



Evaluation Design Report

Cocoa Performance Evaluation - Phase 2

MCC Indonesia Green Prosperity Project

Sustainable Cocoa Partnership Grants Performance

Evaluation

August 2019

This report was prepared independently by Social Impact, Inc. at the request of MCC.

EVALUATION DESIGN REPORT

COCOA PERFORMANCE EVALUATION – PHASE 2

MCC Indonesia Green Prosperity Project

Sustainable Cocoa Partnership Grants Performance
Evaluation

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Submitted to:

Millennium Challenge Corporation

875 Fifteenth Street, NW

Washington, DC 20005-2221

Contracting Officer's Representative: Vivian Agbegha

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Submitted by:

Social Impact, Inc.

2300 Clarendon Blvd., Suite 1000

Arlington, VA 22201

703.465.1884

www.socialimpact.com

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LIST OF ACRONYMS

AMARTA	Agribusiness and Market Support Activity
BAPPEDA	Regional Planning and Development Agency (<i>Badan Perencanaan Pembangunan Daerah</i>)
BRI	Bank Rakyat Indonesia
CBA	Cost Benefit Analysis
CPB	Cocoa Pod Borer
CR	Cocoa Revolution
CSP	Cocoa Sustainability Partnership
EDM	Evaluation Design Matrix
EDR	Evaluation Design Report
EKN	Embassy of the Kingdom of the Netherlands
ENT	East Nusa Tenggara
ERR	Economic Rate of Return
EQSI	Economic, Quality and Sustainability Improvement
EQ	Evaluation Question
ET	Evaluation Team
EU	European Union
FGDs	Focus Group Discussions
FO	Farmer Organization
FOB	Freight on Board
GAP	Good Agricultural Practice
GBP	Good Business Practice
GEP	Good Environmental Practice
GERNAS	National Movement to Increase the Production and Quality of Cacao (<i>Gerakan Nasional Peningkatan Mutu dan Produksi Kakao</i>)
GHG	Greenhouse Gas
GSP	Good Social Practice
GP	Green Prosperity
GOI	Government of Indonesia
HTR	People Plantation (<i>Hutan Tanaman Rakyat</i>)
ICCO	International Cocoa Organization
ICCRI	Indonesia Coffee and Cocoa Research Institute
IDH	Sustainable Trade Initiative
IFC	International Finance Corporation
IPDM	Integrated Pest and Diseases Management
IRB	Institutional Review Board
KIIS	Key Informant Interviews
LEMS	Community Economic Cooperative (<i>Lembaga Ekonomi Masyarakat Sejahtera</i>)
LOE	Level of Effort
M&E	Monitoring and Evaluation
MCA-I	Millennium Challenge Account-Indonesia
MCC	Millennium Challenge Corporation
MCDC	Mars Cocoa Development Centre
MIS	Management Information System
MSMEs	Micro, Small and Medium Enterprises

NGO	Non-Governmental Organization
NRM	Natural Resource Management
NTT	The Province of East Nusa Tenggara (<i>Nusa Tenggara Timur</i>)
P2WK	Plantation Development in Special Areas
PE	Performance Evaluation
PEKA	Peningkatan Ekonomi Kakao Aceh
PRIMA	Pest Reduction and Integrated Management
PRPTE	Rehabilitation and Expansion of Export Crops
SAN	Sustainable Agriculture Standards
SCPP	Sustainable Cocoa Production Program
SI	Social Impact
SME	Small and Medium Enterprise
SNI	Standard Nasional Indonesia
TOC	Theory of Change
TOT	Training of Trainers
VSD	Vascular Streak Dieback
WCF	World Cocoa Foundation

EXECUTIVE SUMMARY

This Evaluation Design Report (EDR) outlines the design and approach to implementation for the second phase of the performance evaluation (PE) of Sustainable Cocoa Partnership Grants funded under the Grant Facility of the Millennium Challenge Corporation's (MCC) Green Prosperity (GP) Project. The PE's primary purpose is to identify the project results (outputs and outcomes) and assess project implementation. This will enable MCC to capture lessons learned and inform future cocoa grant project design or similar value chain design under future Compacts. Phase 2 of the PE will be carried out by a four-person team, including a Team Leader, a Cocoa Sector Specialist, a Research Coordinator and a Junior Analyst, with fieldwork taking place over a four-week period in September- October 2019.

