategy to prove and validate key RMF statistics?

(#13) Within a given initiative, is the pre-established ToC confirmed by program results or alternative hypothesis in question?

### Key Findings



- Corporate reporting is more focused on overall impact themes, improvement in structure and linking the projects to the overarching objectives of IDH.
- IDH has developed an improved data strategy to prove and validate RMF statistics and decided to implement this with the new strategic cycle of 2021–25.
- IDH's ToCs (theme level) are seen as logical, and none were rejected outright. IDH actively updates and strengthens its ToCs for impact themes and for individual programs and projects. Not all ToCs were designed to be transformative.
  - Over the course of the evaluation of the 2016–20 strategy, multiple iterations to strengthen the ToCs that took place and experts confirmed the validity of the ToCs.
  - Ex-post evaluations are based on program-specific ToCs.
  - Most PoCs have achieved or are expected to achieve their objectives at the output and outcome levels confirming the ToCs.
  - The ToCs for Gender and RAM were less transformative by design.

# Corporate reporting is more focused on overall impact themes, improvement in structure and linking the projects to the overarching objectives of IDH

The corporate evaluation by PEMconsult (2018) recommended the following related to the annual reporting:

- Simplify reporting by having less layers of narratives (Impact Claims, Impact Themes, Result Areas, Proofs of Concept, etc.). No additional measurement – such as new KPIs or impact assessments – is required.
- Provide a more clear and transparent reporting to the funders on the aggregated achievement rates of impact claims.

We compared the Annual Report 2016 with the most recent Annual Report (2020) and observed the following:

- More attention is given in to reporting to the interlinkages and realizing the objectives on the impact themes.
- The reports are better structured and link the projects to the overarching objectives of IDH. The 2016 Annual Report was still quite heavily focused on sector progress, although the first chapter showed impact stories and another chapter described the cross-sectoral initiatives.
- Reporting on the wider impact and the cross-linkages gradually became more important to report on, which is reflected in the 2020 Annual Report where there is more focus on the Landscape programs.

IDH thus improved its reporting and has followed up the PEMconsult recommendations to further simplify the report, using less layers of narratives and showing the coherence of the interventions. It has focused on the needs of the funders to show aggregated achievements on the impact themes. Data availability and quality remains an issue to measure progress. Nevertheless, IDH is better at quantifying (substantiating) the results and focuses on impact instead of a description of the activities and results in line with the PoC.

We feel there is room for improvement by better describing the specific role of IDH in the transformation process and what is needed to move to institutionalization of the transformation. IDH has built an impressive portfolio and has gained extensive experience and a strong network over the years. Are lessons learned and is this experience used at scale within IDH? IDH is innovating for wider impact, which also means that some of the innovations are not working in practice that provide valuable information for follow-up.

Figure 20: structure of Annual Reports 2016 and 2020

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Inclusive business models and smallholder farmers' livelihood improvements	15
Mitigation of reforestation	21
Living wages and improved working conditions	25
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Tea	50
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Coffee	71
Cotton	86
Fresh & Ingredients	96
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## IDH has developed an improved data strategy to prove and validate RMF statistics and decided to implement this with the new strategic cycle of 2021–25

In the first assessment of IDH's strategy of 2016–20 (reference), data collated through the RMF (output and outcome indicators on a yearly basis across all programs) were expected to strengthen the evidence base. The midterm assessment recognized that these data were of limited use (see also Effectiveness, P. 19) and we observed no improvement during this end of program evaluation.

- IDH decided to invest in improvement aligned with the implementation of the strategic cycle of 2021–25 (see also Management Response, midterm). A new RMF was also designed, along with a Monitoring, Evaluation and Learning (MEL) plan (P. 44).
- The Monitoring, Evaluation and Learning (MEL) plan describes monitoring, evaluation and learning activities for IDH's business units, program clusters and subsidiary funds (e.g. Farmfit). The MEL plan aims to offer clear guidelines to the IDH team on how to use monitoring, evaluation and learning activities across business units, roles and responsibilities at the organizational level, including implementing partners across countries IDH works in.
- The new RMF distinguishes between corporate indicators (based on Organizational Theory of Change and indicators to monitor programs and projects. In addition, a differentiation is made between the two (P. 45).
- We observed that quality requirements include that data should be verifiable, and suggestions are done how this can be organized. This leaves room for interpretation and will hamper comparison of data as well as aggregation and robustness of data. For the end-line, we observed a mismatch between data collected (per program) and requested reporting unit PoC at the theme level). It is not clear yet how this is addressed in the new approach.
- The document describes roles and responsibilities but does not address yet how to monitor consistency across programs and/or projects within a program.

IDH increased the capacity of the M&E team to support the program/project teams. The centralized function of the team strengthens independence and allows for quick learnings.

Despite these improvements, progress measurement will be challenging, due to the innovative nature of the projects, complexity, scale and regions in which the interventions take place. New techniques and alternative sources (big-data, satellite imaging, AI) could help to better measure the impacts and do this in an efficient manner.



## IDH's ToCs (theme level) are seen as logical, and none were rejected outright; IDH actively updates and strengthens its ToCs for impact themes and for individual programs and projects; not all ToCs were designed to be transformative

### Over the course of the evaluation of the 2016–20 strategy, multiple iterations to strengthen the ToCs took place and experts confirmed the validity of the ToCs

- During the first assessment, a detailed ToC per impact theme was developed by IDH in collaboration with KPMG and WUR. The first assessment report (WUR/KPMG) formulated impact pathways per impact theme. These impact pathways were used to summarize the overall impact results and the theme-level assessments.
- The midterm evaluation started with a validation of the ToC/impact pathways by a theme expert; findings were shared with IDH and it adjusted its ToC to some extent.
- This end of program evaluation started with the validation of the ToC per theme. None of them was rejected, but some concerns were raised regarding lack of detail or specificity. Appendix V summarizes the results of the validation. In many cases, we have seen a project-specific ToC, mitigating some of the concerns raised.
- The general comment, made in the midterm program evaluation that the impact level results at the theme level are too ambitious and not specifically formulated, still holds true.

### Ex-post evaluations are based on program-specific ToCs

- The ex-post evaluations include a detailed ToC which is specifically related to the scope of evaluation. From a methodological point of view, the value of testing other hypotheses is, therefore, less relevant. The more specific the ToC is, the better an evaluation can conclude on the validity.
- Some of the ex-post evaluations included a further detailing of the ToC in collaboration with the IDH team (aquaculture). The NICFI report explains that there have been slight adjustments to the ToC, based on a review of program documentation and interviews with IDH's staff, such that it can serve as the main evaluation framework.
- Only one evaluation explicitly reports on testing an alternative hypothesis; this is Kenya Tea (G.205), which concluded that "the Program worked with a cogent ToC that effectively guided and facilitated Program implementers (GEP members) toward attaining the desired goals.[...] As such, the assessment did not find substantive evidence to support an alternative hypothesis beyond the suggestions for adjustments in how the individual pathways lead to impact."

### Most PoCs have achieved or are expected to achieve their objectives at output and outcome level confirming the ToC

- This end of program evaluation concludes positive on achieved objectives for most PoCs in scope of the evaluation. See for details the section on Effectiveness and the program-level assessments.
- Most ex-post evaluation cannot report on impact yet (see respective chapter) but confirm output/outcome-level results.
- Ex-post research, which could not measure impact at the field level yet (FCIP evaluation, WUR evaluation cotton), does not question the ToC but recommends to better understand what is happening at the outcome level.

### The ToCs for Gender and RAM were less transformative by design

- The ToC on RAM seems to ignore the role of the agrochemical industry in achieving behavioral change at all levels. In addition, the ToC could have addressed the implementation of IPM more explicitly as well as addressing the use of advances in technology, such as genetic engineering and use of drones.
- The ToC on Gender should approach Gender from two sides: do no harm and create positive impact. At present, 'do no harm' is not explicitly addressed. As a result, Gender has not been sufficiently mainstreamed across IDH to effectively drive the agenda within the programs. There is a gap in evidence on more holistic approaches and it looks like there is a bias to focus gender-related interventions on sectors where women are a relatively large part of the work force, while 'gender' is not about reaching women. This bias hinders transformative change.

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# 4. Innovation and evolvment:

Enhancing relevance,  
additionality and  
effectiveness

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# IDH enhances its relevance, additionality and effectiveness through five innovation strategies (I/II)

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## Five innovation strategies identified to drive sustainable market transformation

Over the course of the evaluation period (2016–20), IDH continued to innovate. It aims to create new ways to reach impact at scale by leveraging its ability to quickly adjust initiatives and to provide the next intervention responding to the phase of market transformation of a specific sector. These new initiatives should also contribute to the diversity, outreach and influence of pre-existing programs and should result in increase in private sector engagement.

We identified the following five innovation strategies:

1. Focus on data-driven insights to compile the business case for sustainable interventions.
2. Develop and deploy digital tools upstream and downstream to accelerate sustainable market transformation.
3. Drive investable interventions from niche to norm through the development of innovative finance solutions.
4. Enable inclusive and transparent supply chains through the launch of a new market mechanism for landscape initiatives.
5. Unlock premium market for smallholders, enabling for them a better income, through empowerment of SMEs.

# IDH enhances its relevance, additionality and effectiveness through five innovation strategies (II/II)

The table below summarizes our assessment of the identified core innovations, developed and launched by IDH over the course of the evaluation period. In the next paragraphs, we have unpacked these innovations and measure the achieved results in output KPIs (to the extent data available) and contextualized our findings.

## Key insights

- The five identified innovation strategies showed strong internal coherence among each other and are coherent with IDH’s impact themes. The SDM analysis methodology and the salary matrix include gender-specific KPIs.
- The innovations build on lessons learned in existing programs and on IDH’s unique strengths, and therefore safeguard relevance and additionality.
- Output data is available for Farmfit (private sector parties engaged, farmers reached, budget invested). For the other innovations like SourceUp, Finance Solutions, and Value Chain Development, a pipeline of projects has been developed but it is either too early in the engagement process or still confidential to report output data.
- Pilots in the context of the innovation (Finance Solutions, Value Chain Development) already could provide outcome-level results, confirming the effectiveness (at the project level). For the other innovations, it is too early to confirm the effectiveness.
- We observed that ‘lessons learned’ from pilots within an innovation are not always explicitly documented. However, the investment made in internal capacity building (see Farmfit, P. 68) is evident.
- A concern is the number of different platforms and websites; each innovation has its own platform/website, it is not always evident what IDH aims to achieve with the platform, who it is trying to reach and whether the end-user needs are clearly defined. The maintenance these platforms require might be underestimated. Future efficiencies might be gained by a more coherent approach in this context.
- Despite the confirmed internal coherence, relevance, and additionality of each innovation, IDH takes on many innovation tracks in parallel. It still remains to be seen whether IDH is able to deliver on effectiveness, impact, and sustainability for all of these tracks.

Figure 21: Summary assessment of five innovation strategies

Innovation strategy	Innovation	Impact theme addressed	Relevance	Additionality	Effectiveness
Focus on data-driven insights to compile the business case for sustainable interventions	<a href="#">Farmfit</a>		+	0/+	?
Develop and deploy digital tools upstream and downstream to accelerate sustainable market transformation	<a href="#">Roadmap on Living Wages</a>		+	+	?
	<a href="#">Digital Transformation and advice</a>		+	?	?
Drive investable interventions from niche to norm through the development of innovative finance solutions	<a href="#">Finance Solutions</a> ; Farmfit Fund and technical assistance facilities		+	+	0/+
Enable inclusive and transparent supply chains through the launch of a new market mechanism for landscape initiatives	<a href="#">SourceUp</a>		+	+	?
Unlock premium market for smallholders, enabling for them a better income, through empowerment of SMEs	<a href="#">Value Chain Development</a> program		+	+	0/+

## Focus on data-driven insights to compile the business case for sustainable interventions (I/II)

In 2018, IDH announced the launch of a new program, [Farmfit](#). Farmfit aims to make investments in smallholder farming more attractive and provides technical assistance, insights and de-risked finance models to banks and business. Through this program, IDH aims to transform the market for agricultural service providers, develop access to finance, improve food trade and provide sector insights using PPPs.

This program heavily builds on IDH’s work with SDM analyses. IDH started with SDM analyses in 2015, in four countries on two commodities (coffee and cocoa).

Within the Farmfit program, the Farmfit Africa program, funded by FCDO and BMGF (total of USD 30 million), is implemented in Sub-Saharan Africa over 2019–23. The Farmfit fund manages EUR 100 million.

### Farmfit is highly relevant at program and project levels

The value proposition of Farmfit was proven through two projects, namely the projects with Chicoa and Union Service Store (see next page for details). Farmfit as a program attracted new donors (BMGF) that previously did not invest in IDH.

IDH’s methodology to analyze SDMs ensures the relevance of an intervention for the end beneficiary upfront (see also page 41 – Chapter 3). The number of SDM analyses has steadily increased over the course of the evaluation period. The increase in commodities and countries covered can be seen as an indication of relevance for the private sector. IDH engaged over 160 private sector parties (source: IDH). SDM as a concept is now embedded in many sectors; according to stakeholders, now even outside the scope of IDH the concept of SDMs and SDM terminology and analyses is part of the jargon (I.11).

### Companies

For an individual SDM, IDH builds on its strong convening power. It manages to get the different stakeholders (not only traders and roasters/processors but also input

providers) at the table to commit to a joint agenda. Stakeholders testify that this would not happen without IDH. Data from IDH’s Client Satisfaction Survey show high level of satisfaction and added value. However, companies that are more mature and experienced question the actual value of the analysis.

### Effectiveness Farmfit to be proven through its planned program evaluation

The Farmfit client satisfaction survey showed mainly positive results. Not all initial SDM analyses are, however, followed up with a TA project and some companies only did one SDM. IDH commissioned a midterm evaluation of the Farmfit program (currently taking place to provide detailed insights on the emerging evidence related to the relevance, coherence and added value, effectiveness (impact), efficiency and sustainability of the program). Inclusion of an analysis on discontinued projects could increase the understanding of how the value can be increased.

The effectiveness of IDH’s efforts in knowledge sharing and convening on insights could not be measured. Stakeholders do acknowledge the relevance though in a more general perspective. Especially the 10-year anniversary event was mentioned; IDH managed to get a high-level relevant audience and an attractive program. Stakeholders testify that this helped them to internally increase leverage for sustainability initiatives, e.g. related to innovative finance.

There are no further data (yet) on how learnings and insights influenced others to scale best practices.

As discussed in Chapter 3, the SDM analysis does not include ex-post analyses (yet). However, the standardized way of data collection and inclusion of e.g. gender-related KPIs enables companies to develop more holistic, and hence potentially more effective, SDMs (e.g. see [Chicoa case](#)).

Additionality IDH evident in the context of an SDM and its analysis but not for all

Innovation strategy	Innovation	Relevance	Additionality	Effectiveness
Focus on data-driven insights to compile the business case for sustainable interventions	<a href="#">Farmfit</a>	+	0/+	?

## Focus on data-driven insights to compile the business case for sustainable interventions (II/II)

Objective: Creating cost-efficient models that realize a high return on investment for both farmers and service providers	Scaling	Value generation
<p>The value proposition of Farmfit was proven through two projects:</p> <p><b>Chicoa:</b></p> <p>An <a href="#">SDM study</a> was conducted in 2020 at the start of the Aquaculture project, 'Developing a Sustainable Tilapia Sector in Mozambique' to inform the design of the TA project and identify finance needs of the company. This SDM engagement has resulted in a finance deal, brokered by the Farmfit Fund.</p> <p><b>Learnings:</b></p> <ul style="list-style-type: none"> <li>The SDM provided in-depth information on a variety of elements, including but not limited to the barriers and risks of scaling the pilot, recommendations on e.g. improving the organizational set-up, cashflow and finance management by farmers through leveraging VSLAs and on-lending infrastructure, social inclusion strategies for the SDM (e.g. focus on women empowerment components) and the advice to conduct a feasibility study on reduction in feed costs.</li> </ul> <p>Learnings from the report directly informed the TA implementation and provided the necessary information for the Farmfit Fund to broker a deal with Aquasparks.</p> <p><b>Union Service Store:</b></p> <p>An <a href="#">SDM study</a> was conducted in 2019 as result of the business development of Farmfit Africa to work on innovative models, focusing on food crops (in this case, maize) in Sub-Saharan Africa. The results from the SDM study have informed the development and design of related TA project. At present, the company is negotiating a finance deal with an external lender.</p> <p><b>Learnings:</b></p> <ul style="list-style-type: none"> <li>A core element of the SDM study was to facilitate a shift in sourcing strategy for USSL: from sourcing maize grain primarily from traders and commercial farmers, to sourcing primarily from farmer organizations (FOs) representing smallholder farmers. An important element for USSL was to realize the potential benefit of sourcing directly from FOs and to secure sufficient farmer loyalty rates.</li> <li>USSL's initial experiences of working with FOs was mixed; side-selling was high and credit defaults were commonplace. Through the SDM study, USSL was provided with insights on into how it could restructure its SDM to reduce the risks that it was facing. This included recommendations around the segmentation of FOs, and improved Farm-to-Market transport.</li> </ul> <p>The SDM study proceeded to a technical assistance project that builds upon the recommendations of the SDM study and seeks to leverage the capabilities of new service partners to improve access to finance, inputs and post-harvest services.</p> <p><b>Key insights for IDH into the program and methodology:</b></p> <ul style="list-style-type: none"> <li>The importance of farmer-level data is to design meaningful and impactful interventions, and therefore Farmfit's investments are in primary data collection.</li> <li>Due to having access to consistent and comparable data, Farmfit has become far more intentional and strategic in which interventions and innovations to test.</li> </ul>	<ul style="list-style-type: none"> <li>Total number of completed SDMs up until today (21/07/21): 100</li> <li>At least 1,048,312 farmers are reached with the bundled interventions; they are spread over 28 commodities and over 22 countries.</li> <li>In the context of these SDM analyses, IDH engaged more than 160 private sector parties. This total covers a variety of actors, including financial service providers, off-takers, implementors or input providers.</li> <li>For 75 completed SDM analyses, related TA projects are relevant and linked; for these, a total of EUR 19,424,418.72 was invested with IDH's contributions of € 7,574,942.57 (39%) and private sector contributions of EUR 11,524,283.16 (59%) and financial institutions/other contributions EUR 220,892.00 (1,14%). (Source: excel IDH)</li> <li>A subset of the above numbers are related to Farmfit. Under Farmfit, a total number of 11 TA projects have been developed, of which USD 3,487,524 is already contracted (with 54% private sector contribution). At present, 186,500 farmers are being reached, of 86,200 are female. In addition, 120,000 of the farmers gained access to financial services as part of the SDM.</li> <li>Farmfit Africa is funded by FCDO and BMGF (total of USD 30 million) – both new donors to IDH.</li> <li>Until now, for 18 studies primary farm-level data were collected. Yet all SDMs include field-level data – the source of this differs per company. Whenever available, this information is provided through the companies' farmer management systems, other available research on the farmer population or the agronomist (in this sequence).</li> </ul> <p>At present, a midterm evaluation of the Farmfit program is taking place to provide detailed insights into the emerging evidence related to the relevance, coherence and added value, effectiveness (impact), efficiency and sustainability of the program.</p>	<ul style="list-style-type: none"> <li><b>IDH client satisfaction survey:</b> A total of 28 responses have been collected since 2019. The average NPS is 4.4 out of 5 and perceived overall value for money: 4.3 out of 5</li> <li><b>Convening on insights:</b> IDH has hosted events where stakeholders were convened, and lessons learned shared. (e.g. the 10-year anniversary in 2018, the Farmfit Forum in 2019, IDH's deal room session at AGRF 2020 and the key partner meeting in 2021, focusing on regional food trade and private sector development strategies).</li> <li><b>Internal capacity building</b> through staff trainings: In 2019, two-third of IDH's staff had been trained in person or through webinars. Internal capacity is built on SDM (account) management. In 2020, training was further rolled out, decentralized and online.</li> <li><b>Knowledge sharing and insights generation:</b> <a href="#">66 SDM reports</a> were accessible online. Over 20 knowledge products related to Smallholder Inclusion were developed, including publications such as the SDM insights reports of 2018 and 2019. <a href="#">Full library</a> is accessible online. These knowledge products are designed to change the behavior (and decisions) of various actors, including donors, companies, sector organizations researchers and the wider development community. No data available (yet) related to the extent these documents are used and leveraged interventions.</li> <li>We did observe some scepticism under stakeholders who did one or more SDMs; "the SDM was useful to confirm existing knowledge about beneficiaries needs, the analysis did not provide new insights" "SDM is part of the due diligence to get funding, that's why we participated" "IDH's expectation of information and data of private sector is often too high, they lack understanding of what is pre-competitive and what not"</li> </ul>

## Develop and deploy digital tools upstream and downstream to accelerate sustainable transformation (I/III)

The two core innovations we assessed were the platforms [Roadmap on Living Wages](#) and the [Digital Transformation and Advice](#).

### Roadmap on Living Wages highly relevant and additional

The Roadmap is a joint effort of companies, international and sustainability organizations interested in advancing living wage efforts. Last year, this resulted in the realization of several tools that can be used by companies to support efforts to closing living wage gaps. The Roadmap on Living Wages is part of IDH's broader work on addressing living wages in supply chains.

The constitution of the governance of Roadmap on Living Wages, the scaling strategy addressing the impact themes of Living Wage and Living Income at a global scale and the platform hosting sector agnostic tools for companies to live up to their commitments are highly relevant. This impact theme scored the highest in the sector survey (see Chapter 3, page 45) and it is widely acknowledged that a global approach rather than a project-driven country approach is needed (e.g. EI 5). Stakeholder interviews confirmed the need for practical and actionable tools and value IDH's knowledge. By making tools online available, IDH aims to achieve global outreach.

Like with the knowledge tools on SDMs, it is not (yet) measured to what extent the tools are actually used by private sector companies. Within the context of sector platforms (SIFAV, FSI), first steps are taken in the light of the new strategy but there are no data (yet) about additional outreach. The salary matrix was downloaded over 2,000 times until December 2020. Some stakeholders are critical on the actual pace of implementation and applicability of the tools in daily practice.

Due to its convening power, IDH addressed Living Wage/Living Income in significant sectors and managed to get multiple stakeholders aligned on methodology (see representatives in the Technical Advisory Group); however, concrete commitments are not there yet. Overall, we conclude that the effectiveness is to be proven.

### IDH's overall position in digitization less clear

IDH's Farmfit Digital Transformation Team identifies and prioritizes digital opportunities (tech use cases) that fit business and with best ROI for an individual customer. The team applies a Digital Maturity Assessment and a methodology to select the most relevant and applicable use-cases for IDH's partner companies. The tools are designed to be included as part of an SDM analysis.

Digitization is the fourth agricultural revolution (source: Food Agility) and hence highly relevant. The increase in agriculture production by 70% to meet projected global demand for food will not be met by the traditional farming methods. That shortfall has spawned a new generation of agriculture technology start-ups. Dozens of start-up accelerators have popped up, and big tech firms such as Microsoft and Amazon have built new businesses to support high-tech farms. The additionality of IDH as expert in this context can be questioned.

The platform and respective tools are still in development stage; pilots got delayed due to COVID-19 and the platform was only recently launched, with limited features operational and accessible for the broader audience. It is therefore too early to draw more conclusions on additionality and effectiveness.

Innovation strategy	Innovation	Relevance	Additionality	Effectiveness
Develop and deploy digital tools upstream and downstream to accelerate sustainable market transformation	<a href="#">Roadmap on Living Wages</a>	+	+	?
	<a href="#">Digital Transformation and advice</a>	+	?	?