For ease of reference, the Executive Summary has been amended directly to reflect all the adjustments made to this Evaluation Design Report (EDR) for Phase 2. Throughout the body of the report, text remains from the Phase 1 EDR to preserve the original evaluation design, with highlighted text signaling an update to the Phase 1 design made for Phase 2. A full detail of all changes made to this Phase 2 report for each applicable section in the main body of the report is included in Annex 1: Evaluation Design Changes (Updated July 2019).

Following reforms by the Indonesian Government aimed at prioritizing natural resource conservation and economic development, MCC entered into a five-year, US \$600 million Compact with the Government of Indonesia (GOI) in April 2011, establishing the Millennium Challenge Account – Indonesia (MCA-I), which aimed to reduce poverty through economic growth. The GP Project, the flagship project of the Indonesia Compact with a budget of USD \$332 million, was designed to support the GOI's commitment to a more sustainable, less carbon-intensive future by promoting environmentally sustainable, low carbon economic growth. In July 2014, MCC launched a call for proposals to initiate a partnership to improve cocoa productivity and farmers' welfare under Window 1 of the GP Grant Facility. The Partnership Grant is made available for projects that leverage private sector or donor co-funding. The main objective of the Sustainable Cocoa Partnerships initiative was to support the development of a sustainable cocoa industry in Indonesia and improve smallholder incomes where both smallholders and processors benefit equitably. The MCC Compact closed on April 2, 2018.

The Indonesian cocoa industry is well positioned to contribute to the twin goals of poverty reduction and reduced greenhouse gas (GHG) emissions. As a source of livelihood for 1.7 million smallholders, and with a world cocoa deficit looming, there is potential for economic growth in Indonesia through increasing the country's global market share from its 2010 level of around 13%. Specifically, there is significant opportunity to increase productivity (which, for the last two decades has been undermined by heavy pest and disease burden) and even farmer income through replacing and improving genetic material, and agricultural intensification. In addition, the application of Good Environmental Practices (GEP), such as appropriate fertilizer dosing, organic soil enrichment processes (compost, mulching and use of beneficial shade trees), and resisting conversion of new forest land and focusing instead on improvements in the health of existing groves, can ensure that improvements in productivity also contribute to reduced GHG emissions. Moreover, a number of international cocoa buyers are willing to invest in supporting the livelihoods of cocoa farmers in the interests of obtaining a better quality and higher quantity of cocoa. These investments include certification and traceability schemes whereby farmers are paid a premium to

carry out good agricultural, environmental and social practices producing their cocoa under certification initiatives.

In both phases of the PE, Social Impact (SI) will evaluate three grants in the GP Cocoa Grant Portfolio. These include the following projects¹:

- **Green Prosperity Sustainable Cocoa Production Program (GP-SCPP)**, managed by Swisscontact, was a public-private partnership aimed at fostering productivity and profitability among Indonesian smallholder cocoa farmers by promoting sustainable access to agro-inputs, planting materials and knowledge and financial services, as well as establishing a platform for policy dialogue in the sector. GP-SCPP targeted fourteen districts in Sulawesi and East Nusa Tenggara (ENT), and since early 2017, four districts in West Sumatra and two districts in Gorontalo. (Grant value US \$11.5 million).
- **Cocoa Revolution (CR)**, managed by PT Olam and sustainability certification agency Rainforest Alliance was designed to foster sustainable high-yielding climate smart cocoa farms by providing training and other support for cocoa smallholder farmers including improving access to domestic and international markets and supporting value-added activities. CR targeted two districts in South and Southeast Sulawesi. (Grant value US \$4.28 million)
- **Economic, Quality and Sustainability Improvement (EQSI)**, managed by Yayasan Kalla working with PT *Kalla Kakao Industri* (Kalla Kakao) and *Lembaga Ekonomi Masyarakat Sejahtera* (LEMS) aimed to improve livelihoods for farmers and foster sustainable cocoa farming to achieve poverty reduction by providing training on improved farming practices, natural resource management (NRM) and cocoa fermentation methods. The project also supported reforestation and improvement of degraded land, promoted cocoa agroforestry systems and linked farmers with a new fermented cocoa market chain. EQSI targeted three districts in Southeast Sulawesi. (Grant value US \$1.98 million).

The purpose of the Cocoa Grant Portfolio PE is to understand the degree to which the grants under the GP Cocoa Window 1 grant portfolio met project- and portfolio-level objectives, to assess the extent to which results under the project were sustainable, and to generate learning for future engagement and investment in the cocoa sector. The first, mid-term phase of the PE (Phase 1), implemented in September 2017, identified immediate realized outputs and progress made to date by the three cocoa grants in training and knowledge, adoption of best practices in agriculture and farm management, improvements in product quality and marketability, and preliminary lessons learned. This final phase of the PE (Phase 2) will capture achievements and changes in cocoa grant outcomes over an extended period and seek to understand likely long-term effects after the grants have concluded. Informed by the results from Phase 1, Phase 2 of the PE will explore medium and long-term outcomes related to the following topics: 1) Theory of change (TOC); 2) Implementation approaches; 3) Management systems; and 4) Sustainability; as guided by the evaluation questions (EQs) below:

Table 1: Evaluation Questions

Guiding Evaluation Questions
1. Theory of Change To what extent were the TOCs valid in achieving the overall project objectives?

¹ Note the value of the grants in this list reflects MCC funding, exclusive of any matching or supplemental funding obtained by grantees from other sources.

Guiding Evaluation Questions

2. Implementation Approaches

To what extent have the GP cocoa grants' (Cocoa Revolution, GP-SCPP, and EQSI) approaches and activities proven successful in improving farmers' knowledge, attitudes, and practice of GAP/GEP?

3. Knowledge Management

How did the GP cocoa grantees monitor grant progress towards results and outcomes during implementation, and how did they use this information to manage project performance?

4. Sustainability

What results or outcomes of the GP cocoa grants are likely to be sustainable and scalable, and what results do not appear to be sustainable and scalable?

For EQs 1 and 2, Phase 2 will look in particular at the activities conducted under each of the grants (including good agricultural and environmental practices, finance and agribusiness, tree planting, nurseries and demonstration plots, third-party certification and traceability) and the efficacy and relevance of these approaches, separately and in combination with the others under the portfolio, especially relating to the existing context and geographic location of implementation sites. The ET will also review practices relating to behavioral changes and outcomes and factors affecting adoption of practices. For EQ 3, the ET will pay particular attention to the M&E systems implemented by each grantee and the outputs of these systems, in particular the use of data for decision making and the long-term use of data generated under the GP cocoa grants portfolio. EQ 4 will require close consultation with industry partners and other key stakeholders, with a careful review of key outcomes, activities, and behaviors (e.g. planting of shade trees) that are likely to be sustained, as well as identifying any external factors affecting the long-term success of cocoa in Indonesia.

Performance Evaluation Methodology

According to the definitions outlined in the MCC M&E Policy, this study constitutes an independent "performance evaluation"—meaning that it seeks to answer descriptive questions, commenting where possible on program impacts without attributing estimated impacts to the intervention evaluated. The performance evaluation methodology outlined in this report and attached annexes maps primary and secondary data collection techniques onto entities with a full view of project implementation, results, and potential sustainability and triangulates findings across these various activities and entities in search of consistent, descriptive responses to the evaluation questions.