## Develop and deploy digital tools upstream and downstream to accelerate sustainable transformation (II/III)

Objective: Pushing the agenda on Living Wage and Living Income across sectors by supporting business with the practical 'how'	Scaling strategy	Value generation
<p><b>Key pilots</b></p> <p>IDH initiated the Malawi Tea 2020 program together with ETP, Oxfam and TAML, to prove that actions can be taken to close the living wage gap. This was the first ever for a living wage gap closure program at scale in an agricultural commodity sector, taking on board the supply chain and national stakeholders (about 36 organizations worked together).</p> <p>The second key pilot in which IDH invested, was "<a href="#">Next Steps in Sustainability-Measuring Impact and Testing Living Wage</a>". This case study aimed to measure the LW gap in the banana industry in Costa Rica and Belize.</p> <p><b>Key achievements:</b></p> <ul style="list-style-type: none"> <li>— Without these pilots, it would not have been possible to convene 'The Living Wage Roadmap' and to launch the <a href="#">Roadmap on Living Wages</a> – IDH's platform for companies aiming to narrow the living wage gap.</li> <li>— The methodology alignment process; now there are four methodologies that have gone through an independent accreditation process and are recognized across different stakeholder groups.</li> <li>— The conversion of the salary matrix is from an agricultural-based tool to one that can also be used for manufacturing and services.</li> <li>— <a href="#">Procurement kit</a> developed in the context of Malawi Tea 2020 is available for other sectors to facilitate buyers. The tool helps companies to get transparency about the impact of their procurement on living wages. Companies can use the kit to assess the degree to which the price paid for a particular product enables the payment of a living wage at the supplier level.</li> </ul>	<ul style="list-style-type: none"> <li>— Constitution of governance of the Roadmap on Living Wages attracted new partners beyond the existing supply chains, e.g. Patagonia</li> <li>— Increase in the number of companies that companies proactively reached out to IDH for guidance and advice. No concrete data were provided here</li> <li>— Expected increase in commitments to bridge the gap in living wages; most concrete is the first national retail commitment on living wages on bananas with Dutch retailers</li> <li>— First living income commitments brokered by IDH in cocoa, Beyond Chocolate in Belgium and Dutch Initiative for Sustainable Cocoa (DISCO) in the Netherlands, representing a large percentage of imported cocoa</li> <li>— Global Tea Coalition formed to broker expected living wage and living income commitment in the tea industry</li> <li>— Partnerships with global players such as Unilever and Taylors of Harrogate to support them in their commitments to bridge the gap in living wages</li> <li>— The Excel version of the salary matrix was downloaded over 2,000 times (until the end of 2020)</li> </ul>	<p>Stakeholders on IDH's contribution to 'Roadmap on Living Wages'</p> <ul style="list-style-type: none"> <li>— "The practical tools that IDH provide are invaluable in terms of being able to implement our LW commitment – specifically the methodology recognition process and salary matrix"</li> <li>— "If we are to really make the systemic changes required to distribute value more fairly in global supply chains, then it is imperative that IDH continues their work to move beyond simply country project work. Although important, this won't create change at scale"</li> <li>— "Implementation of DISCO is slow; buyers still don't understand how to act to their suppliers and how to include in their contracts"</li> </ul>

## Develop and deploy digital tools upstream and downstream to accelerate sustainable transformation (III/III)

Objective: Enabling digitalization by identifying suitable technologies to address key challenges in a specific context	(Pipeline) Development	Value generation
<p><b>Approach</b></p> <p>The Digital Maturity Assessment is performed to identify digital gaps by distinguishing the strengths and weaknesses of the organization for implementing a digital solution (use-case). Based on the assessment, a selected number of use cases is presented and jointly prioritized with the companies regarding their desirability and feasibility of the solution.</p> <p><b>Key pilots</b></p> <p>The tool has been tested in the Chicoa project (Mozambique) and in a project with ECOM in Ghana. In addition, IDH's staff has been trained to broaden and deepen IDH's internal capacity on digital technology, with the aim for them to provide advice to IDH's partners as part of TA implementation projects.</p> <p><b>Key learning</b></p> <p>After IDH's staff has been trained to work with the tool developed, a feedback survey was sent to retrieve feedback on the tool. The feedback on the tool and the associated methodology was generally positive. The key learning was that the perspective of the training and tool seemed to be Western-centric without fully acknowledging the local context IDH's consultants work in. This learning was specifically applicable for the database, as some of the technologies and digital solutions originate in the Global North, while IDH's consultants focus on developing countries.</p>	<ul style="list-style-type: none"> <li>— Results of the assessment are used in the SDM study with <a href="#">Chicoa</a> (page 56 onward) and in the SDM analyses with <a href="#">ECOM, SMS, Ghana</a> (page 30 onward).</li> <li>— Launch of online platform to promote the tool: <a href="https://www.idhsustainabletrade.com/approach/technology-for-sustainable-value-chains/">https://www.idhsustainabletrade.com/approach/technology-for-sustainable-value-chains/</a></li> <li>— The tool in version 1.0 is ready to use. Further development and improvement is necessary like with any digital tool. Due to the investment in capacity building, IDH's consultants are able to work with the tool, provide feedback and further enrich the database.</li> </ul> <p>Impact evaluations of cases where the tools were used are not yet available.</p> <p>Data on use of platform is also not available yet.</p>	<p><b>Evaluation of the pilot</b></p> <p>During the piloting of the tool, colleagues and companies alike have found this tool useful to guide and structure a conversation with the company around their digital maturity and what this means with regard to their service delivery offer for smallholder farmers. The findings of these assessments are being used to explore digital opportunities as part of TA implementation projects, such as the implementation of farmer management systems for increased transparency, traceability and cost reductions through digitalization.</p>

## Drive investable interventions from niche to norm through the development of innovative finance solutions (I/II)

The focus of IDH's Innovative Finance team was to design and structure innovative solutions to increase farm-level investments in smallholder farmers who are working in the cocoa and coffee sectors, with the primary goal of increasing their profitability and improving their livelihoods. By using blended finance, the innovative finance team aims to catalyze engagement from the financial sector and supply chain companies to provide financing to smallholder farmers at scale. This should enable them to invest in their farms so that they can become self-sufficient. The innovative finance approach is fully linked to IDH's landscape and SDM approaches (Farmfit). The internal coherence of these programs is strong.

### IDH's additionality in pilot project stands out, long-term effectiveness to be proven

IDH's ability to take the first loss position is unique. Access to finance and financial training is crucial to enhance the position of smallholder farmers. IDH Farmfit Fund makes investments in smallholder farmers attractive through de-risking investments in smallholders and is set up to scale investments in sustainable agribusinesses. The relevance is further proven by the increasing number of partners (including financial sector) and the projects in the pipeline. Stakeholders value IDH for its pragmatic, entrepreneurial approach, whereas bigger financial institutions often act risk-avoiding, confirming the additionality of IDH in this context.

The effectiveness and potential for scale is best illustrated through the collaboration with Neumann Kaffee Gruppe (NGK). IDH played a crucial role in the development of the pilot project in Uganda. The fact that the first risk was covered and the second risk decreased was key to the success. (I13, I64) Field-level results of the first groups of farmers were positive and NKG decided to scale and transformed the pilot into a global program named BLOOM. A 10-year evaluation process has been started. IDH's pipeline looks promising; however, the replicability of the BLOOM success needs to be proven. Impact evaluations of the funds and TAFs are not yet available. The overall effectiveness of the innovation can not be assessed yet.

Innovation strategy	Innovation	Relevance	Additionality	Effectiveness
Drive investable interventions from niche to norm through the development of innovative finance solutions	<a href="#">Finance Solutions</a> ; Farmfit Fund and technical assistance facilities	+	+	0/+

## Drive investable interventions from niche to norm through the development of innovative finance solutions (II/II)

Objective: Influencing the sustainability agenda and business practices of the private sector and financial investments through development of new investment models	Scaling	Value generation
<p>During 2016–19, IDH’s Innovative Finance team structured a few projects to test the approach (P. 55).</p> <p><b>Kenemer/Agronomica – FMO</b></p> <p><b>Status:</b> Active. This transaction was signed in 2017 and is active until December 2021.</p> <p><b>Results:</b> By early 2021, Agronomika-supported more than 1,300 smallholder farmer borrowers in the Philippines, with loans tailored to the cocoa crop (equivalent to more than 2,500 Ha of land dedicated to cocoa production). The loans are used for financing inputs, working capital and capex investments at farm or replanting/renovation of farms. IDH provided a first loss guarantee.</p> <p><b>Barry Callebaut (BC) – IFC</b></p> <p><b>Status:</b> Cancelled. The facility was launched in 2017 and was put on hold and subsequently cancelled in 2019, due to the poor performance of the portfolio over two consecutive years.</p> <p><b>Results:</b> The main reason for IFC to cancel this project was that, during two consecutive years, the losses of the portfolio were about 40% and IFC and BC concluded the design of the input financing product needed to better reflect the needs of the farmers, improved the way in which it was selecting the cocoa farmers and implemented better control and systems to monitor and collect loans from farmers.</p> <p><b>Neumann Kaffee Gruppe (NKG) – ABN AMRO, Rabobank, BNP Paribas, USAID</b></p> <p><b>Status:</b> Active. The facility was launched in 2019 and will be active until 2030.</p> <p><b>Results:</b> NKG is currently utilizing the facility in Kenya, Honduras, Mexico and Uganda, reaching more than 75,000 farmers. The facility has showed good results with repayment rates close to 100%.</p> <p><b>Olam – Mondelez</b></p> <p><b>Status:</b> Active. The project was launched in 2019 and will be active until the end of 2022.</p> <p><b>Results:</b> The pilot project has showed good results in its first two years, with training and inputs financed to 500 farmers per year. The repayment rates of the input loans in the first two years are almost at 100%, and there is evidence of productivity increase of +30%, due to the implementation of soil testing and GAPs.</p> <p><b>Main takeaways:</b></p> <ul style="list-style-type: none"> <li>— It is key to work with a partner that has proper systems in place to score, select, monitor and collect loans from farmers. In addition, staff in the field needs to be properly trained in loan monitoring/collection.</li> <li>— Farmer financing products need to be properly designed to meet farmers’ needs (tailor made to the cash flow cycle of the project) and need to have enough flexibility (in terms of grace periods and terms) to allow farmers to react to commodity price fluctuation or the effect natural disasters/climate.</li> <li>— The provision of financing cannot be provided in isolation and should be bundled with other products and services such as crop insurance, TA, offtake, training, etc., in order to mitigate other risks and increase the probability of repayment.</li> </ul>	<p>IDH established the Farmfit Business Support (30MIO) and supported the creation of the technical assistance facilities (TAF), which are linked to specific funds.</p> <ul style="list-style-type: none"> <li>— &amp;Green Fund (2MIO)</li> <li>— AGRI3 Fund (5MIO)</li> <li>— Land Degradation Neutrality (LDN) Fund (5MIO)</li> </ul> <p>Together these facilities and [linked funds check] target 3 million farmers, 500,000ha of land sustainably managed, 100,000 decent jobs, 5 million ha forest protected and 500,000 families benefiting from higher incomes.</p> <p>IDH hosts the TAF of the LDN Fund and Agri3 Fund. IDH set the governance and did the fund raising for the linked funds.</p> <p>The Farmfit Business Support is funded by the UK Department for International Development and the Bill &amp; Melinda Gates Foundation. The EUR 100 million IDH Farmfit Fund is backed by the Dutch government, multiple companies and a US treasury guarantee.</p> <p>Farmfit Business Support and the IDH Farmfit Fund are separate and do not have mutual exclusivity; however, they do support each other as part of IDH’s farmer-centric approach.</p> <p>Impact evaluations of the Funds and TAFs are not yet available.</p> <p>(P. 57)</p>	<p>By using blended finance, the innovative finance team catalyzes engagement from the financial sector and supply chain companies to provide financing to smallholder farmers at scale, which enables them to invest in their farms so they can become self-sufficient.</p> <p>The innovative finance approached is fully linked to IDH’s landscape and SDM approaches.</p> <p>As per July 2021, the Farmfit fund closed two deals and the pipeline includes four high-priority projects and 13 medium-priority projects in different stages of the financing process. The total value of the deals considered is ~ EUR 170 million of which Farmfit would contribute ~ EUR 40 million, with the ambition to support ~ 1 million farmers.</p> <p>As an example, IDH’s FBS team and the Aquaculture team supported Chicoa with implementing the recommendations of the analysis, based on which the IDH Farmfit Fund approved an intended investment into Chicoa’s smallholder program. The aim of the investment is to help Chicoa to produce more tilapia for local African fish consumption, while increasing the incomes of local smallholder tilapia farmers</p> <p>Stakeholders on IDH’s approach in Innovative Finance Solutions:</p> <ul style="list-style-type: none"> <li>— “IDH taking the first loss position has been crucial. There was no other party which could do so”</li> <li>— “IDH understands very well what is needed: innovation, creativity and well-balanced assessment of risks. Institutions such as IFC and FMO act often risk-avoiding. IDH is pragmatic and delivers”</li> <li>— “Crucial in the process from idea generation to concept implementation is the right set of people. Given high turn over of people at IDH that is a risk”</li> </ul>

## Enable inclusive and transparent supply chains through the launch of a new market mechanism for landscape initiatives (I/II)

[SourceUp](#) is an online platform that links agri-commodity companies with multi-stakeholder initiatives in producing regions (Compacts). Companies can use SourceUp to access relevant and verified data from their key sourcing regions for more sustainable sourcing at scale and support projects relevant to their sustainability agenda. At the same time, stakeholders in producing regions can use SourceUp to build coalitions for sustainable development at the landscape level (Compacts), set shared sustainability goals, and be recognized for their progress toward these goals. SourceUp wants to be a neutral platform for shared reliable data, tangible impact and inclusive collaboration, with a close government link and the ability of unlocking finance/sustainability investment.

### IDH tested relevance of SourceUp prior to launch; effectiveness to be proven

Prior to its launch, IDH investigated extensively the needs of the private sector in this context to ensure the relevance (P. 58). Private companies articulated their need for

tailored solutions. A first public commitment is made (by JDE) and a number of global companies did sign a compact. Stakeholders do not question the relevance of SourceUp but shared concerns whether the business model is sustainable and if the platform-approach will be effective and robust with regard to actual data collection. The relevance of the Landscape programs in itself is evaluated positively by KIT (NICFI) and Unique (ISLA).

SourceUp incorporates traditional certification schemes, leverages existing local compacts and will make use of existing (public and private) datasets. This has not been done before and confirms IDH's unique and pragmatic approach. The effectiveness of the SourceUp approach is yet to be proven.

Innovation strategy	Innovation	Relevance	Additionality	Effectiveness
Enable inclusive and transparent supply chains through the launch of a new market mechanism for landscape initiatives	<a href="#">SourceUp</a>	+	+	?

## Enable inclusive and transparent supply chains through the launch of a new market mechanism for landscape initiatives (II/II)

Objective: Link companies with multi-stakeholder initiatives in producing regions enabling them to work together on sustainable sourcing	(Pipeline) Development	Value generation
<p>SourceUp is an online platform that links agri-commodity companies with multi-stakeholder initiatives in producing regions (Compacts). Companies can use SourceUp to access relevant and verified data from their key sourcing regions for more sustainable sourcing at scale and support projects relevant to their sustainability agenda. At the same time, stakeholders in producing regions can use SourceUp to build coalitions for sustainable development at the landscape level (Compacts), set shared sustainability goals, and be recognized for their progress toward these goals. SourceUp wants to be a neutral platform for shared reliable data, tangible impact and inclusive collaboration, with a close government link and the ability of unlocking finance/sustainability investment. SourceUp builds heavily on the learnings and insights from IDH's earlier programs and approaches.</p> <ul style="list-style-type: none"> <li>— Traditional commodity certification alone does not lead to impact at the landscape level (P. 7, P. 8). E.g. growing coffee more sustainably does not say anything about other crops grown in the same region and potentially affect the environment.</li> <li>— The IDH palm oil, soy and timber market programs worked on increasing demand and linking end buyers to sourcing regions, while IDH's landscape teams focus on improving the supply chain at origin. A direct link between the two programs was missing.</li> <li>— IDH's ability to directly influence sourcing commitments at the national level (up stream) turned out to be limited (see Appendix I, program-level evaluation Market Ends program).</li> <li>— A strong economic pillar is crucial to accelerate landscape restoration (see P. 32, P. 34 in Chapter 3).</li> <li>— The company profiles and ambitions differ and request tailored solutions (P. 58).</li> <li>— SourceUp will make use of existing (public and private) datasets. It will also have the ability to do independent data collection. An SFP (smart feedback process) is developed and tested with partners to ensure the data is reliable, while an SPP (smart panel process) will assess the data to ensure the credibility.</li> </ul>	<p>IDH initiated the approach, launched the website and built the <a href="#">governance</a> for this initiative with roles for government, NGOs and six global companies, including Unilever, PepsiCo, Mars and JDE.</p> <p><b>From the impact evaluation (Appendix I):</b></p> <p>To date (21 July 2021), for 10 of the SourceUp initiatives at the landscape/jurisdiction level, the MoU with all stakeholders is signed. So far, more than 10 global companies (e.g. Bayer, Cargill, Cofco, Unilever, PepsiCo, Musim Mas, JDE, LDC, Carrefour, Marfrig, JBS, ADM) have committed to source from the region. In six of the compacts, the companies also commit to invest in projects together with local companies and other stakeholders. It is not known how much they will invest and/or investments that have already taken place ( M.407). We have seen one co-funding agreement to illustrate how outcomes can look like. However, that co-funding agreement was not related to one of the six areas identified ( M.414).</p> <p>The effectiveness of the SourceUp approach is yet to be proven. IDH's Landscape programs, on the other hand, are already extensively evaluated and proven effective in reaching output and outcome targets (see program assessment for a summary).</p>	<p>Stakeholder views on IDH's SourceUp initiative:</p> <ul style="list-style-type: none"> <li>— We were keen to test the applicability of sourcing through the jurisdiction approach given our long-term investments in the Landscape program.</li> <li>— Sceptis was expressed whether the platform is actually going to fly and creates true sustainable supply chains. Current claims relate to individual projects. Stakeholders expect that there are at least two more years to go to really institutionalize and operationalize SourceUp into companies' procurement strategies.</li> <li>— Interviewees foresee issues with reliable data collection (precompetitive versus in competitive space with private sector) and question how sustainable the business model behind SourceUp is.</li> <li>— IDH might underestimate the fact that companies want to associate themselves with an initiative, but that this does not mean they are actually going to do something.</li> <li>— Expert view: Certain literature indicates that MSIs can, in fact, provide brands with an opportunity for 'greenwashing' (Alford et al. 2021; Lund-Thomsen and Lindgreen 2014), without altering or improving their supply chain practices.</li> </ul>

## Unlock premium market for smallholders, enabling for them a better income through empowerment of SMEs (I/II)

IDH's [Value Chain Development](#) (VCD) aims to support the development of sustainable and socially inclusive agricultural supply chains in Africa. Convening activities include supporting local processors to establish sustainable inclusive cassava supply chains (sectoral VCD) and engagement of global players ('Grown Sustainably in Africa' - GSA). The program started around 2018 and depends, for a large part, on donor funding.

The program builds on learnings from other programs, most significantly Farmfit (SDM analysis, capacity building of SMEs to improve service delivery) but also deployment of digital tools and access to innovative finance.

### Effectiveness of Value Chain Development approach observed in pilot projects; stakeholders confirm relevance

The pilots within the [Value Chain Development](#) program show promising results. An assessment of these projects' progress was included in this end-line evaluation (see for details Chapter 5, section on smallholder and Appendix I with program-level results). In all three result areas (improved sector governance, business practices and field-level impact), outcome-level results could be observed. Furthermore, the midterm evaluations of the projects, conducted by an external party, confirmed the relevance and additionality of the respective projects. The relevance of the Value Chain Development approach, addressing the crucial role of SMEs in the local context, was further confirmed through stakeholder interviews. Internal coherence with the other innovations is strong.

Innovation strategy	Innovation	Relevance	Additionality	Effectiveness
Unlock premium market for smallholders, enabling for them a better income through empowerment of SMEs	<a href="#">Value Chain Development</a> program	+	+	+

## Unlock premium market for smallholders, enabling for them a better income through empowerment of SMEs (II/II)

Objective: Establish local-for-local supply chains that include smallholders in a formal way	Pipeline development	Value generation
<p>The Value Chain Development methodology is currently being applied in Rwanda (HortInvest) and Nigeria (cassava):</p> <ul style="list-style-type: none"> <li>— <b>HortInvest:</b> Through direct support in capacity building, SMEs should get access to premium fresh produce export markets in Rwanda.</li> <li>— <b>Cassava:</b> By setting up an outgrower scheme, industrial cassava processors can secure supply to fully utilize their capacity. This should result in an inclusive investment proposition to financial institutions, investors and donors resulting in improved income and resilience of smallholder farmers.</li> </ul> <p>Both projects were included in the impact assessment (Appendix I). Although it is too early to observe the impact for both, strong outcome-level results could be measured. At the program level, the team identified the following lessons learned:</p> <ul style="list-style-type: none"> <li>— VCD programs often work in nascent markets, which require support across the whole supply chain.</li> <li>— In order to focus on improving the quality and consistency of production, the enabling environment is crucial for success, i.e. the availability of affordable high-quality inputs, and effectively managed (cold chain) logistic capacity for supply to premium markets.</li> <li>— Building capacity in the value chain to link SMEs to an identified premium off taker, also creates the opportunity to serve other premium markets (both export and locally).</li> <li>— COVID-19 has raised the interest of international players to increase local sourcing. At the same time, they miss the required resources and know-how to do this themselves.</li> </ul>	<p><b>Projects started in 2021:</b></p> <ul style="list-style-type: none"> <li>— Grains Ghana, with Nestlé, targeting 12 SMEs, 4 premium off takers, 20,000 smallholder farmers, includes SDM analysis and use of digital platform</li> <li>— Scaling HortInvest program with GIZ funding, reaching more SMEs and farmers (started in 2021)</li> <li>— Aquaculture Kenya, did some pilots, currently designing the scaling strategy</li> </ul> <p><b>3 MoUs with multinationals</b> (Unilever, Nestlé, DSM) to increase local sourcing in Africa for the African market; import substitution</p> <p>Serious interest in <b>various multinationals</b> to apply the approach (conversation ongoing, names kept confidential)</p>	<p>Stakeholders on IDH's value chain approach:</p> <ul style="list-style-type: none"> <li>— "Since our supplier has been supported by HortInvest, international quality criteria are met, and we were able to increase our sourced volume."</li> <li>— "IDH's hypothesis is true; they uplift SMEs and as a consequence, there is potential for local supply chains. The quality challenge is a current roadblock for global companies."</li> <li>— "Africa lacks an integrator for supply chains. IDH fills this gap and could potentially expand their role."</li> <li>— "Combination of design, finance and intelligence (enabling us to benchmark) is unique."</li> </ul> <p>External evaluations of the VCD projects (see Appendix I for in-depth assessment)</p> <ul style="list-style-type: none"> <li>— Cassava: The evaluation by Fusion Consulting shows initial results both at field and business practices levels S.394).</li> <li>— HortInvest: The midterm evaluation conducted by Threestone's investigation concluded that packhouses have been upgraded with HortInvest's support and TA to enable the exporting companies to comply with the requirements of buyers; in addition, with the increased packhouse facilities through which the exporters do sorting, grading and export their horticultural products, a crucial barrier is unblocked. (see page 90 of this report)</li> </ul>



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# 5. IDH's contribution to results -

## Theme-level assessment

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# Introduction to this chapter

This chapter has to be read as a more detailed answer to Research Question 4: Has IDH's PoC achieved, or is it expected to achieve, its objectives at output and outcome levels? (OECD DAC criterion of effectiveness). The summary to this question was included in Chapter 3.

Compared to the summary (page 49-58), we now further disaggregate our observations and conclusions with regard to IDH's contribution to impact, organized per impact theme and split per result area (sector governance, business practices and field-level sustainability). Appendix I details our findings per PoC per program. The visual below explains how Appendix I relates to this chapter and how this chapter is summarized in the tables in Chapter 3.

For each impact theme, we start with IDH's description of the challenge it wants to solve and how it has formulated its high-level strategy. At the program level, more detailed analyses are made; in Appendix I, the descriptions at the program level are covered.

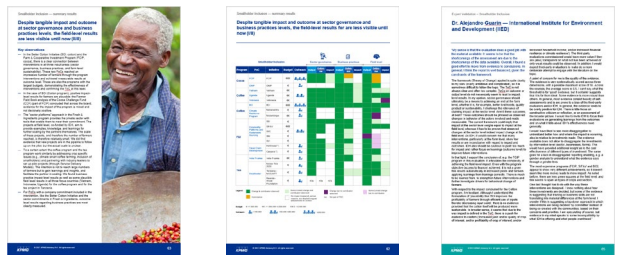
We included IDH's ToC for each impact theme. The observed results relate to this ToC. The ToC in itself is validated throughout the evaluation period (see page 71 reflections to Research Question 13: 'Within a given initiative, is the pre-established ToC confirmed by program results or not?').

We included an overview of the quality scores of the evidence provided. Per impact theme, we summarized the scoring of the documentation provided, disaggregated by PoC. The displayed score does include the evidence provided for the midterm evaluation. As per our methodology, we focused on the highest-quality evidence available. As explained in the methodology section, IDH provided us with a data room with evidence to substantiate its claims for the individual programs and projects. 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. The quality of the individual piece of evidence was assessed; Appendix III d explains this in more detail.

## Appendix I: Detailed assessment per PoC per theme split by result area

### Summary of results scores

**Chapter 3:** Summary of results score (color) per PoC with a high-level summary contextualizing the displayed results



### Summary of results narrative

**Chapter 5:** Extended narrative on observed change and contribution with regard to IDH's interventions

# Smallholder Inclusion

## Challenge that IDH wants to solve

In many of IDH's commodity programs and Landscape programs, smallholders are responsible for a significant part of total produce and seen as important players in value chains. In many developing countries, agricultural smallholder production is an important driver of the national economy and a 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.

## IDH's approach

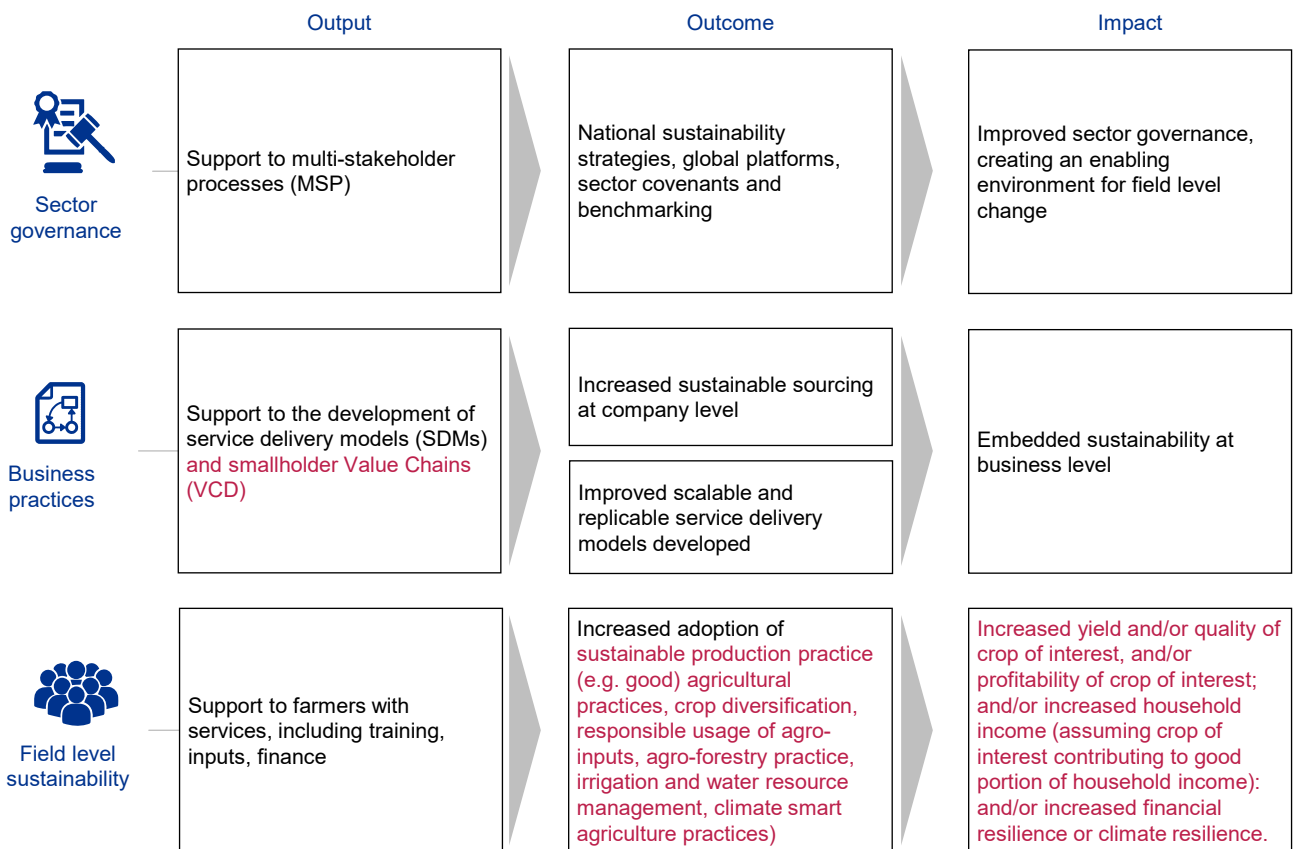
IDH works together with private sector players, governments and civil society organizations to create an enabling environment in which smallholder inclusive business models can prosper, become sustainable and contribute to improved livelihoods for smallholders. IDH is building on the increased market demand for sustainable and traceable produce and an increased risk-taking appetite from both value chain partners and the financial sector to serve smallholder farmers (since it supports their business either through securing supply and/or generating new business opportunities).

## IDH's selected programs and geographies to focus its efforts and quality of provided evidence:

Program	PoC	Initiative	Quality of evidence (average score)	Quality of evidence (highest score)
Cocoa	FCIP	FCIP	8.8	18
	CNIP	CNIP	7	7
Coffee	Vietnam	Vietnam	6.5	13
	Uganda	Uganda	6.8	12
	Indonesia	Indonesia	4.7	7
Cotton	BCI	BCI	6.3	18
	Climate Resilience Program	Maharashtra	5.6	11
Mozambique				
F&I	Commodity Platforms and Sustainable Sourcing	SSI	4.8*	7*
		SIFAV	6.5*	7*
		SJC	8.3*	12*
		SNI	9.5*	12*
		SVI	4.4*	7*
	Value Chain Development	HortInvest *)	5.2*	7*
		Cassava *)	6.3*	12*
Tea	India Trustea	India Trustea	5.6	7
	Smallholder	Malawi Tea 2020	7.4	11
		Tanzania - MOG/UTT	6	11
		Rwanda - Wood Foundation	10.5	12

\* Figures only show end-line evidence quality score. Average quality score of midterm evidence for all platforms is 6. Highest score is 11.

# Smallholder Inclusion — IDH’s Theory of Change



Text in red reflects changes in the ToC compared to mid-term review.

# Smallholder Inclusion — sector governance (I/II)

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. More importantly, these challenges need both the public and private sectors for creating a more conducive and enabling environment for improving smallholder livelihoods. IDH shifted its focus to local convening, in addition to global convening, aiming to achieve better locally embedded projects.

In the midterm evaluation, we concluded that IDH had a positive contribution to sector governance in multiple sectors and that, in general, multi-stakeholder initiatives have led to envisioned outcomes.

In this end-line evaluation, we focus on the strongest impact claims to see if IDH's contribution to impact can be confirmed.

## IDH contributes to impact for Smallholder Inclusion at the sector governance level in cotton, coffee, cocoa, spices (Vietnam) and horticulture (Rwanda)

- This is most notably illustrated through the global adoption of the production standard of the BCI in major cotton producing countries.
- Our midterm assessment confirmed that IDH's Coffee program, via the Sustainable Coffee Program (SCP) and the 4C Association, contributed to the establishment of the Global Coffee Platform (GCP). From 2018, the support focused on the country platforms (both funding and in kind). The country platforms in Brazil, Honduras, Kenya, Uganda, Indonesia and Vietnam are established with contribution of IDH both in cash and in kind. IDH holds a seat in the board of the national platforms of Indonesia and Vietnam. As a result, an enabling environment is created as already evidenced in the midterm. An example in Vietnam is the piloting of a digital tool to measure sustainability practices adoption at the farm level based on key National Sustainability Curriculum (NSC) criteria.
- In cocoa, the transition from global to local convening has been successful in Côte d'Ivoire where the FCIP contributed to policy-making. The Conseil du Café-Cacao (CCC) now uses the FCIP as a pilot to test

alternative ways to give farmers access to finance and is in the process of providing all cocoa farmers an identity card so that they can open bank accounts.

- These programs and initiatives together represent an estimated 37% of the total IDH program contribution over the period 2008–20 (P.20). This figure cannot be disaggregated to specific PoCs or impact themes. Approximately 3.5 million of the total of 5.3 million farmers that IDH reports to have reached over the 2016–20 period (P.20) are targeted with these programs. The lion share comes from the Cotton program through BCI (cumulative 2016–20: 2.8 million farmers).
- The agrochemical taskforce, established under ISLA Vietnam, is another notable example. The advocacy work resulted in banned pesticides and a national training program (NSC) for pepper.
- Since 2017, IDH has been involved in strategy development for the Rwandan National Agricultural Export Development Board (NAEB). IDH is one of the five implementing partners to Netherlands Development Agency (SNV) with regard to the project Investing in Horticulture Development in Rwanda Project (HortInvest). The project's midterm evaluation concluded that, with regard to the workstream IDH is leading, a crucial barrier is unblocked by increasing the packhouse facilities, through which the exporters sort, grade and export their horticultural products.

## Tangible outcomes in fresh & ingredients (sector platforms, cassava) and outputs and outcomes in tea in Malawi and India

- In addition to clear sector commitments, the 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. Through the SSI, national platforms (Vietnam, India and Indonesia) for the sustainable production of spices are being realized. The SIFAV has contributed to structural improvement in sector collaboration on sustainable practices.
- Under the cassava program, in all three countries, IDH supported the set up of national platforms in Ghana, Mozambique and Nigeria. While support in Mozambique was discontinued because the platform did not gain enough traction, the Industrial Cassava Stakeholders Association of Nigeria (ICSAN) was found to be significant in convening a coalition of sector actors and engaging policy makers in improving standards and regulations.

## Smallholder Inclusion — sector governance (II/II)

- In the midterm evaluation, we concluded that IDH is one of the founding members of Trustea and has been coordinating and funding the program for the past seven years. IDH played an important role in creating plans and targets, and convincing private sector players to join. By the end of 2020, 55% of Indian tea is Trustea verified, which is an indication that it is used widely in India. Moreover, the Tea Board India is involved in the program. The Trustea program is governed by the 'multi-stakeholder Trustea Sustainable Tea Council', representing the tea industry in India. In this governance structure, IDH is represented.
- One of the pillars of the Malawi 2020 Tea Revitalization Program (MT 2020) focuses on Smallholder Inclusion and implements strategies aiming to get smallholders a more sustainable income. Although we observe that over 10,000 smallholders were enrolled in farmer field schools and more than 12,000 actively participate in VSLAs, we could not observe that such practices were embedded in, e.g. a national curriculum, and led to changes at the outcome level.
- Program outputs in tea are visible, especially related to the project with Unilever Tea Tanzania. Recently, an EU grant for a multi-stakeholder intervention was won. The program, which is currently being implemented, is based on the learnings from the project with Unilever.

The Climate Resilience Program (cotton) is less clearly focused on achieving impact at the sector governance level with regard to Smallholder Inclusion. IDH was the convener of the Maharashtra Cotton Water Platform (2017–19), the Mozambique Climate Resilience Platform (S. 21) and the Indian Maharashtra Cotton Water Platform. The activities of the platform in Maharashtra will not be maintained and supported with the same intensity and rigor. With regard to Mozambique, it is not clear yet if the platform will get a permanent status. The two-year funding cycle through the Dutch Embassy has ended.

The Wood Project in Tanzania (tea) and the Cocoa Nutrition Initiative (CNI) in Ghana did not address the result area sector governance in their ToCs.



# Smallholder Inclusion — business practices (I/II)

IDH has developed a data-driven, quantitative approach to analyze the economic sustainability of SDMs. This approach should generate 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 in the long term when they are good business for the ones that are offering the services and when they have a positive effect at the smallholder level, creating continuous demand for the services and as such embed sustainability at the business level. Next to that, IDH's work at the sector level should lead to an increasing number of companies committing to source (more) sustainably and include more smallholders in their supply chains.

In the midterm evaluation, we concluded that IDH's methodology contributed to the improvement of SDMs and that an increase in sustainably sourced volumes could be observed.

In this end-line evaluation, we focus on the strongest impact claims to see if IDH's contribution to impact can be confirmed.

## BCI is the best example of driving impact in business practices

- Impact at the business practice level is best evidenced by the work IDH has done to upscale the BCI as companies live up to their commitments and IDH's contribution is clear.
- In 2020, it was expected that 25% of the global cotton production would be produced under the BCI production standard reaching approximately 2.7 million farmers, while already >25% of this sustainably produced cotton volume has been sourced by the companies. This is perceived as a healthy supply demand ratio, enabling companies to meet their sourcing commitments. The uptake is growing due to the individual commitments of the brands and retailers that are the BCI members.

## Improved scalable and replicable SDMs can influence business practices at the company level with best examples in coffee and cocoa

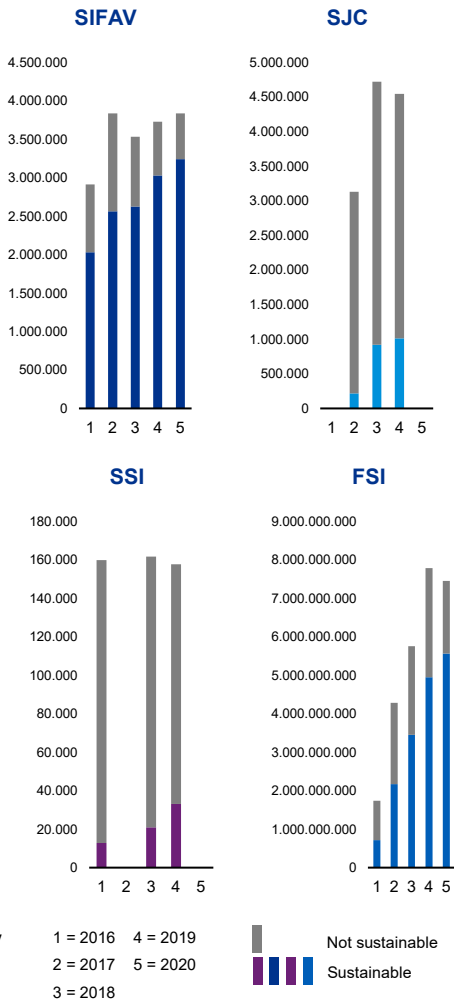
- After 3 SDM analyses and 2 technical assistance (TA)/SDM co-investments from IDH, Neumann Kaffee Gruppe (NKG) publicly launched BLOOM, its branded, multi-country SDM. NKG states that BLOOM is a coffee-sourcing business model. IDH is acknowledged as one of the partners who contributed to the program. IDH is leading the evaluation of the BLOOM program with baseline, midline and end-line studies.
- Through a long-term partnership, IDH supported global coffee roaster JDE in testing innovative ways of responsible sourcing and addressing priority issues in the supply chain, beyond traditional certification. This is reflected in the evolution of the jointly tested SDMs which are now implemented across different origins in collaboration with suppliers and local governments.
- In Côte d'Ivoire, the world's largest cocoa origin with approximately 40% of the global production, four major traders, including Cargill and Barry Callebaut, worked with IDH to strengthen cooperatives and create inclusive finance solutions for smallholder farmers (FCIP). Together they were able to reach over 300,000 producers with improved service delivery.
- Two participating traders in the CNI in Ghana confirmed that the nutrition pilot did influence their programming and service offer to clients. They have integrated nutrition sensitization in their intervention model. One of them further leveraged its insights and learnings to a broader intervention strategy with different partners in Ghana and Côte d'Ivoire.
- Within the Tea program, IDH contributed to embedded sustainable sourcing practices in collaboration with Unilever Tanzania Tea (UTT). IDH's SDM approach focused on technical assistance and a better payment model to reward farmers for higher quality. With regard to Trustea, the Trustea Impact Assessment Report concluded that by the end of 2020, 55% of Indian tea is Trustea verified. Furthermore, it was reported that buyers detected a shortage of Trustea-verified tea, implying significant uptake of verified tea.
- IDH contributed, with the support of the Rockefeller Foundation, to the development of a local-for-local cassava supply chain in Nigeria. This is to enable multinationals in Nigeria to source locally from SMEs which, in turn, source from local farmers.

# Smallholder Inclusion — business practices (II/II)

## Sector platforms (SIFAV, SJC, SSI, FSI) drive responsible sourcing

In the fresh & ingredients sector platforms, the companies live up to their commitments to source more sustainably, and more companies are joining. In this way, IDH contributes to increased sustainably sourced volumes in four sectors (see graphs below). For the SNI, no data were provided.

### Development of the fraction sourced sustainably by platform members





# Smallholder Inclusion — field level (I/II)

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.

In the midterm evaluation, we concluded that farmers benefitted from SDMs but that the evidence base to prove increased yield and adoption of practices has not been strengthened compared to the first assessment.

In this end-line evaluation, we focused on evidence to prove field-level impact and whether indeed the evidence base was stronger.

For this end-line evaluation, our overall conclusion is that despite tangible impact and outcome at sector governance and business practices levels, the field-level sustainability impact is less visible for the Smallholder Inclusion impact theme.

## Impact plausible for the BCI licensed cotton farmers, results for the FCIP in cocoa are mixed

- The best evidence for IDH's contribution to the field-level impact is through the BCI PoC with approximately 3 MIO farmers in scope. It is plausible that the BCI improves the profitability of farmers through efficient use of inputs, thereby decreasing input costs, which encompasses by far the maturity of the smallholders reached. IDH commissioned WUR for this research. A recommendation is to investigate what is hampering adoption of practices in relation to the training provided.
- The FCIP was evaluated at the field level with the Farmer Field Book (FFB) methodology. The FFB research end-line report found that farmers in the program are more likely to have access to credit from formal sources and on average, across that whole group, have access to larger loans. This was the primary objective of the program. 55–60% of all credit received is spent on fertilizers, but it was also found that fertilizer applications tend to be biased (not applied in the correct way) and therefore it is not

surprising that having access to credit is not associated with earning higher margins. A better understanding of the root cause of this is needed. Professionalization of farm management is expected to result from the program, however, the difference in the amount of change over time between farmers who received treatment and control groups was not significant. Therefore, the research concludes that the program has not had an effect on the share of farmers applying GAPs. Finally, negative yield development was identified and potentially related to incorrect application of fertilizers.

## Additional proxies and outcome

Across all programs, IDH has worked with 84 companies on 95 SDMs in 22 countries in order to improve local production practices, eventually benefiting a large number of smallholder farmers. We can observe that the SDMs are set up and farmers are provided with services (e.g. training, access to finance and input). The outcomes and impacts of these SDMs are not systematically measured yet. IDH is professionalizing the SDM analysis; primary data collection (PDC) at the farmer level to ensure a solid business case both for the company and the farmer is now included and will also entail ex-post data in the future.

The process of PDC has been professionalized since IDH started with Farmfit. This means that for the SDM analyses, IDH not only has data on farmers obtained from the SDM company and from existing databases (e.g. national statistics) but now also from surveys they administer among farmers.

We have seen examples of outcomes measured which can serve as proxies for impact for these specific situations. For instance:

- Unilever reported payment of an increased quality premium to its farmers in the field in Tanzania as a result of the SDM funded and technically supported by IDH.
- In Nigeria, cassava farmers have increased their knowledge of GAPs leading to increased investment, productivity and profitability.
- A local trader in Indonesia observed increased quality of coffee whereas the evaluation of the project learned that the average total coffee revenue per hectare increased and the average total production cost per hectare decreased — leading to a higher farmer income.
- VSLA participants stated in a survey that their financial security and quality of life have improved considerably (S.567). The ETP Annual Report Malawi 2020 details the achievements (S.568).

## Smallholder Inclusion — field level (II/II)

- In Vietnam, the SDM analysis and its subsequent interventions resulted in improvement in environmental performance but no increase in farmer income from coffee due to low coffee prices. Data collected by the GCP shows that the total income from the intercropping products is higher for farmers in the area where the project was run than in the area with no projects. A report on the results from the project in Uganda shows that farmers who received treatment increased productivity, gross margin and profits even though coffee prices severely decreased. Although the control group also improved, the treatment group increased its gross margin (income) more. Methodologically, it is not possible to claim a causal effect.

### **In some PoCs, the field-level results were achieved which can be clearly linked to changes at the sector governance level**

For four PoCs observed, the field-level results relate to changes at the sector governance level.

- BCI (cotton): The Better Cotton Growth and Innovation Fund (BCGIF) enabled Implementing Partners in (among other countries) India to roll out BCI farmer trainings. The impact of these is measured by WUR. (S.554). In the case of the BCI (Cotton program), positive impact-level results for farmers are plausible.
- FCIP (cocoa): The CCF enabled field-level interventions through scaled SDMs implemented by supply chain actors. The impact of these interventions is measured through Farmer Field Book analysis. This research concluded that across the board, evidence for the impact of the CCF program is mixed and not decisively positive.
- IDH took the lead in setting up the Trustea Sustainable Tea Foundation as an independent secretariat with a multi-stakeholder governance (SG); 55% of Indian tea is Trustea verified, and an evaluation of the code was done in 2021 which included field-level data. The report found some improvements in soil management practices and water management but did not track improvements over time.
- For HortInvest (fresh & ingredients), the midterm evaluation of the project concluded that with the increased packhouse facilities through which the exporters do sorting, grading and export their horticultural products, a crucial barrier is unblocked. We also identified that this enabled downstream companies to source export quality beans for which farmers usually get a better price. The long-term impact at the field level could not be measured yet.

In coffee, the NSCs (Vietnam, Brazil) facilitated and probably improved farmer training programs. However, the adoption of practices as a result of these trainings and/or their impact is not evaluated.

Additional field-level results reported through the program-level assessments (see details in Appendix I) relate to individual SDM projects for which ex-post data were collected through additional evaluations. In this case, there is a link with business practices but not with sector governance. This also goes for the cassava program; the link with changes at the sector level (establishment national platforms) is indirect.

With regard to the sector platforms in fresh & ingredients, these projects aim to inspire and guide members how to further embed sustainable practices in their business models.

# Mitigation of Deforestation

## Challenge that 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.

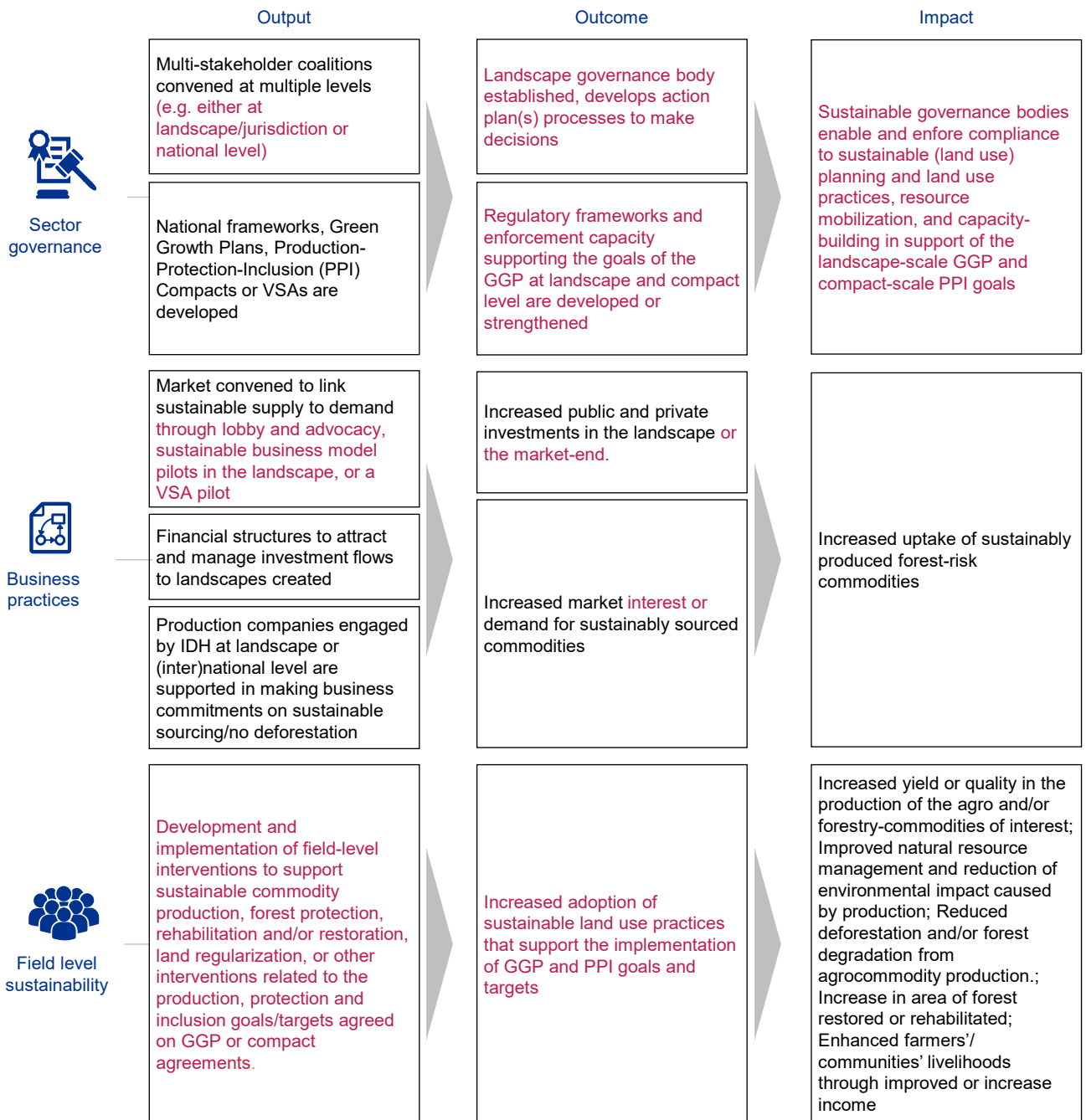
## IDH's approach

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.