The data collection techniques of Phase 2 of the PE will have qualitative and quantitative elements, including analysis of project documents and beneficiary databases, Key Informant Interviews (KIIs) with all stakeholder groups associated with the grants, Focus Group Discussions (FGDs) with beneficiary farmers (sex-disaggregated), and a mini survey of farmers in the target areas. The ET will also conduct site visits to undertake direct observations of farming practices such as land and fertilizer use, input and marketing systems, and gender integration.

The sampling strategy for Phase 2 has purposive and random elements. KIIs will be held with representatives of the following stakeholder groups: grant management, private sector partners, government agencies, as well as value chain intermediaries (e.g. agro-input suppliers, buyers, traders, and processors), and local community leaders in Jakarta (Java), Sulawesi, and East Nusa Tenggara (ENT). These representatives will be selected purposively based on the relevance of their role and expertise to the grants and subject matters investigated by the PE. FGDs will be conducted with beneficiaries in districts that have a high proportion of overall grant beneficiaries

including West Sulawesi and ENT (for SCPP), South and Southeast Sulawesi (for SCPP and CR), and South and South East Sulawesi (for EQSI). Sampling will entail purposively selecting two districts for EQSI and CR based on stakeholder and travel accessibility and six for SCPP. Within each district (for a single grant), two sub-districts that include a high number of beneficiaries will be purposively selected based on location. Within each selected sub-district, one farmer group will be chosen randomly for FGDs, which will be split into one male and one female group. Primary and secondary quantitative data collection will include a mini-survey with beneficiary farmers, final data from grantee MIS databases, final pod counting or other yield measurement data from grantees, and economic reports on regional quarterly or yearly crop output (such as the Global Yield Gap Atlas).

Data collected through qualitative methods (KIs, FGDs, project reports) will be triangulated with direct observations, MIS, and mini-survey data. Content analysis, trend analysis, and gender analysis will be applied to analyze findings and determine correlations and disaggregated by grant, location, age, and sex in order to draw reliable conclusions and lessons learned.

1 INTRODUCTION & BACKGROUND

1.1 Country Context

In 2012, the International Cocoa Organization (ICCO) predicted that by 2020 world cocoa production would reach 3.99 million tons and consumption would reach 3.993 million tons.¹ In the same year, the organization predicted that world production was likely to decline by 8.1% annually whereas consumption would increase by 0.4% annually.² According to ICCO, in 2010 Indonesia's global market share was 13.6%, only surpassed by Ghana which supplies 20.2% and Ivory Coast, which supplies 38.3%.³ Given these world market conditions, there is potential for Indonesia to increase its market share. However, the Indonesian cocoa industry is currently plagued by problems which hinder production expansion.

Cocoa production began in Indonesia in 1980, spurred by high cocoa prices and a sharp reduction in output from Ivory Coast and Dominican Republic. Currently, more than 60% of national cocoa production comes from the Sulawesi region, with South, Southeast, West and Central Sulawesi being the major cocoa producing regions. Historically, the adoption of cocoa farming in the region was economically driven with minimal intervention from the government. Informal networks between local traders and *Bugis* farmers supported the adoption of cocoa.⁴ The local traders brought farming knowledge and cocoa seedlings obtained from Sarawak plantations (Malaysia). Over time more farmers were drawn into cocoa farming until it became one of the top export products from the Sulawesi regions.⁵