## IDH's selected programs and geographies to focus its efforts and quality of provided evidence:

Program	PoC	Initiative	Quality of evidence (average score)	Quality of evidence (highest score)
Cocoa	CFI	CFI	4.9	6
Market Ends Programs	Palm Oil	Market Ends Program - Palm	4	4
	Soy	Market Ends Program - Soy	5.1	12
	Tropical Timber	Market Ends Program - Timber	6	10
	SourceUp		5.3	7
Landscapes (NICFI)	Brazil		5.8	13
	Indonesia		6.7	13
	Liberia		6.5	13
Landscapes (ISLA)	Côte d'Ivoire		8.2	13
	Ethiopia		8	13
	Kenya		6.5	13
	Vietnam		8.3	17

# Mitigation of Deforestation — IDH’s Theory of Change



Text in red reflects changes in the ToC compared to mid-term review

# Mitigation of Deforestation — sector governance

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 create an enabling environment to mitigate deforestation. In the midterm evaluation, we found that IDH had a positive contribution to convening stakeholders and co-creating sector governance plans, and that the majority of landscapes showed strengthened enforcement capacity. Moreover, the added value of IDH was clear in the context of improved land use planning.

In this end-line evaluation, we focus on the strongest impact claims to see if IDH's contribution to impact can be confirmed. IDH's contribution to the achievements in the CFI as well as the results of the Market Ends programs are also assessed here.

## **IDH contributed to impact in the ISLA Landscape program in Vietnam and to some extent in Kenya and Liberia**

- The external evaluation concluded that there is evidence of governance and business practice changes outside of the project areas with, for example, the National Sustainable Curriculum (NSC) on sustainable coffee practices established and endorsed by Ministry of Agriculture and Rural Development (MARD).
- In Kenya, a governance system is being developed to ensure sustainable co-management of the South West Mau Forest Reserves between ISLA partners and the Kenyan Forest Service, however, there is no evidence of improved governance beyond the ISLA project areas.
- In Liberia, the case study evidence from Foya District suggests that the groundwork by IDH, in terms of customary land rights formalization and participatory land use planning, in itself, is having a major positive impact on landscape governance.

## **Long-term impact for Brazil, Indonesia and Côte d'Ivoire, to which IDH contributed, is plausible**

- In Brazil, Indonesia and Côte d'Ivoire, long-term

impact is plausible because different elements for the sustainability of IDH's achievements are, at least partially, in place: organizational structures, legislative grounding, shared objectives and interests among stakeholders, and funding mechanisms. These outcomes were only achieved relatively recently.

## **There were tangible outcomes for the CFI due to IDH's contribution**

- Although this end-line evaluation comes too early to measure impact, we observed tangible outcome results; one example is the development of the CFI 2021–25 action plan based on the company action plans. This evidences that CFI influences policies of the respective stakeholders, and ensures commitments are converted into concrete action plans. The government capacity to enforce policy has increased through CFI by, for example, awareness raising, monitoring and surveillance in priority classified forest according to the authors of the Annual Report CFI 2020. The CFI Monitoring & Evaluation Framework is implemented, and additional funding is in the process of being formalized.

## **Outputs and outcomes have been achieved through IDH's contribution in palm and soy for the Market Ends programs**

- Several EU governments have signed the Amsterdam Declaration to support the commitment toward 100% Sustainable Palm Oil in Europe. IDH has contributed to initiating and shaping the first generic Amsterdam Declaration in cooperation with the Dutch Government, which, in turn, made it possible to reach agreements with different governments on the palm oil-specific Amsterdam Declaration.
- From early 2020, IDH convened ENSI (European National Soy Initiatives) which is an 8+ European national initiative that, in turn, convenes soy stakeholders in their respective countries. IDH co-facilitates, together with Schuttelaar & Partners, by sharing information and facilitating discussion on the initiatives beyond certification. With respect to soy, IDH expects that in 2021, national soy initiatives from Switzerland, Norway and Spain will join this Europe-wide initiative.
- IDH's contribution has resulted in the signing of a Memorandum of Understanding (MoU) with a common vision and action plan to strengthen cooperation in the area of responsible soy production in Brazil. In France, the Duralim Initiative has aligned its signatories on a joint commitment to fight deforestation and in Denmark, the Danish Alliance for Responsible Soy did.

# Mitigation of Deforestation — business practices

For IDH, companies are key to driving change in international supply chains and driving the uptake of sustainably produced forest-risk commodities in those supply chains. Buyers in major markets can change the conditions under which they source their products by demanding more sustainably sourced commodities being produced by their suppliers and producers up the supply chain. Moreover, actors on both the supply and demand sides 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.

In the midterm evaluation, we found a clear contribution by IDH in involving both producers and buyers regarding sustainable commitments and that IDH co-created finance vehicles created for a minority of the landscapes. In addition, we observed some positive results on increased public and private investments, with IDH's role confirmed; however, we also noted that increased market demand at the landscape level was not yet visible?

In this end-line evaluation, we focus on the strongest impact claims to see if IDH's contribution to impact can be confirmed. IDH's contribution to the achievements in the CFI as well as the results of the Market Ends programs are also assessed here.

## Long-term impact is plausible in Brazil and Indonesia but concrete commitments are not yet evident

- Long lasting impact depends on the uptake of sustainably produced commodities. Currently, many companies (in Brazil) are buying from Mato Grosso and from the PCI compact regions, but they are often not willing to be transparent about their sourcing. IDH has therefore secured public commitments from 13 companies. In addition, the PCI compact areas on the new SourceUp platform offer a route to impact at scale.
- Next to Brazil, long-term impact is also plausible in Indonesia based on the current approach. If activities can continue after 2021, the impact on changing business practices among companies will depend to

some extent on the effectiveness of the new SourceUp platform. At present, there are commitments from companies (of which sourcing volumes are confidential). Other investments have also been generated in the landscapes.

## The CFI has achieved tangible outcome results, but it is too early to measure the impact.

- Signatories of the CFI (the companies) are more or less on track with executing company plans. The objective of the CFI is to unlock increased investments into projects on the ground and company reporting. It is observed that companies go beyond more traditional farm-level support activities. It is plausible that this is driven by their commitment to the CFI. In addition companies are on track with their commitment to map out 100% of cocoa farms in their direct supply chain.
- Four MoUs signed in CFI Côte d'Ivoire illustrate businesses' intentions to invest in the CFI's priority regions.
- IDH co-facilitated and convened Beyond Chocolate — the Belgian partnership for sustainable cocoa. Beyond Chocolate co-funded projects that aim to address deforestation and promote agroforestry, and as such help its signatories meet their Beyond Chocolate/CFI commitments.

## There are significant outcome-level results in soy

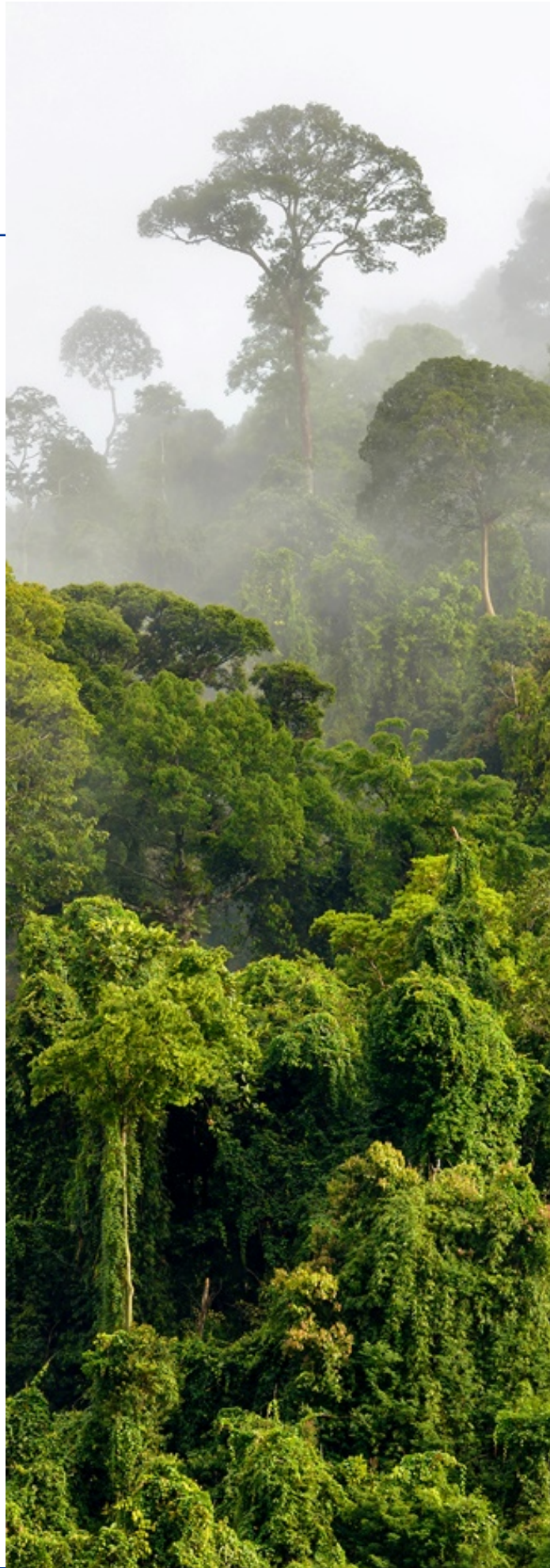
- Since 2011, IDH has been working on the Soy Fast Track Fund (SFTF) to support producers in improving their practices. The fund supported seven projects in producing countries in South America, co-funded by international soy traders such as Amaggi, Cargill and ADM. Concrete results were, among others, that rural producers invested and adopted systems for continuous improvement of social and environmental practices, and productivity; and that monitoring systems were developed.
- IDH has supported the development of The European Feed Manufacturers' Federation (FEFAC) sourcing guidelines and the FEFAC roadmap on responsible soy. However, the EU market demand for soy compliant with the FEFAC guidelines is lagging in several countries, including Spain, which is the biggest European soy importer.
- IDH also supported the development of the FEFAC Soy Sourcing Guidelines (SSG) 2021. This can be a significant step forward to mainstreaming conversion-free soy in Europe.

# Mitigation of Deforestation — business practices

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## The effectiveness of the SourceUp platform still needs to be proven

The SourceUp platform is not yet fully operational and it is too early to assess how many companies will use SourceUp as a means to supporting sustainable landscapes. Indications are positive as different companies have signaled commitment to openly sourcing from these areas. It is too early to expect concrete sourcing volumes reported, as the actual implementation by buying companies still has to happen.



# Mitigation of Deforestation — field level

At the 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 up through activities that are being done at landscape and sector levels, and with businesses.

In the midterm evaluation, we observed that the field-level projects were executed in all landscapes and that in the majority of the landscapes some results of improved land use practices were found. In addition, we identified the first successful PPI model. This related to a project in Kubu Raya (Indonesia).

In this end-line evaluation, we focus on the strongest impact claims to see if IDH's contribution to impact can be confirmed. IDH's contribution to the achievements in the CFI, as well as the results of the Market Ends programs, are also assessed in this chapter.

## Some impact was observed in field-level projects of the landscapes of the NICFI and ISLA programs except Ethiopia

- The best results were found in Vietnam. There is evidence of field-level sustainability impacts, in particular from the Agri Logic report of farm management in Vietnam. There is also some evidence of the Initiative for Sustainable Landscapes (ISLA) projects leading to higher prices for producers due to their adherence to sustainable production practices. These results were also included in our assessment of the Coffee program (in Smallholder and RAM).
- In Indonesia, a trend in reduced deforestation in the targeted landscapes is positive, but this impact cannot be directly attributed to IDH as it is part of a larger positive trend of increased policy attention to reducing deforestation. The case study project has shown that reaching people at the community level can be challenging and that significant investment is required to develop the capacities needed to achieve productivity that can generate sufficient income.
- In Brazil, measurable progress can be reported for the field-level projects, indicating that they are generating

valuable local experiences for PCI target achievement that can be expanded to the state level. To further leverage results in Brazil, progress on behavioral change of producers should be achieved, both with regard to stopping illegal deforestation and halting legal deforestation (through more positive incentives, etc.).

- For the projects in Kenya, there is evidence of improved productivity, but the results are mixed with respect to deforestation.
- The program's impact on forest conservation and smallholder livelihoods in Liberia, so far, remains small scale.
- The evidence for the results from the project in Côte d'Ivoire (Cavally) is not conclusive. However, there are extenuating factors, such as civil unrest, which have delayed projects. It cannot be concluded that there has been any significant effect on the forest change in the validation period.
- Overall, the projects are too small to have tangible effects at the landscape level, but they are important 'tools' to provide PoC to potential investors and encourage upscaling of successful interventions (M.406).

## The CFI has just concluded the design phase; it is too early to expect outcomes

- IDH contributed to the acceptance and further embedding of the National Implementation Plans developed through the facilitation of a participatory approach. In addition, its contribution to large campaigns of sensitization of local authorities as well as local population has been crucial.
- IDH convened and facilitated the launch and/or preparation of ambitious programs sponsored by private companies or donors to i) protect forests, ii) promote sustainable agroforests and agroforestry practices, and iii) introduce more sustainable cocoa practices at the field level.



# Gender Equality and Empowerment

## Challenge that IDH wants to solve

In many sectors that IDH engages in, women play a role in the supply chain; for example, in the production of food crops and sales of cash crops, employment as workers on commercial farms, and as traders and processors. However, women often suffer from fewer opportunities to progress and are more vulnerable to exploitation. Currently, 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, 60% in Sub-Saharan Africa). Despite this, fewer than 20% of the world's landholders are women.

## IDH's approach

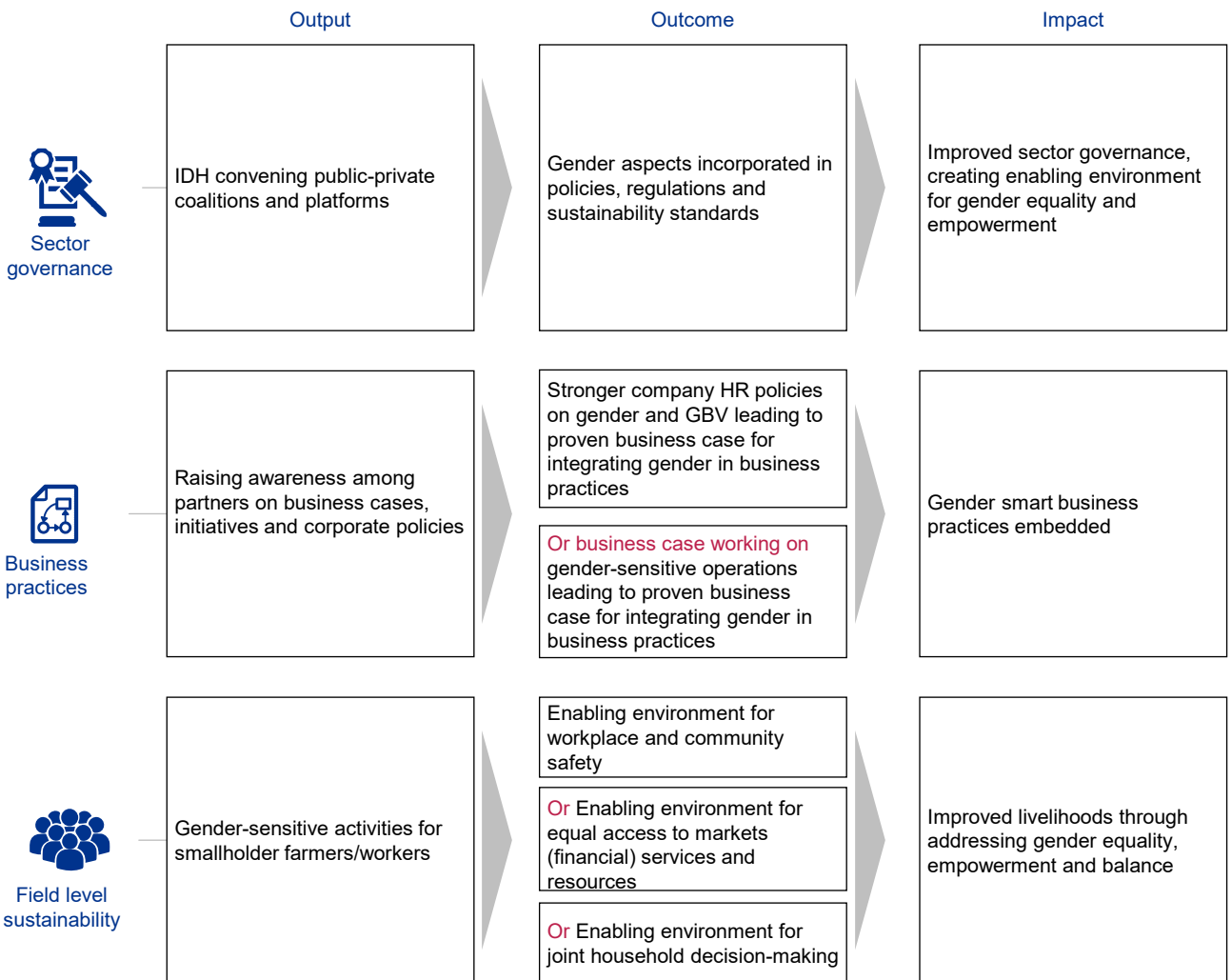
Gender is a key impact theme in IDH's 2016–20 strategic plan, in which we set out to embed gender equality into our transformation strategy. So, what does IDH aim to do? First and foremost, through IDH's interventions we commit to do no harm. This is the practice of ensuring that existing gender relations and dynamics within the scope of the program are not negatively influenced or affected. We will consider how women and men participate in and benefit from these interventions, and strive to benefit both and harm neither. Next to this, IDH will focus on increasing gender awareness throughout the organization and its work, and aim to integrate gender in selected sectors or Landscape programs.

IDH's approach to Gender Equality and Empowerment comprises three core elements: gender in IDH's internal organization + gender awareness in all IDH programs + gender transformative in selected programs.

## IDH's selected programs and geographies to focus its efforts and quality of provided evidence:

Program	PoC	Initiative	Quality of evidence (average score)	Quality of evidence (highest score)
Apparel	Working Conditions: Working Engagement	Working Engagement (RttT)	6.1	12
	LABS	LABS		
Cocoa	FCIP	FCIP	(no evidence)	(no evidence)
	CNIP	CNIP	5.3	7
Cotton	BCI	BCI	4.8	12
Fresh & Ingredients	Commodity Platforms and Sustainable Sourcing	FSI	5.1	7
		SIFAV	4.4	7
Tea	Malawi Tea 2020	Malawi Tea 2020	6.4	15
	Gender Kenya	Gender Kenya	9.6	17

# Gender Equality and Empowerment — IDH's Theory of Change



Text in red reflects changes in the ToC compared to mid-term review

# Gender Equality and Empowerment — sector governance

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 gender equality. Collectively, as a sector, they can develop and support policies, tools and governance structures that are expected to create an enabling environment for more Gender Equality and Empowerment.

In the midterm evaluation, we observed that gender-specific coalitions are established in the tea and flower sectors and that a sector-wide gender policy was implemented in the Malawian tea sector. We also observed that a sector-wide partnership was also established in the cotton sector in India.

In this end-line evaluation, we focus on the strongest impact claims to see if IDH's contribution to impact can be confirmed.

## **IDH contributes to impact on Gender Equality and Empowerment at the sector governance level in the Tea program in Kenya, long-term impact plausible in Malawi**

- The Gender Empowerment Platform (GEP) emerged as a function to address gender-based violence (GBV) in the Kenyan tea industry. The platform includes players from the Kenyan tea industry, key private sector stakeholders, and NGOs (Ethical Tea Partnership (ETP) and Gender Violence Recovery Centre (GVRC)) in the tea sector in Kenya. IDH has been identified as the critical convener in this process (G.205).
- The focus of the efforts is on GBV and sexual harassment. It is in this smaller (but critical) domain that we also see most results.
- In Malawi, continuous investments have been made to create an enabling environment to address GBV in the tea sector with strong outcome-level results. An example is the development and implementation of the Tea Association of Malawi (TAML) gender policy. This happened as part of the activities of the Malawi Tea 2020 initiative, to which IDH contributed in cash and in kind. In addition, a Gender Coordinator was hired in 2019, who translated the gender policy into local language; and a Gender Learning and Sustainability Symposium was organized.

- For the longer-term, efforts in Kenya and Malawi will need to continue as GBV and sexual harassment are still common. Continuous efforts will also need to be made to address other gender inequalities/disempowerment in the tea sector.

## **There were some tangible outcomes in Fresh & Ingredients**

- For the banana sector in Ghana, the BOHESI manual addressed working conditions for women in the banana industry. The launch event of the BOHESI manual was hosted by the Banana Producers Association (BPA) and recorded the presence of various stakeholders and key players; this could be interpreted as an endorsement by the Minister of Employment and Labor Relations.
- We observed IDH's continued support to the Working Group on Gender (WGG) under the FSI.

Compared with other impact themes, IDH contributed to a limited extent to sector governance on Gender Equality and Empowerment across the different programs.

# Gender Equality and Empowerment — business practices

For IDH, companies are key to driving change in international supply chains and improving gender equality among workers and producers in those supply chains. Brands and retailers can change the conditions under which they source their products by demanding more sustainable practices being used by their suppliers and producers. They can also change the HR policies in their own company to promote gender equality and eliminate 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 it has achieved the impact it is aiming for.

In the midterm evaluation, we observed increased awareness on corporate policies among partners in the Tea and Flower programs, and that training was given to farmer service providers in India across the different crops (cotton, spices) and as part of the FCIP. We identified results visible in the flower sector on change in HR policies (Ethiopian Horticulture Producer Exporters Association (EHPEA) project) and concluded that IDH's contribution to changes in gender policies needs further evidence.

In this end-line evaluation, we focus on the strongest impact claims to see if IDH's contribution to impact can be confirmed.

## Based on strong outcome results, long-term impact is plausible in Kenya (tea)

- The impact assessment of the GEP was carried out in 2020–21 immediately at the end of the program. Because the program commenced at a time when some tea companies were already implementing activities to address GBV and gender issues, while some were not, there were challenges in qualifying the extent of the program's contribution to the results at the impact level reported. Although the assessment documented changes in business practices, such as enforcement, and new or revised policies at the company level that deal with GBV and other gender issues, it was not able to ascertain, with available data, that companies embedded gender equality and GBV prevention and response mechanisms in their corporate strategies.
- RttT achieved an outcome-level result. The Vietnamese Sustainability Index includes requirements to report on labor indicators, including

related to female workers, and has been implemented by local enterprises. This promotes a culture of continuous improvement around sustainability throughout the industry. However, the extent to which this changed business practices could not be measured. Therefore, we cannot conclude if long-term impact is plausible to expect.

## Outcomes observed in Malawi (tea), Ethiopia (flower), Vietnam (leather) and Latin America (banana)

- Under the Malawi Tea 2020 initiative, training was given to members of the Women Welfare and Gender Committee, Sexual Harassment and Discrimination Committees and estate managers. Furthermore, tea estates have raised awareness on gender and there is more space (e.g. in committees) to raise grievances related to gender, such as GBV. This can be attributed to the implementation of the TAML gender policy.
- The 'Gender Empowering the Source' project, which IDH is undertaking with the Ethiopian Horticulture Producers and Exporters Association (EHPEA) in the Ethiopian flower sector, evidenced change on the adoption of stronger HR policies on gender. The program reached 40 farms. The EPHEA made a commitment to reach 14,000 additional women. Within the FSI, this was followed up with a learning session on gender interventions. This exchange of practices is likely to contribute to gender equality at the sector governance level.
- IDH's continuous support to the Vietnamese Sustainability Index (Leather and Footwear Industry) shows that so far there is commitment to improve, update and standardize sustainable practices, including gender requirements. This potentially contributes to gender equality at the sector governance level.
- As a result of SIFAV membership, Fyffes — one of the world's largest banana exporters — has announced a target to implement gender equality programs in 100% of its owned sites in Latin America. The FSI Working Group on Gender is developing several awareness raising sessions and tools. It organized a learning session at the trade fair in Kenya in 2017 (G.168), as well as developed a toolkit on KPIs to monitor costs and outcomes of gender equality interventions (G.166) and other tools (G.169).

No data was provided with regard to the results of the activities within FCIP in Côte d'Ivoire in 2018 or related to the Coffee and the spices program. The intention of the CNIP (cocoa) was to engage female trainers. This only worked out at a very small scale. One company engaged only male trainer, while the second company engaged one female trainer. The third company engaged female trainers in 12% of the cases.

# Gender Equality and Empowerment — field level (I/II)

At the field level, IDH works with implementing partners on projects to improve livelihoods of men and women by addressing gender equality, empowerment and gender 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 the sector level and with businesses.

In the midterm evaluation, we observed gender-sensitive activities in the Cocoa, Coffee, Flowers and Tea programs. We also noticed that gender is being monitored in the apparel sector in Vietnam, and we announced that further outcomes could be expected in the cotton sector.

In this end-line evaluation, we focus on the strongest impact claims to see if IDH's contribution to impact can be confirmed.

Several projects include training on GAPs or actions to work toward a living wage and better working conditions. This, of course, can also benefit women, but is not intentional and not a transformational approach to Gender Equality and Empowerment. Without being gender sensitive and without the intention to reach women, many women will remain under the radar and will not be recognized as (co-)farmers. Being reached does not automatically mean that women will also benefit (or will be empowered), as this will depend, among other things, on their resources/skills, agency and decision-making power within the household and on dominant social norms.

## **IDH contributes to impact on Gender Equality and Empowerment at the field level in Kenya (tea) and Ethiopia (flowers)**

- The GEP made significant contributions to reduce the prevalence of GBV in the Kenyan tea industry. A significant decrease in GBV has been reported between 2016 and 2019 by companies participating in GEP.
- Gender-equality activities in the flower sector in Ethiopia have resulted in the following: improved labor conditions, and health and safety, affecting women; improved gender awareness and position of women; and increased confidence and skills of women (EHPEA project). All five most mentioned changes relate to the position of women and to the treatment of

women by the companies and their colleagues, which shows their empowerment. This is an impact-level result. There is no evidence the salary gap for women was reduced.

## **Outcomes observed in India (cotton) and Malawi (tea), and output in Ghana (cocoa)**

- The BCI trained 2,000 women co-farmers in two districts in India to strengthen their agronomic practices and life skills while 4,000 male farmers were to be provided gender sensitization training. Although no significant change in economic indicators could be observed, there was significant movement in the adoption of practices and social indicators by the women and change in the mindset of sensitized men. The pilot project was from a gender perspective very well designed and documented. The pathways for scaling up this pilot provide a roadmap for sector governance on gender equality in cotton. Potentially the design/approach could be relevant for other programs/sectors as well (to test and scale).
- Under the Malawi Tea 2020 initiative, tea estates have raised awareness on gender and there is more space (e.g. in committees) to raise grievances related to gender, such as GBV. This can be seen as a proxy for field-level outcome.
- As part of the Malawi Tea 2020 Pillar 4 Profitable Smallholder Sector, ETP (with funding from IDH) trained village agents in facilitating discussions with Village Savings and Loan Associations (VSLAs) on power dynamics affecting household development and inclusive decision making and communication (230 participants). The CNIP project (cocoa) has resulted in the formation of VSLAs across a number of project communities for all companies. Although the financial benefits of VSLAs are known, it has also been demonstrated that VSLAs are not designed for gender equality and do not automatically empower women. In addition, not all women in a community have the same access to VSLAs (mainly wives of cocoa farmers).

## Gender Equality and Empowerment — field level (II/II)

### The PoCs in tea and BOHESI in Ghana that achieved field-level results can be linked to changes at the sector governance level

- For the PoC Gender Kenya, we can link the observed field-level impact to changes at the SG level.
- Within the Malawi Tea 2020 intervention, there is a link between the results at SG and observed field-level results at the outcome level.
- The output observed with regard to BOHESI in Ghana through which working conditions for female workers are addressed (assessed under SIFAV within the F&I program) could be linked to changes at the sector level.
- The pilot project in Flowers (EHPEA – Empowering the source; flower industry Ethiopia) led to changes at the SG level, so the ToC worked upward.



# Responsible Agrochemical Management

## Challenge that IDH wants to solve

The indiscriminate use of agrochemicals on crops can contaminate water and soils and adversely affect crop production, putting the livelihood of millions of smallholder farmers at risk. Heavy 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 a reason 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.

## IDH's approach

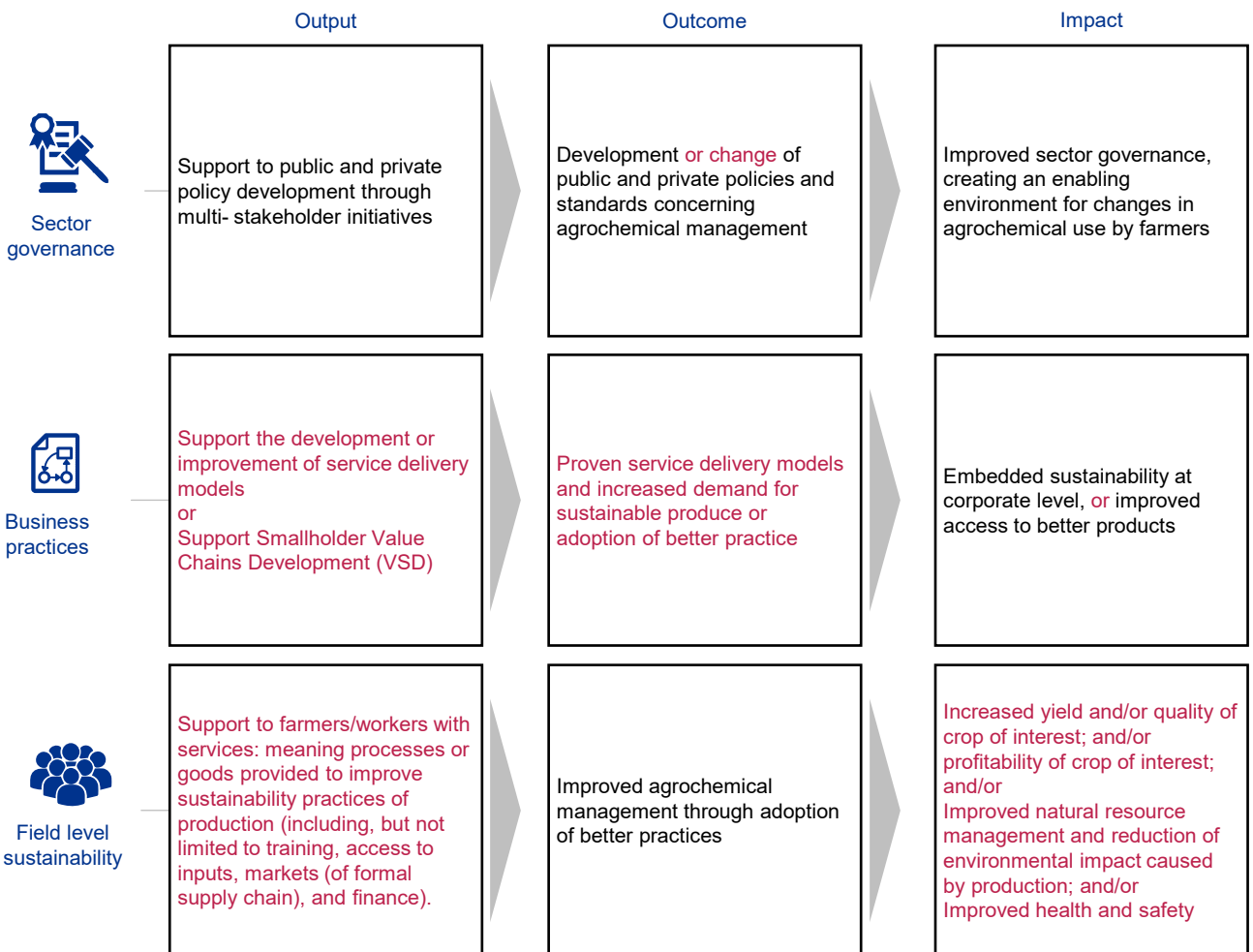
To cultivate Responsible Agrochemical Management, IDH's approach begins at the governance level, convening coalitions to improve policies, protocols and standards, with the aim of implementing risk-based enforcement of value chain actors and agrochemical retailers. This is further supported at the field level through worker 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, we also intervene to support improved SDMs and grow private-sector demand for sustainable produce, backed by better agrochemical products. IDH follows a three-pronged approach that aims to deliver improved profitability, ensure worker health and food safety, and reduce impact on the ecosystem.

It is important to note that agrochemicals as a group of products formally include chemical fertilizer. But IDH's work in this theme focuses mainly on responsible pesticide use (including herbicides, insecticides and fungicides) as well as antibiotics in aquaculture. In this chapter, when talking about agrochemicals, we refer only to the use of pesticides and antibiotics.

## IDH's selected programs and geographies to focus its efforts and quality of provided evidence:

Program	PoC	Initiative	Quality of evidence (average score)	Quality of evidence (highest score)
Coffee	Vietnam	Vietnam	6.6	13
Cotton	BCI	BCI	9.5	18
Fresh & Ingredients	Commodity Platforms and Sustainable Sourcing	FSI	5.5	12
		SSI	5.9	12
		SIFAV	5	5
Aquaculture	Aquaculture	Aquascapes	5.6	12
		Local Food		
		Innovation		
Tea	India Trustea	India Trustea	6	7
	Smallholder	Vietnam	4.8	

# Responsible Agrochemical Management — IDH's Theory of Change



Text in red reflects changes in the ToC compared to mid-term review



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 an enabling environment to better manage pesticide use at the farm level. IDH has identified an area that needs further prototyping: the development of IT tools that enable data collection and generation of information on high-risk practices in supply chains.

In the midterm evaluation, we observed a clear contribution to convening and establishing sector platforms and PPPs in all sectors and significant outcomes in cotton, pepper, tea (Vietnam) and flowers. We concluded that elements of an enabling environment were created in cotton as well as tools and policies developed for flowers and spices in specific countries.

In this end-line evaluation, we focus on the strongest impact claims to see if IDH's contribution to impact can be confirmed.

## **IDH contributes to some sector governance impact for Responsible Agrochemical Management in cotton, coffee and spices**

- This is best illustrated through the global adoption of the production standard of BCI in 23 major cotton producing countries which explicitly addresses responsible use of chemicals.
- In coffee, IDH's local team in Vietnam contributed to raising awareness within the local supply chains and bringing the relevant local government onboard to address the use of glyphosate and other chemicals in coffee production in four provinces, which can be evidenced by the MARD policy on banning the use of glyphosate.
- In SSI, the banning of the pesticide carbendazim seems to have a positive effect on Vietnam's pepper export. In 2018, 46% of the Vietnamese pepper met the EU MRL criterion for carbendazim; in 2016, before the banning effectuated, this was only 12.8%. This implies a cause-effect relation but is not researched in that perspective.
- The agrochemical taskforce, established under ISLA

Vietnam, has been crucial in this context. The advocacy work resulted in banned pesticides and a national training program (NSC) for pepper.

## **IDH contributed to some significant outcomes in pepper and tea (Vietnam), flowers, fruits and vegetables; whereas there were limited outcome-level results in aquaculture**

- In tea and pepper (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). IDH expects that the agri-team model (spraying teams, tea) will be further upscaled. Due to IDH's contribution, the agrochemical taskforce agreed to develop the NSC in both pepper and tea.
- From the initiation of the 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 (of which compliance according to the standard is required) are now addressed in the sector.
- Sector commitments in flowers, spices, and fruits and vegetables include environmental commitments. One of the standards included in the basket under FSI, Asocoflores (a standard setting body) is reporting a decline in use of pesticide active ingredients in the period 1998–2019.
- Seven out of the twelve projects under the Aquaculture program address the sector governance result area. The observed results at the outcome and impact levels are limited and vary largely among the projects. The evaluation report is not complete yet, therefore details in this respect are not known.

# Responsible Agrochemical Management — business practices (I/II)

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. By 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.

In the midterm evaluation, we observed the following: scalable SDMs in cotton and, to a lesser extent, in tea and flowers; an increase in sustainable procurement evident in cotton, flowers and spices; and access to biological pest control and agrochemicals improved for the IPM project in Ethiopia.

In this end-line evaluation, we focus on the strongest impact claims to see if IDH's contribution to impact can be confirmed.

## There are proven and scaled up SDMs in coffee, addressing responsible input use as a tangible outcome in coffee and limited results in aquaculture

- ACOM (part of ECOM, a global trader) partnered with IDH (in Vietnam) to improve its service delivery to farmers. It shifted to a more commercial approach. For example, instead of educating farmers about fertilizers, it now provides the fertilizers to farmers. It ran an SDM analysis in 2018 and designed the intervention together with IDH (and a roaster) which was later rolled out from 2018 until now, progressively scaling it up.
- The evaluation of the 12 projects under aquaculture reported some results at the outcome level for business practices. The observed results at the outcome and impact levels are limited and vary largely among the projects. The evaluation report is not complete yet, therefore details in this respect are not known.

## There is impact at the business practice level in cotton as companies live up to their commitments, and the IPM pilot in Ethiopia was scaled up by the implementing company

- In 2020, it was expected that 25% of the global cotton production would be produced under the BCI production standard, while already >25% of this sustainably produced cotton volume has been sourced by the companies. The uptake is growing due to the individual commitments of the brands and retailers that are the BCI members.
- As a result of a successful pilot in one of its rose farms in Ethiopia, Afriflora has now implemented the wetlands/IPM approach in all three of its farms.

# Responsible Agrochemical Management — business practices (II/II)

## Sector platforms and the national sustainability code drive responsible sourcing

- In the fresh & ingredients sector platforms, the companies live up to their commitments to source more sustainably and more companies are joining. In this way, IDH contributes to increased sustainably sourced volumes in these sectors (see graphs below).
- IDH contributed to an expected broad international acceptance of the Pesticide Impact Indicator in the horticulture and fruits and vegetables sectors. It also gave strategic input and ensured the set-up of international pilots for the tool (evidence pending).
- Despite an increased tea volume produced under the Trustea code, in which responsible use of chemicals is addressed, buyers detect a shortage of Trustea-verified tea, indicating increased uptake by the industry.

## Development of the fraction sourced sustainably by platform members



# Responsible Agrochemical Management — field level

In many of IDH's programs, training of farmers plays an important role to improve knowledge and competencies regarding agrochemical use at the farm level. The training curricula used are ideally built on the protocols and standards developed through public-private dialog. 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.

In the midterm evaluation, we observed measurable results in cotton (India) and tea (Vietnam) of the envisioned outcomes but contribution of IDH to adoption of improved practices was not proven.

In this end-line evaluation, we focus on the strongest impact claims to see if IDH's contribution to impact can be confirmed.

Overall, we conclude that despite impact and outcomes at sector governance and business practices levels, the field-level impact is less visible for Responsible Agrochemical Management beyond cotton and some in coffee. The observed field-level impact is not substantive in terms of transforming other major global supply chains.

## Impact plausible for the BCI licensed cotton farmers

- The best evidence for IDH's contribution to the field-level impact is through the BCI PoC with approximately 3 million farmers in scope. It is plausible that the BCI contributes to decreasing negative environmental effects of cotton farmers, when compared to unsupported farmers. This is evidenced through research by Wageningen University and supported by additional research commissioned by the BCI.

## Impact and outcome results for coffee in Vietnam

- Lower use of agrochemicals is an effective proxy for the field-level impact with regard to the environment. Due to a lower cost for agrochemical inputs, there is a direct financial benefit for farmers. This is evidenced by farmer field books, interviews and third-party research. However, other driving forces, such as lower coffee prices, have also strongly contributed to this change.
- Following the glyphosate action plan in late 2020, a quick survey by MARD, IDH and coffee companies on

glyphosate was conducted. The data collected show that farmers within the project (but also outside the project area) meet the maximum residue level (MRL) requirements on glyphosate. Data collected through traders, representing farmers in a specific district, show they used glyphosate. This could be an indication that farmers within the project perform better.

## Additional proxies and outcomes in spices and tea, limited results in aquaculture

- Farmer training in India (spices), which reached over 90,000 farmers, has resulted in increased adoption of sustainable production practices, especially related to Responsible Agrochemical Management. In addition, through SSI, several SDMs with major companies are done in the spice sector in Vietnam. The observed increase in adoption of good practices could serve as a proxy for the field-level impact with regard to the environment (to be evidenced).
- Through a pilot with agri-spraying teams, approximately 4,000 Vietnamese tea farmers were trained on GAPs resulting in 11,860 tons of tea more responsibly produced. Farmers contribute their reported yield increase to the intervention. No new data since the midterm evaluation were available.
- The evaluation of the 12 projects under aquaculture reported some results at the outcome level for the field level. The observed results at the outcome and impact levels are limited and vary largely among the projects. The evaluation report is not complete yet, therefore details in this respect are not known.

## Some field-level results can be linked to changes at the sector governance level

- Only for cotton/BCI, there is a clear link between SG results and observed impact-level results at the field level.
- The observed results in coffee/Vietnam relate to the company-driven SDMs, although it has to be mentioned that they emerged (partly) under the ISLA program, so to a certain extent, SG influence could be observed.
- The observed changes at the outcome level in the Tea PoC could methodologically not be attributed to the respective intervention (Trustea, responsible agri teams); however, these interventions can be traced back to the sector level.
- The results in FSI and SSI relate to the project-level interventions that have an SG component. The project in spices in India took place under the umbrella of SSI-India and the Chain Transparency Project, funded by IDH, was facilitated by FSI, the sector platform.

# Living Wage and Working Conditions

## Challenge that IDH wants to solve

Poor working conditions and low wages are fundamental issues 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 all too often worker safety is compromised, and pay is insufficient to 'work out of poverty', stalling progress and perpetuating in work poverty.

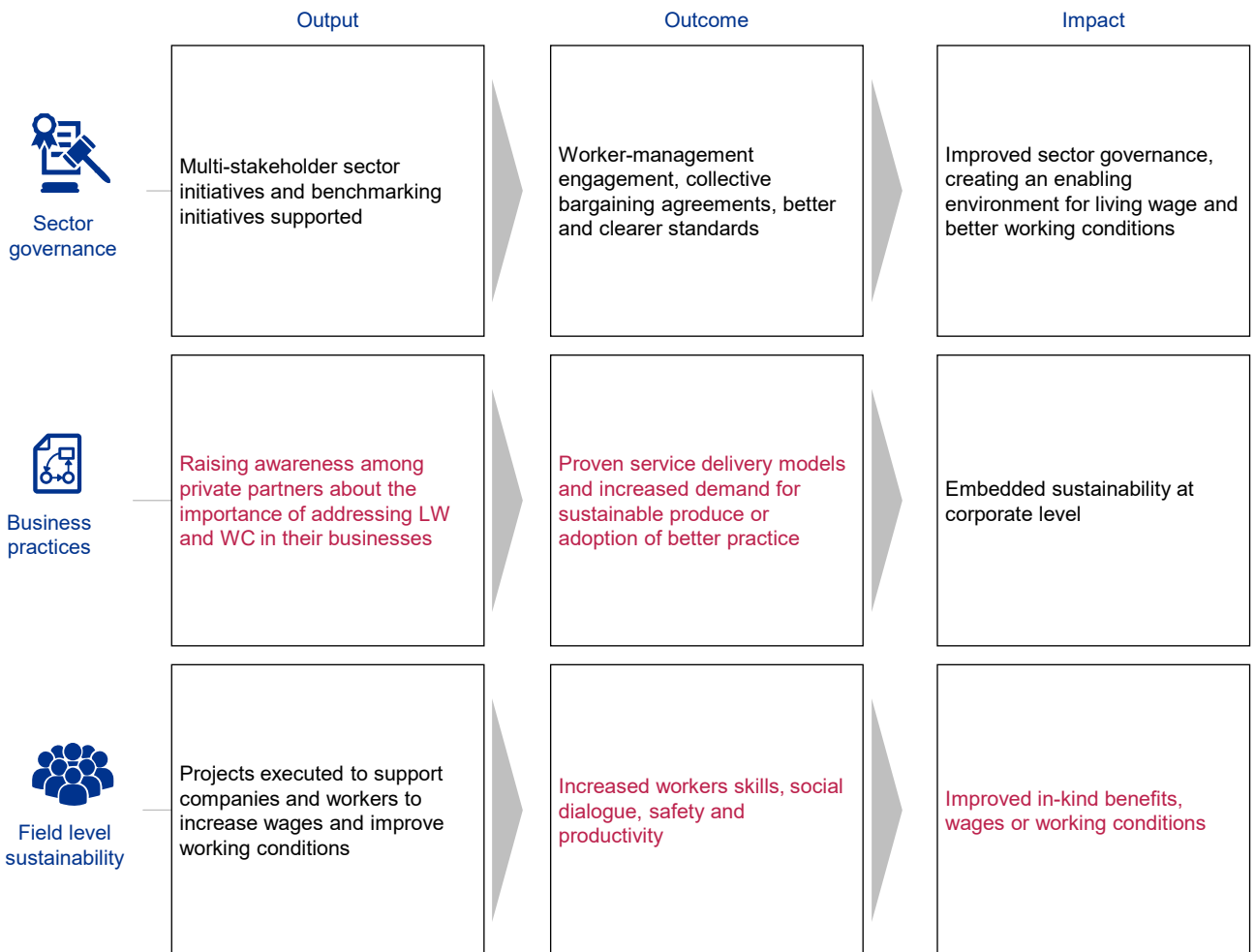
## IDH's approach

IDH works with companies to raise awareness on living wages and improved working conditions. We work 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 we observe. Of course, businesses do not work alone and need a supporting environment to have a real impact. We help 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 and bettering benefits and working conditions.

## IDH's selected programs and geographies to focus its efforts and quality of provided evidence:

Program	PoC	Initiative	Quality of evidence (average score)	Quality of evidence (highest score)
Apparel	Working Conditions: Working Engagement	RttT	5.6	11
	LABS	LABS	5.4	7
Fresh & Ingredients	Commodity Platforms and Sustainable Sourcing	FSI	5	7
		SSI	4.1	5
		SIFAV	5.7	12
		SJC	6.2	12
		SVI	5	12
Tea	Malawi Tea 2020	Malawi Tea 2020	6.4	12

# Living Wage and Working Conditions — IDH's Theory of Change



Text in red reflects changes in the ToC compared to mid-term review

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 that are expected to create an enabling environment to improve working conditions and wages for workers. In the midterm evaluation, we concluded that the observed outputs resulted in envisaged outcomes in tea and apparel, and that for tea (Malawi 2020), impact for sector governance was already evidenced.

In this end-line evaluation, we focus on the strongest impact claims to see if IDH's contribution to impact can be confirmed.

## **IDH contributes to impact related to Living Wage and Working Conditions at the sector governance level in Malawi (tea), Vietnam (apparel) and Ecuador (bananas)**

- The greatest impact has been achieved in the Tea program through the Malawi Tea 2020 Revitalization Programme. Coalition members (the major tea companies that are members of the Tea Association of Malawi (TAML)) worked together with IDH, the Ethical Tea Partnership (ETP), Oxfam and others to take joint action on decreasing the living wage gap. A collective bargaining process is now embedded in the tea sector in Malawi (one of the smaller tea origins where approximately 50,000 people work on tea estates but with a large living wage gap).
- IDH contributed to the establishment of the LABS initiative and the RttT program in the apparel and footwear sectors in three states in India and eighteen provinces in Vietnam. The guidelines for the safe use of chemicals (RttT) were adopted by the Vietnam Environmental Administration (VEA) and disseminated to provincial departments with the advice to implement. Similarly, the Ministry of Construction in Vietnam plans to adopt the LABS standard for broader use. There are about 400,000 workers in the scope of these initiatives. The VEA issued an official letter to all provincial departments of the Ministry of Natural Resources and Environment, as well as textile and footwear companies, to introduce and apply the guidelines. The ministry adopted new 'technical guidance', which it disseminated as non-compulsory guidance. The Apparel program only covers two countries and as such is not transformational for the sector.
- Within the Fresh & Ingredients program, the project-level impact has been achieved. The evaluation of the IDH co-financed BOHESI project in Ecuador documented that since the development, ratification and implementation of the banana occupational health and safety manual (including the training of approximately 58,000 workers), the number of health and safety committees has increased and the number of occupational accidents in tropical fruits has decreased.

## **Outcomes and outputs achieved in fresh & ingredients**

- An enabling environment for companies to strive toward a living wage is created with the contribution of IDH. IDH convened and set up the The Roadmap on Living Wages; this is a platform where members can download tools and guidance to measure living wage gaps. In this guidance, the salary matrix plays a major role. In addition to companies, organizations such as RA, GIZ, CGF, Sedex, and amfori are represented in the governance structure. For the first time, companies are equipped to work on this topic in their respective supply chains and the number of member companies is growing.
- IDH supported the Dutch Covenant for the Food Products: Commitment on Living Wage Bananas. The commitment (of the Dutch retail sector) is managed by a working group of the Sustainable Initiative Fruit and Vegetables (SIFAV), and reports to the Social Economic Council (SER) as part of the international corporate social responsibility (IMVO) covenant structure. Under this commitment, members strive to increase their market volume of bananas produced by workers who earn a living wage to 100% of their assortment sold on the Dutch market.
- Under SIFAV, all private sector partners are committed to taking a first step in improving living wages or living incomes, by analyzing living wage and living income gaps in at least one of their supply chains and, if possible, also making a commitment toward reducing these gaps.
- In addition to sector commitments to generic sustainable sourcing according to a broad range of standards that include working conditions, SIFAV focuses on living wages and in SVI, child labor is explicitly addressed. For cumin in Turkey, the topic is now openly discussed in the most important sector platform. The SVI addressed the topic in Madagascar.
- For all sector platforms, the topics of living wages and working conditions are discussed in various ways, though there are no explicit commitments yet (output).

# Living Wage and Working Conditions — business practices (I/II)

For IDH, companies are key to driving change in international supply chains and improving working conditions and wages for workers and producers in those supply chains. Brands and retailers can change the conditions under which they source their products by demanding more sustainable practices being used by their suppliers and producers. 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 it has achieved the impact it is aiming for at the business level.

In the midterm evaluation, we observed an increase in awareness on living wages and working conditions within the sector platforms, an increase in sustainable procurement for members of the sector platform and that IDH's involvement in Malawi Tea 2020 has encouraged tea plantations to improve their practices.

In this end-line evaluation, we focus on the strongest impact claims to see if IDH's contribution to impact can be confirmed.

## **There was some impact in Vietnam (apparel); tangible outcomes in the tea sector and through the sector platforms FSI and SIFAV will likely lead to impact**

- The LABS initiative evidenced some impact on business practices. Although widespread use could not be confirmed, the guidelines did influence at least one company's practices. They internalized several of the guidelines for broader use. Several brands have committed to using the guidelines with their tier one suppliers. This commitment is captured in the agreements they signed with IDH.
- For the Malawi Tea 2020 Revitalization Program, we observed tangible outcomes. IDH has worked on buyer assessments that show a prioritization for purchasing Malawi tea by coalition members. Since the start of the program (2016), there has been an increase of 66% in volumes sourced from Malawi by coalition buyers. A trilateral assessment of buyers' sustainable procurement practices by Oxfam and IDH based on data submitted via Ethical Tea Partnership (ETP), showed variable results in terms of delivering benefits for workers. Two companies developed agreements with producers containing explicit wording on how additional value (in cash or in kind) should reach workers for contracts related to 2019. Three companies mentioned their long-term commitment to continue buying from Malawi to IDH and Oxfam when discussing the results of the buyer assessment.
- Unilever acknowledges that the support of IDH has been important in terms of its commitment to paying a living wage/living income. The practical tools and support that IDH provided were invaluable in terms of being able to implement its commitment.
- It is plausible that future commitments of the Global Tea Coalition (GTC) will leverage the learnings from Malawi Tea 2020 to address the issues within the East African tea sector. The GTC was formed with 13 CEOs from tea producer and packer companies in 2019.
- Through the FSI 2025 strategy, the members committed to a 'reduction in the living wage gap of workers at the farm level by 2025'. FSI will agree on specific living wage gap reduction targets by the end of 2021.
- With the Dutch retail commitment on living wages, and new and more ambitious strategies for FSI and SIFAV in place, it is likely that sustainability will become truly embedded in the respective sectors. A result of this would be concrete references to living wages and working conditions in contracts that companies sign with their suppliers. A first sign of this is that Superunie (Dutch collective of supermarkets) incorporated reference to the SIFAV basket of standards in its conditions as well as the right to request its suppliers to fill in the salary matrix.

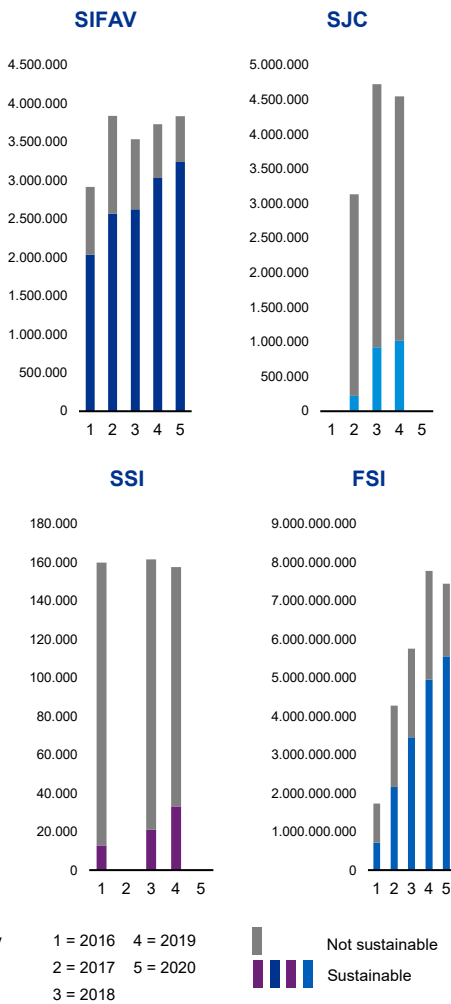


# Living Wage and Working Conditions — business practices (II/II)

## Sector platforms drive responsible sourcing

- In the fresh & ingredients sector platforms, the companies live up to their commitments to source more sustainably, and more companies are joining. In this way, IDH contributes to increased sustainably sourced volumes in these sectors (see graphs below).
- As the topic of living wage is not always explicitly addressed in the standards, we are reluctant to label this as an impact for this theme. Working conditions, however, are addressed in most of the standards.

### Development of the fraction sourced sustainably by platform members



# Living Wage and Working Conditions — field level

At the field level, IDH works with implementing partners 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 workers. The results and learnings can be used in the activities that are being done at the sector level and with businesses. The field-level projects are often initiated with support from a business partner in its supply chain.

In the midterm evaluation, we observed that projects were executed in fresh & ingredients, tea and apparel sectors. We also noted that working conditions improved for workers in apparel and tea sectors, and observed initial signs of improved wages as a result of the Malawi Tea 2020 Revitalization Program.

In this end-line evaluation, we focus on the strongest impact claims to see if IDH's contribution to impact can be confirmed.

## The increase in wages in the Malawi tea sector is an indicator for improved livelihoods

- The Malawi Tea 2020 Wages Committee concludes that tea estates have substantially narrowed the living wage gap between 2014 and 2020. In the five years of the program, the living wage gap has been closed by 33%. Increase in wages is an indicator for improved livelihoods.
- Stakeholders are aware that there is much more to be done before tea workers in Malawi receive a full living wage and to further empower the union. Nevertheless, we recognize that due to MT 2020, membership of the Plantation and Allied Workers Union (PAWU) increased for five consecutive years and female workers are organizing themselves under PAWU committees.
- A detailed worker impact study that fully proves improved livelihoods is lacking. Other indicators beyond wages are often used as measurements for improved livelihoods and knowing that the living wage gap remains significant should be viewed as an impediment to sustainable livelihoods irrespective of whether other indicators provide a back-up.

## Working conditions have been improved in the apparel and sportswear sectors in India and Vietnam, and the banana sector in Ecuador

- Worker voice has improved in the RttT program. Workers are better able to raise issues, which can be considered as an impact at the field level.
- Due to improved safety audits, the physical safety in factories has improved as it can be evidenced that issues have not only been identified but also remediated.
- IDH contributed by funding 'the Occupational Safety and Health Manual for the banana industry' — the BOHESI. The evaluation of this project shows that as a result of the implementation of the tool, the occurrence of incidents has reduced.

## Across the different programs, many activities and pilots to address living wages and working conditions are executed

- In the horticulture sector, pilots have started in Ethiopia, Kenya and Uganda to measure the living wage gap, which is needed to identify which interventions are required.
- A child labor remediation project has been executed with the International Labour Organization (ILO) in Madagascar (Vanilla). Although the relevance of the project was high, the effectiveness, efficiency and sustainability were questioned. It is not known if and to what extent mitigating activities were implemented.

## The field-level impact results achieved can be linked to changes at the sector governance level

- For both PoCs in the Apparel program, the observed improvements and impact at the field level relate to changes at the sector level.
- The decrease in the living wage gap in the Malawi tea sector can be contributed to the Malawi Tea 2020 initiative.
- The observed impact within SIFAV at the field level does relate to change at the sector level, though not as a result of SIFAV but instead as a result of the BOHESI project in Ecuador, co-funded by IDH.

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# Appendix

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- I. Program level impact assessment (separate document)
- II. List of Acronyms
- III. Details on Methodology
- IV. IDH Data room
- V. RMF indicators - % achieved
- VI. Framework expert consultation and summary final consultation
- VII. Limitations and disclaimer

## List of acronyms (I/III)

Abbreviation	Definition
AEGF	Agri Entrepreneur Growth Foundation
BCGIF	Better Cotton Growth and Innovation Fund
BCI	Better Cotton Initiative
BMGF	Bill & Melinda Gates Foundation
BOHESI	Banana Occupational Health and Safety Initiative
BP	Business practices
BSR	Business for Social Responsibility
BUZA	Ministry of Foreign Affairs Netherlands
CAR	Rural Environmental Registry
CBA	Collective bargaining agreement
CCC	Conseil du Café-Cacao
CCF	Cocoa Challenge Fund
CDC	Commonwealth Development Corporation
CESFAC	Spanish Confederation of Manufacturers of Compound Feed for Animals
CFI	Cocoa & Forests Initiative
CNI	Cocoa Nutrition Initiative
CNIP	Cocoa Nutrition Innovation Program
CSO	Civil Society Organization
DAC	Development Assistance Committee
DCED	Donor Committee for Enterprise Development
DDP	Department of Plant Protection
DFID	Department for International Development of the United Kingdom Government
DISCO	Dutch Initiative for Sustainable Cocoa
EHPEA	Ethiopian Horticulture Producer Exporters Association
EU	European Union
ENSI	European National Soy Initiatives
ETP	Ethical Tea Partnership
F&I	Fresh & Ingredients
FCIP	Farm & Cooperative Investment Program
FEFAC	The European Feed Manufacturers' Federation
FFB	Farmer Field Book
FFS	Farmer Field Schools
FL	Field level
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
GIZ	German Agency for International Cooperation
GTC	Global Tea Coalition
GVRC	Gender Violence Recovery Centre
HR	Human resources
IMVO	International corporate social responsibility

## List of acronyms (II/III)

Abbreviation	Definition
IPM	Integrated Pest Management
ISCC	International Sustainability and Carbon Certification
ISLA	Initiative for Sustainable Landscapes
IT	Information technology
IITA	International Institute of Tropical Agriculture
ILO	International Labour Organization
ITC	International Trade Centre
IDH	The Sustainable Trade Initiative
JDE	Jacobs Douwe Egberts
KEE	Essential Ecosystem Zones
KPI	Key performance indicator
LABS	Life and Building Safety
LDN	Land Degradation Neutrality Fund
MARD	Ministry of Agriculture and Rural Development's
MEL	Monitoring, Evaluation and Learning
MOG	Mufindi Out-Growers
MoU	Memorandum of Understanding
MT	Metric ton
MT 2020	Malawi 2020 Tea Revitalization Programme
MRL	Maximum residue level
NGO	Non-governmental organization
NKG	Neumann Kaffee Gruppem (page 5. evolvement of IDH) - )
Norad	Norwegian Agency for Development Cooperation
NSC	National Sustainability Curriculum
NAEB	National Agricultural Export Development Board
NTFP	Non-timber forest products
OECD	Organisation for Economic Co-operation and Development
PAWU	Plantation and Allied Workers Union
PCI	Produce, Conserve and Include
PDC	Primary data collection
PoC	Proof of Concept
PPE	Personal protective equipment
PPI	Production, Protection & Inclusion
PPP	Public-private partnership
RAM	Responsible Agrochemical Management
RAFLL	Rural and Agricultural Finance Learning Lab
RMF	Results Measurement Framework
RSPO	Roundtable on Sustainable Palm Oil
RTRS	Round table on Responsible Soy association
RttT	Race to the Top
SER	Social Economic Council
SCP	Sustainable Coffee Program
SDG	Sustainable Development Goals
SDM	Service delivery model
SEWA	Self Employed Women's Association
SG	Sector Governance
SFL	Sustainable Food Lab

## List of acronyms (III/III)

Abbreviation	Definition
SFTF	Soy Fast Track Fund
SIFAV	Sustainability Initiative Fruit and Vegetables
SJC	Sustainable Juice Covenant
SNI	Sustainable Nut Initiative
SNV	Netherlands Development Agency
SSG	Soy Sourcing Guidelines
SSI	Sustainable Spices Initiative
SSI-I	Sustainable Spices Initiative - India
SVI	Sustainable Vanilla Initiative
TA	Technical Assistance
TAML	Tea Association of Malawi
UTT	Unilever Tanzania Tea
VCD	Value Chain Development
VEA	Vietnam Environmental Administration
VSLAs	Village Savings and Loan Associations
WCF	World Cocoa Foundation
WGG	Working Group on Gender
WOTR	Watershed Organisation Trust
WRI	World Resources Institute
WUR	Wageningen University & Research
TAF	Technical Assistant Facility
ToC	Theory of Change

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# III Details on Methodology

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- a) Theories of Change - development over time
- b) Operationalization OECD/DAC research questions
- c) Description projects included in-depth assessment in corporate evaluation
- d) Scoring on quality of evidence
- e) Methodology sector survey & summary of results
- f) Methodology interviews & overview interviewees

## Theory of Change

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For each impact theme, a Theory of Change (ToC) was formulated in 2016 and these ToCs were updated over the course of the evaluation period. These (updated) ToCs were used as the starting point for the evidence assessment on IDH's actual contribution in both the midterm as well as in this end-line evaluation.

In this appendix we document for each impact theme the ToC formulated in 2016, the adjusted version used in the mid-term evaluation and the version applied for the end line evaluation.

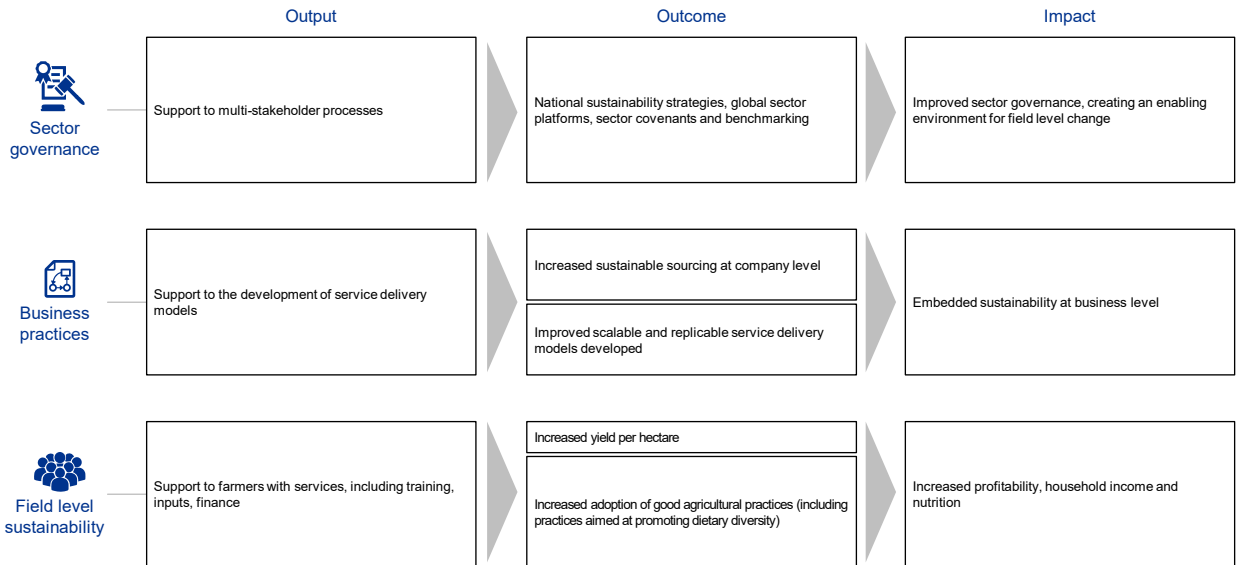


# Smallholder Inclusion

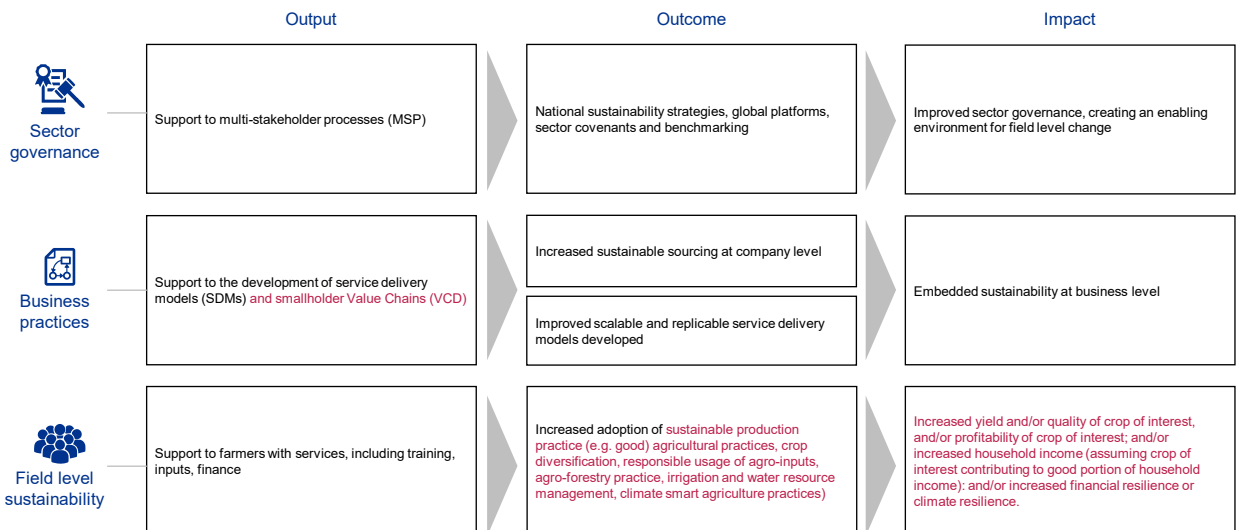
First Assessment

Smallholder inclusion and improved smallholder farmer livelihoods ...	Was enhanced through...	Which has led to...
... by improving sector policies and strategies (public-private)  Result area: sector governance	Support to multi-stakeholder processes (Output)	Formulation of national agenda-setting sustainability strategies in a sector (Outcome)
	National sustainability strategies (Outcome)	Improved sector governance, creating an enabling environment for field level change (Impact)
... through adoption of good agricultural and business practices by farmers  Result area: field level sustainability	Support to farmers with services, including training, inputs, credit (Output)	Increased adoption of good agricultural practices* (Outcome)
	Increased adoption of good agricultural practices (Outcome)	Increased yield per hectare (Outcome)
	Increased adoption of good agricultural practices (Outcome)	Increased profitability, household income and nutrition** (Impact)
... through developing replicable service delivery models  Result area: business practices	Support to the development of service delivery models (Output)	Increased the access to services (training, inputs, credit) (Outcome)
		Scalable and replicable service delivery models (Outcome)

Midterm



End line

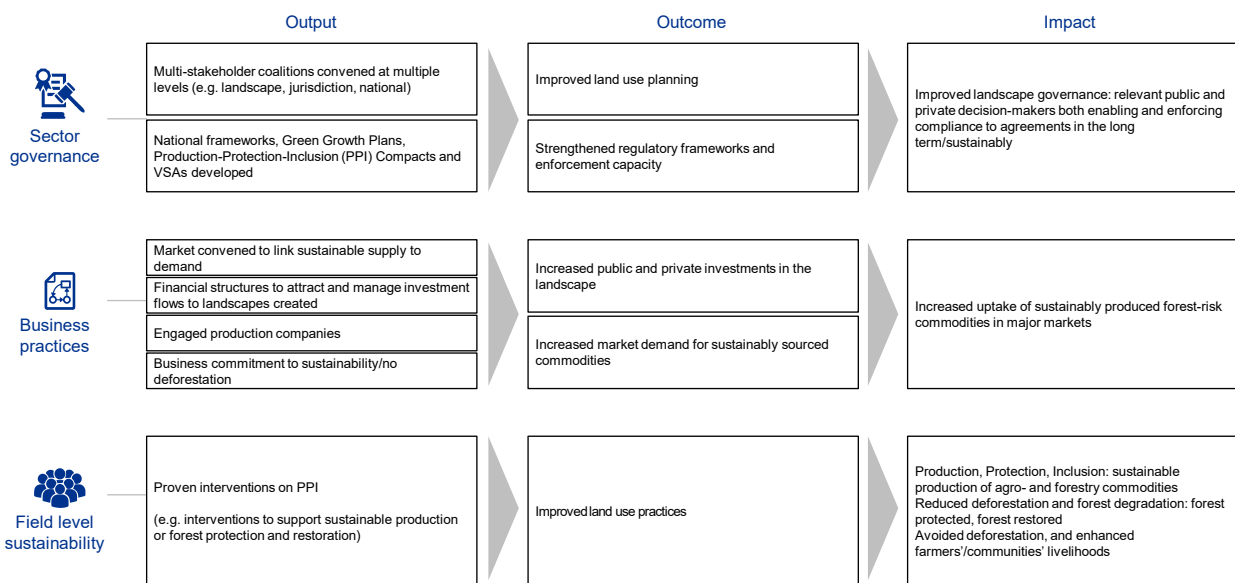


# Mitigation of Deforestation

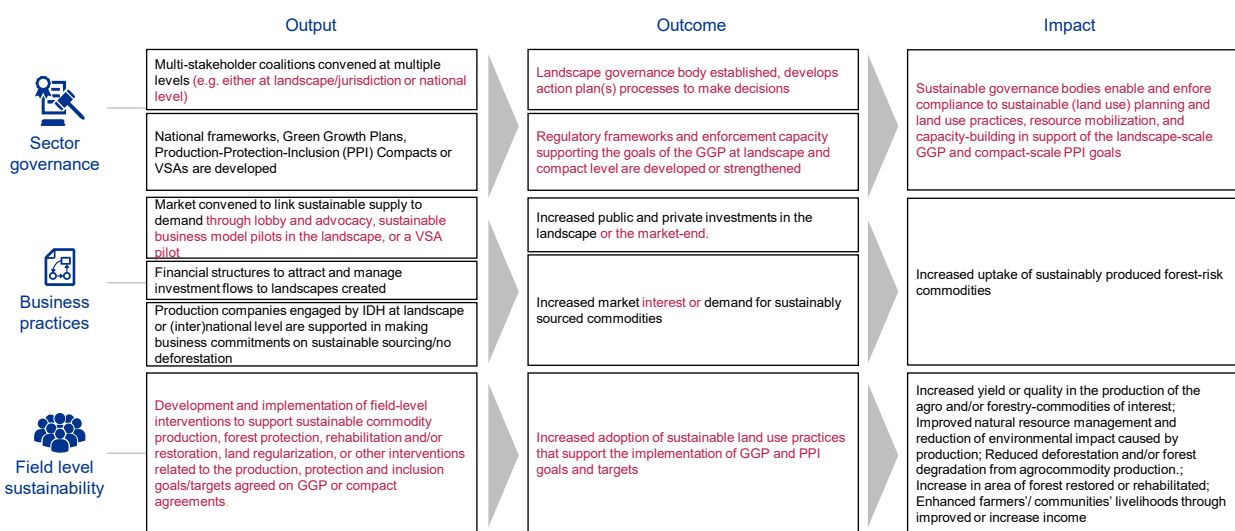
First Assessment

Reduced deforestation and forest degradation...	Was enhanced through...	Which has led to...
<p>... through improving land use governance (public-private) to enable and enforce compliance</p> <p><b>Result area: sector governance</b></p>	<p>Support to multi-stakeholder coalitions (Output)</p> <p>Strengthened regulatory frameworks and enforcement capacity and improved land use planning (Outcome)</p>	<p>Regulatory frameworks and enforcement capacity strengthened, and land use planning improved (Outcome)</p> <p>Improved landscape governance, creating an enabling environment for reduced deforestation and forest degradation (Impact)</p>
<p>... by supporting the adoption of sustainable landscape management practices through PPI deals/projects</p> <p><b>Result area: field level sustainability</b></p>	<p>Support to establish PPI deals/projects (Output)</p> <p>Increased farmer incomes, resulting from intensification of production or diversification of income* (Outcome)</p>	<p>Sustainable landscape management, forest conserved and restored (Impact)</p> <p>Reduced deforestation and forest degradation: forest protected, forest restored (Impact)</p>
<p>... by creating effective and profitable PPI business models</p> <p><b>Result area: business practices</b></p>	<p>Support and commitments for the creation of production-protection-inclusion activities (Output)</p> <p>Market demand and investments for sustainable produce (Outcome)</p>	<p>Establishment of Production-Protection-Inclusion (PPI) deals and projects (Outcome)</p> <p>PPI integrated within business models and investments (Impact)</p>

Midterm

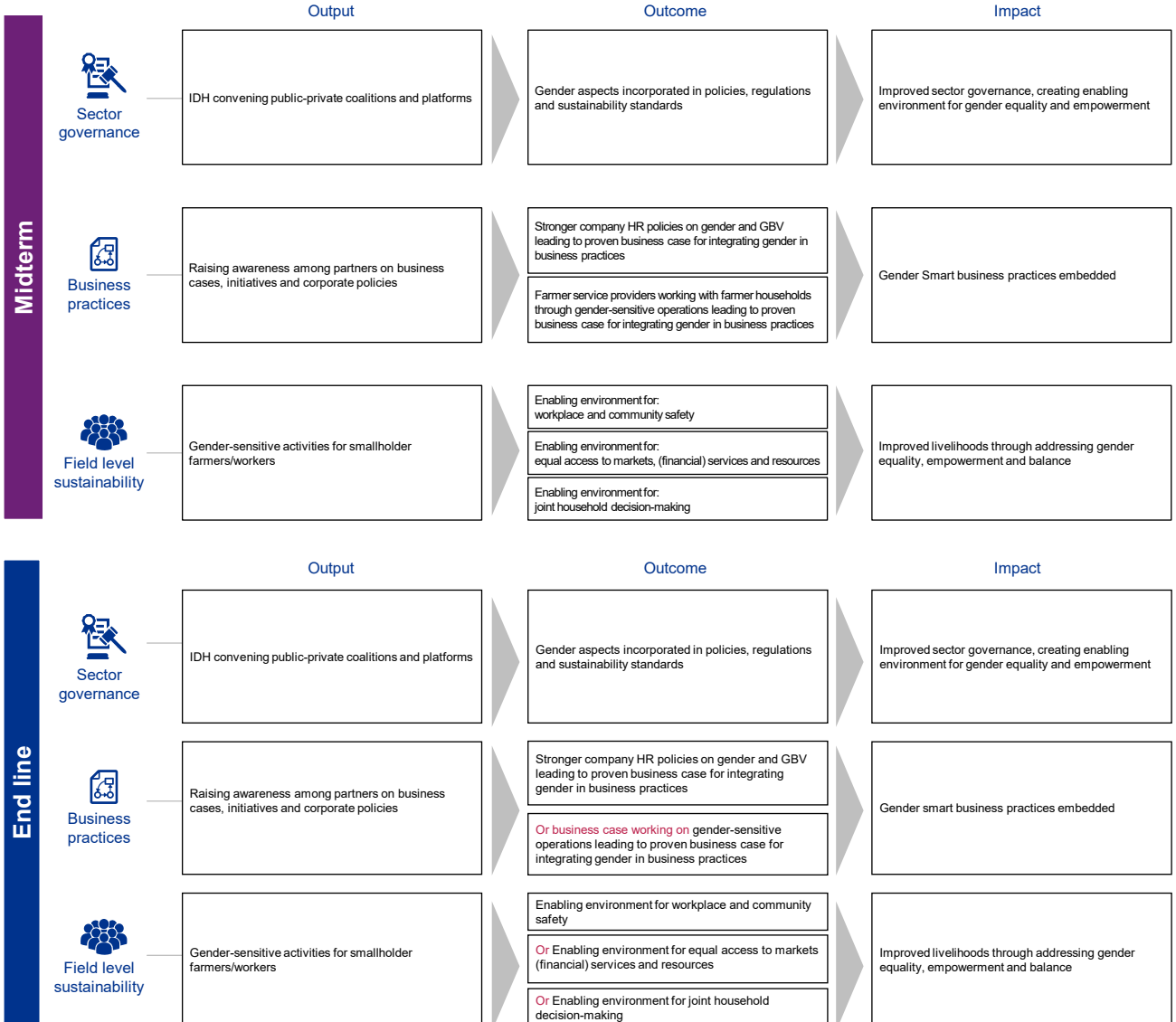


End line



# Gender Equality and Empowerment

“Gender Equality and Empowerment” was only established as impact theme in 2017 and therefore it was not included in the first assessment.

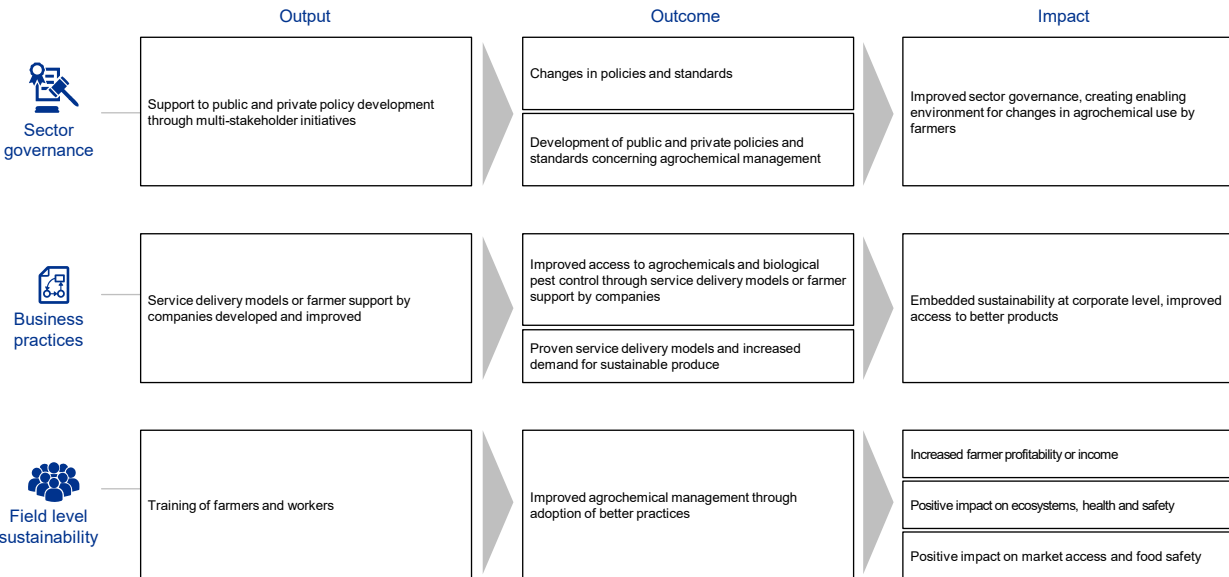


# Responsible Agrochemical Management

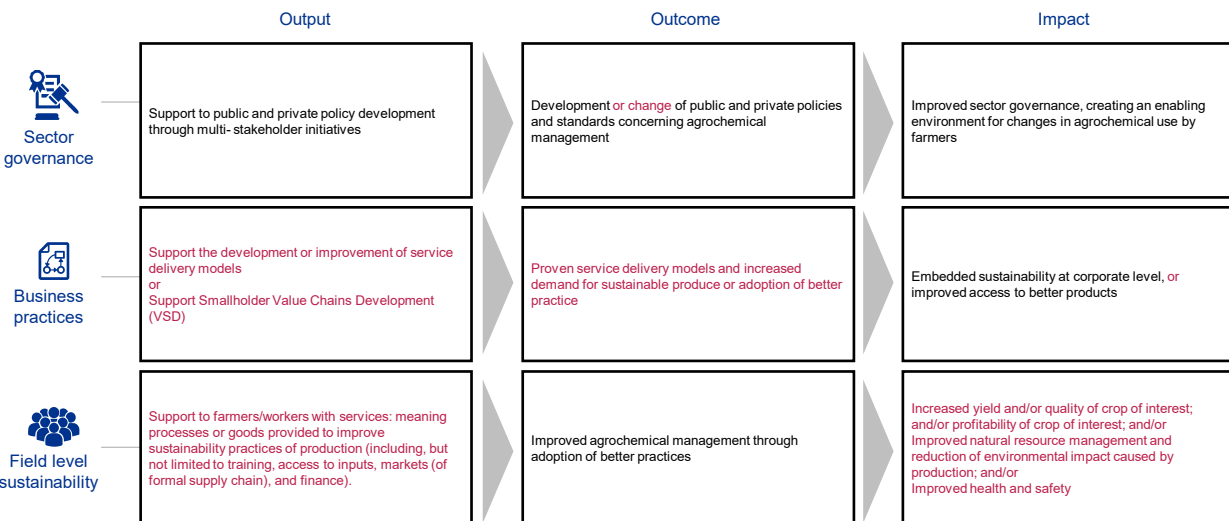
First Assessment

Improving farmers pesticide management...	Was enhanced through...	Which has led to...
... through improving public and private pesticide policies  Result area: sector governance	Support to public and private policy development through multi-stakeholder initiatives (Output)  Changes in policies and standards (Outcome)	Development of public and private policies and standards concerning pesticide management (Outcome)  Improved sector governance, creating an enabling environment for changes in pesticide use by farmers (Impact)
Improving farmer profitability and market access, as well as food safety, ecosystem and occupational health and safety through responsible pesticide management  Result area: field level sustainability	Training of farmers (Output)  Improved pesticide management (Outcome)	Improved pesticide management* (Outcome)  Farmer profitability or income (Impact)
... through proven service delivery models and market demand for sustainable produce  Result area: business practices	IDH support to companies (Output)  Proven service delivery models and demand for sustainable produce (Outcome)	Improved access to agrochemicals through service delivery models (Outcome)  Embedded sustainability at corporate level** (Impact)

Midterm



End line

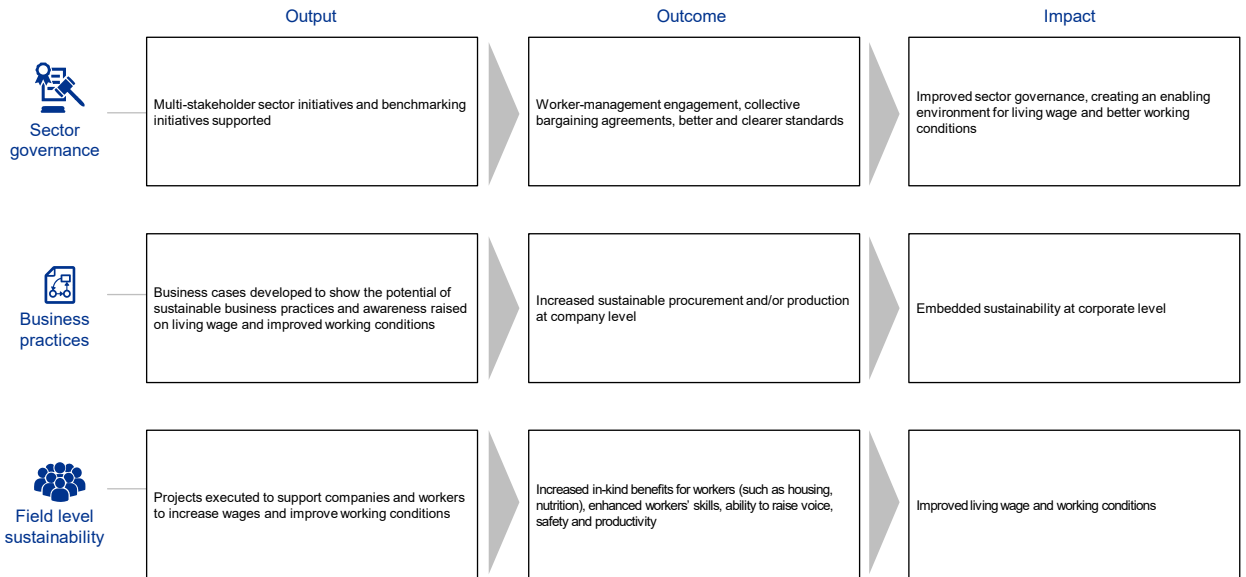


# Living Wage and Working Conditions

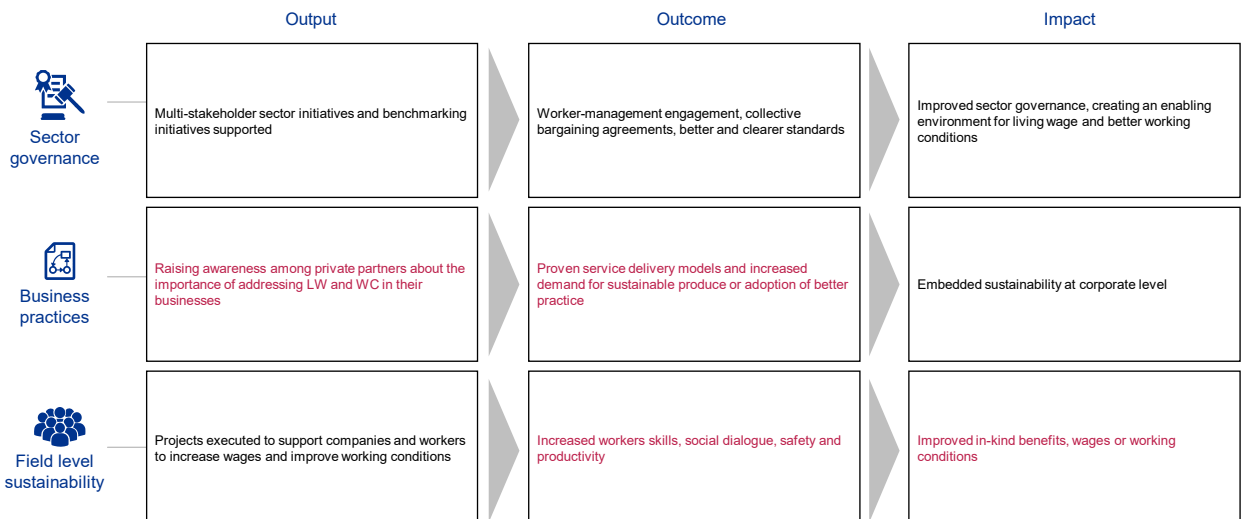
First Assessment

Improving worker wages, in-kind benefits and working conditions...	Was enhanced through...	Which has led to...
... by improving sector policies (public-private) Result area: sector governance	Support to multi-stakeholder sector initiatives (Output)  Worker-management dialogue and collective bargaining agreements (Outcome)	Worker-management dialogue and collective bargaining agreements (Outcome)  Improved sector governance, creating an enabling environment for higher wages (Impact)
... by improving human resource management Result area: field level sustainability	Support to companies (capacity building) (Output)  Better skills, meals and housing (Outcome)	Improved human resources management (Outcome)  Improved worker productivity and nutrition* (Impact)
... through making business models more efficient and effective Result area: business practices	Business model interventions that improve the margins of supported companies (Output & Outcome)  Proven business models (Outcome)	Increased wage levels (Impact)  Business models are scaled and replicated (Impact)

Midterm

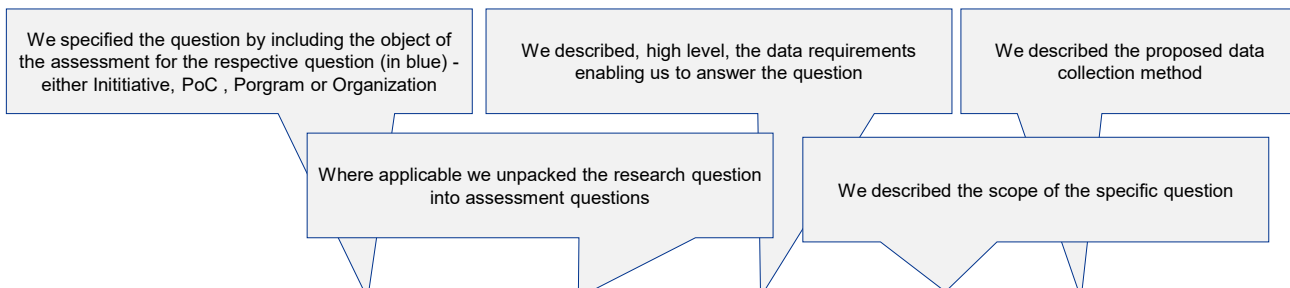


End line



# Operationalization of the OECD/DAC research questions (I/IV)

The figure below explains how the tables on the next four pages should be read.



Criteria	Re-phrased questions	Assessment questions	Data requirements	Scope of the assessment	Data collection
Relevance	1. Does IDH's <b>Initiative</b> respond to relevant needs and serve well-identified beneficiaries in partner countries and communities?	<ul style="list-style-type: none"> <li>What processes/guidelines are in place to identify the beneficiaries and their needs?</li> <li>How are the targeted beneficiaries defined?</li> <li>How did the need assessment take place and how is representativeness of the identified needs safeguarded?</li> <li>Are the beneficiaries part of the needs assessment?</li> </ul>	Identification of beneficiaries; assessment of needs	<ul style="list-style-type: none"> <li>Program governance</li> <li>Deep dive on <b>subset</b></li> </ul>	<ul style="list-style-type: none"> <li>Questionnaire IDH program directors/managers of PoCs in subset</li> <li>Include question in external interviews for counterfactual (sub PoCs)</li> <li>Third party research reports</li> </ul>
	2. How does IDH's <b>Initiative</b> perform according to the criteria of "additionality" of Donor Committee on Enterprise Development (DCED)?	<ul style="list-style-type: none"> <li>What processes/guidelines are in place on organization level for the application of the criteria of 'additionality' of DCED on initiative level?</li> <li>How are the B criteria of the DCED (ex-ante) applied and documented at the level of initiatives/projects.</li> </ul>	Assessment of alternative sources to cover the needs	<ul style="list-style-type: none"> <li>Program governance</li> <li>Deep dive on <b>subset</b></li> </ul>	<ul style="list-style-type: none"> <li>Questionnaire IDH program directors/managers of PoCs in subset</li> <li>Third party research reports</li> </ul>
Coherence	3. Does IDH's <b>Initiative</b> usefully complement and develop synergies with other development assistance interventions in related areas?	<ul style="list-style-type: none"> <li>What processes/guidelines are in place to identify development assistance interventions in related areas?</li> <li>How is it assessed that the intervention is complementary to the identified interventions?</li> <li>How does IDH collaborate and create synergies with identified interventions?</li> </ul>	Identification and scoping of key engagements in related areas	<ul style="list-style-type: none"> <li>Program governance</li> <li>Deep dive on <b>subset</b></li> </ul>	<ul style="list-style-type: none"> <li>Questionnaire IDH program directors/managers of PoCs in subset</li> <li>Contextual documents</li> </ul>

## Operationalization of the OECD/DAC research questions (II/V)

Criteria	Re-phrased questions	Assessment questions	Data requirements	Scope of the assessment	Data collection
Relevance	1. Does IDH's <b>initiative</b> respond to relevant needs and serve well-identified beneficiaries in partner countries and communities?	<ul style="list-style-type: none"> <li>— What processes/guidelines are in place to identify the beneficiaries and their needs?</li> <li>— How are the targeted beneficiaries defined?</li> <li>— How did the need assessment take place and how is representativeness of the identified needs safeguarded?</li> <li>— Are the beneficiaries part of the needs assessment?</li> </ul>	Identification of beneficiaries; assessment of needs	<ul style="list-style-type: none"> <li>— Program governance</li> <li>— Deep dive on <b>subset</b></li> </ul>	<ul style="list-style-type: none"> <li>— Questionnaire IDH program directors/managers of PoCs in subset</li> <li>— Include question in external interviews for counterfactual (sub PoCs)</li> <li>— Third party research reports</li> </ul>
	2. How does IDH's <b>initiative</b> perform according to the criteria of "additionality" of Donor Committee on Enterprise Development (DCED)?	<ul style="list-style-type: none"> <li>— What processes/guidelines are in place on organization level for the application of the criteria of 'additionality' of DCED on initiative level?</li> <li>— How are the 8 criteria of the DCED (ex-ante) applied and documented at the level of initiatives/projects.</li> </ul>	Assessment of alternative sources to cover the needs	<ul style="list-style-type: none"> <li>— Program governance</li> <li>— Deep dive on <b>subset</b></li> </ul>	<ul style="list-style-type: none"> <li>— Questionnaire IDH program directors/managers of PoCs in subset</li> <li>— Third party research reports</li> </ul>
Coherence	3. Does IDH's <b>initiative</b> usefully complement and develop synergies with other development assistance interventions in related areas?	<ul style="list-style-type: none"> <li>— What processes/guidelines are in place to identify development assistance interventions in related areas?</li> <li>— How is it assessed that the intervention is complementary to the identified interventions?</li> <li>— How does IDH collaborate and create synergies with identified interventions?</li> </ul>	Identification and scoping of key engagements in related areas	<ul style="list-style-type: none"> <li>— Program governance</li> <li>— Deep dive on <b>subset</b></li> </ul>	<ul style="list-style-type: none"> <li>— Questionnaire IDH program directors/managers of PoCs in subset</li> <li>— Contextual documents</li> </ul>

## Operationalization of the OECD/DAC research questions (III/V)

Criteria	Re-phrased questions	Assessment questions	Data requirements	Scope of the assessment	Data collection
Effectiveness	4. Has IDH's <b>PoC</b> achieved, or is it expected to achieve, its results objectives at output and outcome level?		Output objectives and realizations	— Covered in objective 1	— See by objective 1
	5. How does IDH's role and measurable results in the respective <b>programs</b> differ throughout the different phases of market transformation?		Evolution of output-level results through time compared to market	— <b>Program</b> level — Detailed in objective 3 & 4	— (BU) directors interviews & follow up — IDH annual plans & RMF data — IDH corporate measures (resources/program etc.)
Efficiency	6. Are IDH individual <b>Initiatives</b> expenditures proportional with results at output and outcome level?		Project resources; output and outcome-level realizations  Protocols, guidance documents	— <b>Initiative</b> level — See p. 11	— Pending (not clear yet level of granularity in IDH available data) — IDH to provide financial/input data









## Operationalization of the OECD/DAC research questions (IV/V)

Criteria	Re-phrased questions	Specification	Data requirements	Scope of the assessment	Data collection
Impact	7. Within a given <b>PoC</b> change logic flows from sector governance to the field level; do changes of sector governance lead to field level changes on behavior and wellbeing of individual producers/workers and/or prevention of environmental degradation of production areas?	<ul style="list-style-type: none"> <li>At the level the PoC, how are the intended field level changes on behavior and wellbeing of individual producers/workers and/or prevention of environmental degradation production areas defined upfront?</li> <li>How is the impact of the intervention on these field level changes monitored over the course of the project/initiative?</li> </ul>	Assessment of changes at sector governance, business practice and field levels; assessment of causal linkage between these	<ul style="list-style-type: none"> <li>Program governance</li> <li>Partly covered in objective 1</li> <li>Additional deep dive on <b>subset</b></li> </ul>	<ul style="list-style-type: none"> <li>Questionnaire IDH program directors/managers of PoCs in subset</li> <li>Note: if change in field level behavior is not measured by IDH, we can't assess this</li> <li>Interviews external stakeholders/experts</li> </ul>
Sustainability	8. Within each proven business cases of private sector players, is there a business case for individual producers?	<ul style="list-style-type: none"> <li>At the level of the PoC is the business case for the individual farmer addressed?</li> <li>Is this business case within the context of the PoC evaluated as viable?</li> </ul>	identification of private sector business cases; identification of farmer business case; enablers and obstacles to profitability at individual level	- PoCs with relevant field level component	<ul style="list-style-type: none"> <li>IDH data room</li> <li>Third party research reports</li> </ul>
	9. How do IDH <b>initiatives</b> safeguard power balance between producers and service deliverers? Are farmers interests well represented in IDH's programming at the field level?	<ul style="list-style-type: none"> <li>At the level of the PoC, how is the power balance identified and described?</li> <li>How are the farmers interests represented in the project/initiative on field level?</li> </ul>	Assessment of specific needs of producers and consideration of these in program design and implementation	<ul style="list-style-type: none"> <li>Program governance</li> <li>Deep dive on <b>subset</b></li> </ul>	<ul style="list-style-type: none"> <li>Questionnaire IDH program directors/managers of PoCs in subset</li> <li>Interviews external stakeholders/experts</li> </ul>
	10. To what extent are the outcomes and impact of IDH's interventions expected to continue after project completion? ( <b>initiative level</b> )	<ul style="list-style-type: none"> <li>Is there a clear definition of a self-sustaining model defined for the project/initiative?</li> </ul>	Sustainability of business cases for providers and producers	<ul style="list-style-type: none"> <li>Partly covered in objective 1</li> <li>Additional deep dive on <b>subset</b></li> </ul>	<ul style="list-style-type: none"> <li>Questionnaire IDH program directors/managers of PoCs in subset</li> <li>Interviews external stakeholders/experts</li> </ul>

## Operationalization of the OECD/DAC research questions (V/V)

Criteria	Re-phrased questions	Specification	Data requirements	Scope of the assessment	Data collection	
Lessons learned	11. How has IDH developed its corporate reporting in response to the Mid-term Review (PEMconsult, 2018) and Mid-term Evaluation (KPMG 2019)?	<ul style="list-style-type: none"> <li>What is the action plan as a response to the mid-term review and mid-term evaluation findings?</li> </ul>	Evolution of reporting framework	<ul style="list-style-type: none"> <li>Corporate level</li> </ul>	<ul style="list-style-type: none"> <li>Document review; documents to be provided by M&amp;E team</li> <li>Interview M&amp;E team</li> </ul>	
	12. How has IDH developed its data strategy to prove and validate key RMF statistics?	<ul style="list-style-type: none"> <li>What processes are put in place for the collection of RMF data?</li> <li>Which risks are identified and which controls are in place to mitigate the risks to safeguard the quality of the RMF data (e.g. four eye principle, third-party evidence).</li> </ul>	Evolution in quality and scope of monitoring data	<ul style="list-style-type: none"> <li>Corporate level</li> </ul>	<ul style="list-style-type: none"> <li>Document review; documents to be provided by M&amp;E team</li> <li>Interview M&amp;E team</li> </ul>	
	13. Within a given <b>initiative</b> , is the pre-established TOC confirmed by program results or not? Is there an alternative hypothesis in question?			Synthesis of findings on causal pathways considered in the ToC	<ul style="list-style-type: none"> <li>Covered in objective 1</li> </ul>	<ul style="list-style-type: none"> <li>See objective 1</li> </ul>
	14. What are the lessons learned from the evaluation to improve the performance of future IDH interventions?	<ul style="list-style-type: none"> <li>How are learnings identified, documented and applied over the course of the intervention/project?</li> <li>How are lessons learned incorporated in the development of new IDH interventions?</li> </ul>			Sub-set and full program	<ul style="list-style-type: none"> <li>Questionnaire IDH program directors/managers of PoCs in subset</li> <li>See objective 3</li> </ul>

## Description projects included for an in-depth assessment in the corporate evaluation

Theme	Program	PoC/project	Description
	Fresh & Ingredients (SIFAV)	Next Steps in Sustainability- Measuring Impact and Testing Living Wage ("Fyffes")	IDH worked with Fyffes, Rainforest Alliance and other partners to advance the payment of living wages in the banana sectors in Costa Rica and Belize. Specifically, they sought to research benchmarks, understand the living wage gaps and work with participating farms to develop monitoring tools and pilot strategies and plans for improving worker compensation. IDH co-funded this program, which has now concluded.
	Market Ends	Palm oil	To achieve the goal of 100% sustainable palm oil in Europe by 2020 (palm oil that is traceable to plantation level, with mill level as an intermediate step), IDH is focusing on the largest European offtake markets that have not yet made this commitment, such as Spain and Poland. The initiative focuses on the private sector in Europe (Denmark, France, Germany, the Netherlands, Norway and the UK), but ultimate beneficiaries are palm oil producers in South-east Asia (e.g. Malaysia and Indonesia). On one side, IDH works with national platforms, whereas on the other design and execute the landscapes work (SourceUp) to ensure alignment between the sector and field levels.
	Cocoa	Cocoa & Forest Initiative	In the Cocoa & Forests Initiative (CFI), IDH works with the World Cocoa Foundation and its members, The Prince of Wales's International Sustainability Unit and the local governments to end deforestation and promote forest restoration linked to cocoa growing.
	Fresh & Ingredients (FSI)	Empower the Source (EHPEA)	When looking for a way to work on gender equality, IDH and the Floriculture Sustainability Initiative (FSI) came across BSR and their cooperation with the Ethiopian Horticulture Producer Exporters Association (EHPEA). Together, they set up this initiative with a focus on female workers in the flower sectors in Ethiopia. Their aim was to increase access to general and reproductive healthcare, increase participation in decision making and strengthen worker agency. In parallel, the initiative was used as a tool to further improve social standards used by the FSI members.
	Cotton	Securing Smallholder Livelihoods in Rainfed Maharashtra	IDH partnered with Watershed Organisation Trust (WOTR) to improve water access in Maharashtra, India. The initiative had three areas: access to water, improving water management and increasing smallholder climate resilience. IDH co-funded this initiative, which has now concluded.
	Coffee	Coffee Vietnam (SDM)	IDH worked with numerous partners (e.g. NKG, Ecom, Nedcoffee, Simexco, Nespresso, Olam, Volcafe) to support coffee farmers on sustainable water and agrochemical use. Specifically, IDH supported Service Delivery Model (SDM) analyses to model the economic viability of different delivery systems to optimize input use and increase adoption of irrigation systems with farmers. The focus areas were: reduced water used, affordable and efficient irrigation solutions, improved policies on water reduction, and responsible agro-input use through building service delivery of reliable inputs in combination with soil testing.

## Scoring on quality of evidence

The following scoring was applied to the documents retrieved through IDH's data room. The quality score was documented in the assessment framework together with the actual assessment on content of the document

QUALITY OF EVIDENCE				
Quality of the Source	Risk of Bias	Counterfactual	Research over time	SCORE
<p>1 IDH documents of data sourced internally, learning and communication products. For example, IDH internal newsletters or videos, IDH planning or positioning documents. This excludes documents sourced from IP reports</p> <p>2 IDH documents of data sourced externally from parties of program interests. For example, IP and multi-stakeholder platform or coalition documents and reports, RMF data, minutes of multi-stakeholder meetings</p> <p>3 Program-level legal agreement (contracting) documents and public sourced data. For example, IDH or IP budget sheet, co-funding agreement, MoU, satellite images, policy documents such as a state decree recognizing a governance platform, a policy or regulation document on labor rights, procurement, or payment for ecosystem services</p> <p>4= Case studies and impact evaluations conducted by independent, third parties using secondary data. The case studies and impact evaluations in this category did not include primary data to triangulate or verify information. For example, evaluation reports using Outcome Harvesting or Process Tracing methodologies without independent primary data stream.</p> <p>5= Case studies and impact evaluations conducted by independent, third parties using both primary and secondary data. For example, impact evaluation that adopted measures to minimize reporting bias</p>	<p>1 = written by IDH   written by Implementation partner</p> <p>2 = written by IDH donor</p> <p>3 = independently produced by third-party evaluator</p>	<p>0 = no counterfactual</p> <p>5 = counterfactual</p>	<p>0 = baseline data not collected</p> <p>5 = baseline data and end line data collected</p>	<p>Maximum score = 18</p>

## Methodology sector survey & summary of results (I/II)

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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 mid-term, 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. For the questions where a positive change was identified in step 1, in case more than 50% of the respondents attributed the positive change to the efforts of IDH (much or very much contribution vs. not at all, a little or somewhat contribution), the change was contributed to IDH (so the respective step in the survey sector dashboard becomes green).

The sector survey has been performed in the baseline, mid-term and endline evaluation. However, over the course of time the questions and respondents have changed due to the nature of IDHs activities. This implies that the answers to the sector survey conducted at three different moments can not be compared and the results from the sector survey do not allow to explain how IDHs contribution has changed over time.

# Methodology sector survey & summary of results (II/II)

## Summary of statistics

### Sector survey yielded a response rate of 26%

IDH provided KPMG with a list of possible respondents. In September 2020, 428 people from that list were invited to participate in the survey. The response rate of the sector survey was 36%/156 respondents of which started the survey, whereas 102 respondents completed the survey. We decided to process all answers to base our analysis on the largest set of data available. In the mid-term report survey, the response rate was 26,4% (or 158 out of 599 invited) and in the baseline sector survey, the response rate was 37% (or 230 out of 622 invited). However, with 36% the end line sector survey still scored above industry standard (~20%).

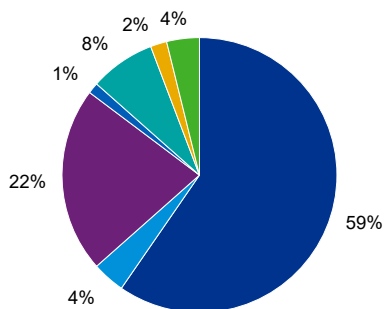
### Fresh & Ingredients was the most prominent program among respondents

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

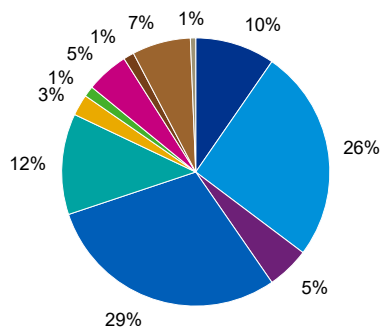
Out of 156 respondents, 94 (59%) indicated that their organizations were from the private sector. The share of private sector respondents in the baseline was less, at 45%. The increase in the share of private sector respondents can be explained by decreasing number of respondents from all other categories, while the actual number of respondents from the private sector did not change much (was 103, now 94).

Share of respondents per organization (N = 156)



- Private sector
- NGO / Civil society
- Research institutions
- Other
- Financial sector
- Donor
- Government

Share of respondents per program (N = 156)



- Apparel
- Cocoa
- Soy
- Tea
- F&I
- Cotton
- Other
- Landscapes
- Coffee
- Palm oil
- Timber

## Methodology interviews & overview interviewees

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

For each theme, KPMG selected 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:






- 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;
- the main positive and negative factors influencing these changes and processes and in what way other parties contributed;
- what other effects the role of IDH has, beyond the statements/impact logic;
- whether expected changes due to IDH action are to continue/remain over time; interviewees were asked about evidence that supports their expectation;
- 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.

A total of 62 interviews has been conducted. In addition for each impact theme an expert was consulted. In the program level assessments we refer to interviewee as source through a code. Each interviewee has a number but we anonymized our findings. E.g. the code I9 refers to interview number 9. the interview report was approved by the interviewee.

Where applicable expert views were included in the program level assessment with reference to the expert interview. See table on the right for the key.

Theme		Number of interviewees				
		Private sector	CSO/Standard setting organization	Implementing partner	Knowledge partner	Co-funder
	Smallholder	21	3	2	1	2
	Mitigation of deforestation	5	8	1	1	0
	Gender equality and empowerment	2	2	1	0	0
	Responsible agrochemical management (RAM)	7	1	1	1	0
	Living wage and working conditions	13	6	1	2	0

**Key:** E11: Smallholder Inclusion (A. Guarin)  
 E12: Mitigation of Deforestation (E. Arets)  
 E13: Gender Equality and Empowerment (A. Laven)  
 E14: Responsible Agromechanical Management (G. Matthews)  
 E15: Living Wage and Working Conditions (M. Alford)

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# IV IDH data - room

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-  P.26 IC Materials Checklist
-  P.27 IDH\_Gender Tool
-  P.28 Investment Committee Process Chart
-  P.29 Template Investment & Findings Note
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-  P.56 IDH Farmfit Fund - Pipeline overview (w IDH connections)
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V RMF  
indicators - %  
achieved

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## Achievement for period 2016-2020 of IDH targets for sector programs (I/II) (source: IDH Annual Report 2020)

Achievement for period 2016-2020 of IDH targets for sector programs						
Commodity	KPI code	KPI name	denominator	Cumulative target 16-20	Cumulative result 16-20	% achieved
<b>Apparel</b>	RA1.Output4	Business cases	No.	10	11	100%
	RA1.Outcome3	IDH participation in platforms	No.	4	5	100%
	RA2.Outcome4	Changes at policy/regulatory level	No.	4	6	100%
	RA3.Output2	People reached by SD	No.	150.000	580.463	100%
	RA3.Output4	Trainers/auditors/government staff trained	No.	100	560	100%
	RA3.Outcome3	Sustainable production practices and social standards at processing facilities	No.	220	383	100%
<b>Aquaculture</b>	RA3.Output1	People trained	No.	30.000	30.783	103%
	RA3.Output5	Volume produced	MT	400.000	408.735	102%
	RA3.Outcome1	Improved practices adoption rate	%	50%	62%	62%
	RA3.Outcome2	Trained practices applied	Hectares	25.000	36.069	144%
<b>Cassava</b>	RA1.Outcome3	IDH participation in platforms	No.	3	2	67%
<b>Cocoa</b>	RA1.Output4	Business cases	No.	7	14	200%
	RA2.Outcome4	Changes at policy/regulatory level	No.	2	5	250%
	RA3.Output2	People reached by SD	No.	150.000	548.113	365%
<b>Coffee</b>	RA1.Output3	Market share program partners	%	Roasters: 30% Traders: 50%	Roasters: 35% Traders: 40%	Roasters: 100% Traders: 80%
	RA1.Output4	Business cases	No.	6	12	200%
	RA2.Outcome4	Changes at policy/regulatory level	No.	5	10	200%
	RA3.Output1	People trained	No.	105.000	171.767	164%
	RA3.Output2	People reached by SD	No.	80.000	112.036	140%
	RA3.Output4	Trainers/auditors/government staff trained	No.	1.000	2.153	215%
	RA3.Output6	Infrastructure developments	No.	150	317	211%

## Achievement for period 2016-2020 of IDH targets for sector programs (I/II) (source: IDH Annual Report 2020)

Achievement for period 2016-2020 of IDH targets for sector programs						
Commodity	KPI code	KPI name	denominator	Cumulative target 16-20	Cumulative result 16-20	Score
<b>Cotton</b>	RA1.Output1	Private sector investments	EUR	54.800.342	61.172.456	112%
	RA1.Output4	Business cases	No.	2	2	100%
	RA3.Output1	People trained	No.	3.500.000	2.757.989	79%
	RA3.Output5	Volume produced	MT	22.600.000	24.270.557	107%
<b>F&amp;I</b>	RA1.Output4	Business cases	No.	12	27	225%
	RA1.Outcome3	IDH participation in platforms	No.	15	22	147%
	RA3.Output1	People trained	No.	100.000	100.000	100%
	RA3.Outcome2	Trained practices applied	Hectares	40.000	40.000	100%
<b>Palm oil</b>	RA1.Outcome2	Rate of sustainable production	%	85%	86%	86%
	RA2.Outcome4	Changes at policy/regulatory level	No.	5	3	80%
<b>Soy</b>	RA1.Outcome2	Rate of sustainable production	%	35%	38%	100%
	RA2.Outcome3	Sustainable commodity production	No.	1	1	100%
	RA2.Outcome4	Changes at policy/regulatory level	No.	5	4	80%
<b>Tea</b>	RA1.Output3	Market share program partners	%	30%	30%	100%
	RA1.Output4	Business cases	No.	10	12	120%
	RA1.Outcome2	Rate of sustainable production	%	40%	56%	139%
	RA1.Outcome3	IDH participation in platforms	No.	3	5	167%
	RA2.Outcome4	Changes at policy/regulatory level	No.	4	7	175%
	RA3.Output1	People trained	No.	340.000	767.668	226%
<b>Timber</b>	RA1.Outcome2	Rate of sustainable production	%	40%	28% for primary products 33% for secondary products	75%
	RA2.Outcome3	Sustainable commodity production	No.	2	2	100%
	RA3.Outcome4	Hectares where protection and restoration interventions are implemented	Hectares	2.000.400	1.696.303	85%

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VI Framework  
expert  
consultation  
and summary  
final  
consultation

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## Framework expert validation end of program evaluation (I/II)

### Selection of experts

We built on the experts engaged in the mid-term evaluation for the theme expert panel. Two experts, Y. Waarts (smallholder) and P. Belser (LW&WC) were not available. KPMG had proposed alternatives, and IDH came with approved suggestions. Suggestions IDH where followed up (A. Guarin – smallholder and M. Alford – LW&WC). Explicitly for the methodological experts advice of the Impact Committee through IDH was requested. Based on this K. Maas was contacted. KPMG proposed B. de Steenhuijsen Piters which was approved by IDH. A. Otgaar was added on request of IDH. Contracting (not applicable to A. Otgaar) only took place after consultation IDH, who had consulted the Impact Committee.

	Theme Expert Panel	Methodological Expert Panel
	Dr Alejandro Guarin (IIED) - Smallholder Inclusion Dr Eric Arets (Wageningen Environmental Research) – Mitigation of Deforestation Dr Anna Laven (Rokit Science, KIT) – Gender equality Emeritus Professor Graham Matthews (Imperial College London) – RAM Dr Matthew Alford (University of Manchester) – Living Wage and Working Conditions	Prof Dr Karen Maas (Impact Centre Erasmus) Dr Bart de Steenhuijsen Piters (Wageningen Economic Research) Alexander Otgaar (IOB)
<b>Inception phase</b>	<p><b>Objective:</b></p> <ul style="list-style-type: none"> <li>— Collect theme specific input to strengthen the overall evaluation from program perspective (Objective 1)</li> <li>— Input will be incorporated in inception report</li> <li>— In final version of inception report we will address advices not feasible or conflicting with a short explanation if applicable</li> </ul> <p><b>Focus areas – in the context of the respective theme:</b></p> <ul style="list-style-type: none"> <li>— Feasibility and alternative hypotheses of the theme impact pathway where possible at the level of the individual programs</li> <li>— References to recent (2016-2020) research, secondary data sources (e.g. from satellite image, publicly sourced geo-demographic information or from literature) to research for verification and triangulation next to stakeholder consultation</li> <li>— Expected evidence IDH to disclose based on mid-term and recommendations?</li> <li>— Shortlist independent stakeholders to interview for verification and triangulation of claimed results</li> <li>— Methodological reflections to strengthen approach</li> </ul>	<p><b>Objective</b></p> <ul style="list-style-type: none"> <li>— Advice on methodological design and validation inception report, captured during a panel session.</li> <li>— Input was incorporated in inception report (methodology)</li> <li>— The final version was shared with the panel for validation</li> </ul> <p><b>Focus areas</b></p> <ul style="list-style-type: none"> <li>— The overall methodology and its refinements</li> <li>— Feasibility and alternative hypotheses of the theme impact pathway (organization level)</li> <li>— References to recent research, expected evidence, shortlist independent stakeholders</li> </ul>

## Framework expert validation end of program evaluation (II/II)

	Theme Expert Panel	Methodological Expert Panel
	<p>Dr Alejandro Guarin (IIED) - Smallholder Inclusion</p> <p>Dr Eric Arets (Wageningen Environmental Research) – Mitigation of Deforestation</p> <p>Dr Anna Laven (Rokit Science, KIT) – Gender equality</p> <p>Emeritus Professor Graham Matthews (Imperial College London) – RAM</p> <p>Dr Matthew Alford (University of Manchester) – Living Wage and Working Conditions</p>	<p>Prof Dr Karen Maas (Impact Centre Erasmus)</p> <p>Dr Bart de Steenhuijsen Piters (Wageningen Economic Research)</p> <p>Alexander Otgaar (IOB)</p>
<b>Validation of results</b>	<p><b>Objective:</b></p> <ul style="list-style-type: none"> <li>— Validation of conclusions for the respective impact theme</li> </ul> <p>Based on information shared</p> <ul style="list-style-type: none"> <li>— Relevant chapter draft-report (impact theme) and chapter 'overall insights',</li> <li>— Relevant assessment framework that includes assessment of IDH evidence, sector survey and interviews, including our interpretation/weighting of different sources,</li> <li>— Evidence that was used in the assessment shared on request of the expert ,</li> <li>— Our interpretation/weighting of different sources</li> </ul> <p>The expert will reflect on this information and formulate a concise, written answer to the <b>key question:</b></p> <p>'To what extent can the expert support our conclusions'</p> <p>The expert's reflections are shared with regard to validity of our conclusions. They included a reflection on the following:</p> <ul style="list-style-type: none"> <li>— which gaps are inevitable and/or too complex and as such cannot be expected to be solved within the timeframe of the overall program evaluation?</li> </ul> <p>Based on the written feedback, we conduct a final interview for clarification and discussion. This may lead to adjustments of our overall conclusions at theme level. The final validation statement, based on our final conclusions, is included in the end of program report within the section of the respective theme.</p> <p>This round of validation only happened after the internal validation with IDH staff has taken place.</p>	<p><b>Objective:</b></p> <ul style="list-style-type: none"> <li>— Validation of conclusions – full report</li> </ul> <p>Based on information shared</p> <ul style="list-style-type: none"> <li>— Full draft end-of program evaluation report</li> <li>— Appendix 1 (program level assessments)</li> </ul> <p>The expert reflected on this information and formulate a concise, written answer to the <b>key question:</b></p> <p>'To what extent can the expert support our conclusions'</p> <p>They includes a reflection on the following:</p> <ul style="list-style-type: none"> <li>— which gaps are inevitable and/or too complex and as such cannot be expected to be solved within the timeframe of the overall program evaluation?</li> </ul> <p>We organized a panel discussion for clarification and further discussion. Based on this, we made some adjustments. In the table on the next page we make reference to the pages of this final report, to indicate pages with adjustments. In a last round of consultation this final version of the report was shared for consent</p> <p>These rounds of validation only happened after the internal validation with IDH staff has taken place.</p>



## Summary expert consultation

	Topic	Take aways	page
1	General reflections (report)	<ul style="list-style-type: none"> <li>— Overall we find this an interesting, complete report that presents a lot of information – with many valuable insights for IDH to leverage on. The report uses a creative, but also somewhat unconventional, way to synthesize and present this.</li> <li>— It is a comprehensive report describing in a structured way the findings of your study. The report is very informative and comprises a lot of info, but is also very technical. I would like to see an elaboration to the “so what” question related to the observations.</li> <li>— A lot of work done, don’t think I could have done a much better job. The overall quality of evidence available concerns me and to my opinion there is a potential undervaluing of other contributors to observed results and a bias towards positive conclusions.</li> </ul>	
2	Methodology/ triangulation	<ul style="list-style-type: none"> <li>— Expand the methodology section and explain better how triangulation stepwise has been applied</li> <li>— Ensure the methodology section covers all applied methods</li> <li>— Explain data-gap (mentioned in chapter 2, “assessment per impact theme”) better</li> </ul>	p. 28-36
3	Quality of evidence	<ul style="list-style-type: none"> <li>— Elaborate this section (under limitations – chapter 2) to better explain how the available quality of evidence was handled and how this influenced the presented conclusions</li> </ul>	p. 36
4	Control of Bias	<ul style="list-style-type: none"> <li>— Balance (some) topline conclusions to reflect the underlying, often sharp and critical observations better</li> <li>— No need to differentiate conclusions to stakeholder groups; we observed that it is not a given that interviewees/respondents with an interest in IDH would hold a more positive opinion. Safeguarding confidentially made people speak up</li> </ul>	p. 37-98
5	Scope of evaluation/Proof of Concept	<ul style="list-style-type: none"> <li>— Add a short introduction to IDH’s work, their approach and the landscape they operate in. Include the role of other contributors. Acknowledge others in context of achievements IDH contributed to across the report.</li> <li>— Explain “Proof of Concept” better early in the report (chapter 1) and include the full overview in scope of the evaluation earlier in the report (now in appendix at program level)</li> <li>— Include summary of the above in the executive summary</li> </ul>	p. 21-27 p. 21-27 p. 6-9
6	Cost-effectiveness/ efficiency	<ul style="list-style-type: none"> <li>— Address IDH’s efficiency in broader context through including a paragraph (in section Efficiency) referencing to achieved KPIs (IDH – AR/see also annex V of the draft report) and explain the limitations with regard to outreach numbers better (e.g number of farmers reached. Make sure the role of other contributors is included here as well.</li> <li>— Comment explicitly on cost/benefit question</li> <li>— Be more explicit on observed replicability and scaling in the light of evaluated PoCs</li> </ul>	p. 81-82 p. 81-82 p. 19
7	Acknowledgement of other contributors	<ul style="list-style-type: none"> <li>— Addressed under 5 and 6</li> </ul>	
8	Investment share	<ul style="list-style-type: none"> <li>— No further actions</li> </ul>	
9	Report Structure	<ul style="list-style-type: none"> <li>— (see also 5) Include introduction to IDH in report and exec sum</li> <li>— Extend the introduction chapter 3 and 5 to help the reader understand what (s)he can expect.</li> <li>— Add explanation to tables in chapter 3</li> <li>— Include high level conclusions (not only recommendations)</li> <li>— Bring executive summary in line with the above</li> </ul>	p. 6-9 p. 4;38;62;114 p.62 p.19 p. 6-20
10	Overall takeaways	<ul style="list-style-type: none"> <li>— IDH is a very large and influential player in the landscape, and has shown the ability to both accelerate existing initiatives as well design solutions from scratch. The actual impact measured is limited and maybe given time frame more also not always feasible. Nevertheless IDH made large impact promises upfront. They should be more transparent on this – and realistic towards the future.</li> <li>— IDH as incubator versus being the transformer of a complete value chain: this is a strategic choice; role will define future research agenda. Actual sector transformations achieved over the current timeframe not so clear yet.</li> <li>— More attention needs to be given to the quality of measurement to allow for more far-reaching conclusions either what choice will be made.</li> </ul>	p. 19-20

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# VII Limitations and disclaimer

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## Limitations and disclaimer

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The terms and conditions of the agreement under which this report has been drawn are exclusively governed by Dutch law, and the court in the district within which the office is situated has exclusive jurisdiction with respect to any disputes arising under or in connection with that agreement.

### 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.

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