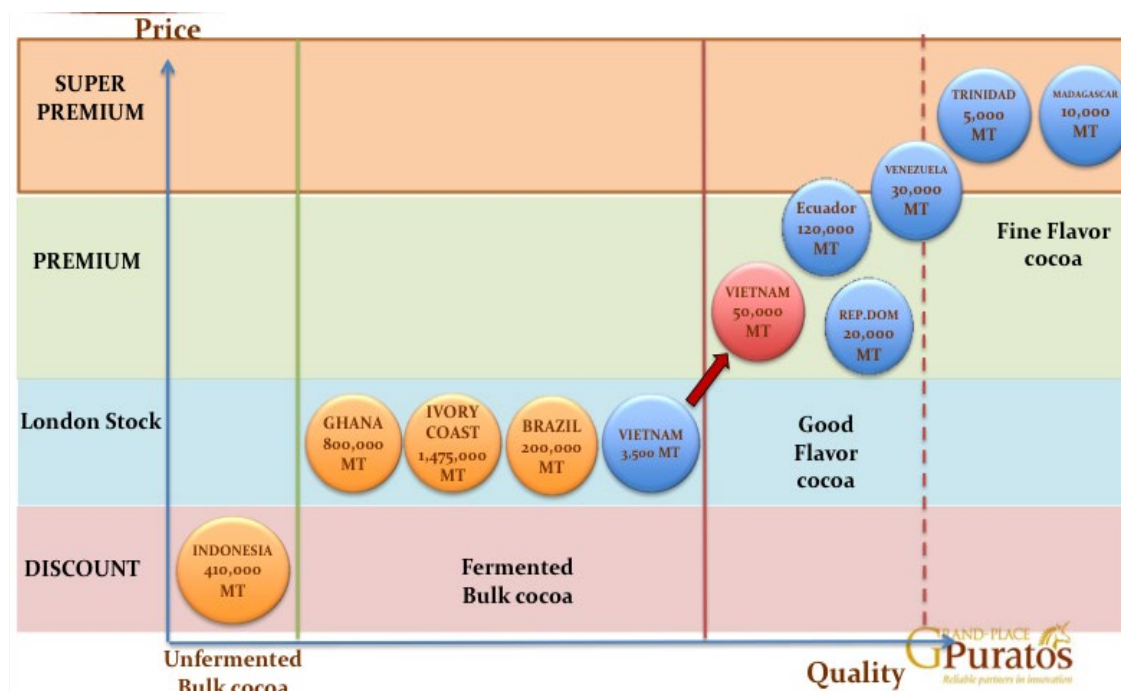
Policy and other conditions resulted in a high concentration of smallholder ownership with more than 90% cocoa in Sulawesi produced by smallholders.⁶ This means that growth and contraction in the industry has a strong relationship with changes in poverty levels. In the years following expansion of cocoa farms, yields were high due to high rainfall and other factors, but by the late 1990s, cocoa plants in Sulawesi were suffering from pests and diseases resulting in declining quality and yields.⁷ The most devastating pest is the Cocoa Pod Borer (CPB) which can be responsible for losses of 40-80% of crops depending on the action that farmers take in response to an outbreak.⁸ In addition to destroying crops, CPB leads to undeveloped, flat and 'clumpy' beans of poor consistency.⁹ Other diseases include the *Phytophthora Palmivora* and vascular streak dieback (VSD) diseases.¹⁰ A high disease burden has contributed to an ongoing decline in national cocoa output. Another key factor is the propensity of farmers to switch to growing different crops such as palm oil and rubber when they assess that their prospects will improve by doing so. Productivity has dwindled from 900 kg/ha in 1998 to 440 kg/ha in 2017.¹¹

To reverse the decline in cocoa production there is a need for a shift in the approach taken by smallholders to cocoa farming. Previously cocoa farming was based on expansion into new areas and farmers took a passive approach to cocoa farming. However, ongoing land expansion, particularly into forested land is untenable due to the environmental effects of biodiversity loss, soil erosion and carbon emissions. What is needed is a shift to intensification and improved practices whereby farmers become more active in managing their plantations by employing strategies such as appropriate silvicultural practices, pest and disease management, and replacement of old stock with high quality genetic material. In addition to daily trips to the cocoa farm for pruning and sanitation, this involves more active management of finances to purchase high quality inputs such as planting material and fertilizer. Farmers can also help the environment while improving their income with practices like agroforestry, intercropping, and appropriate fertilizer dosing.¹²

In addition to being closely linked to poverty reduction, cocoa farming can also play a role in NRM and either increasing or reducing GHGs. In order to play a positive role in environmental sustainability and reducing GHGs, cocoa farming in Indonesia should be based on: (i) intensification and diversification rather than expansion into new areas, (ii) appropriate dosing of agro-inputs to prevent hazardous overuse, negative environmental impacts, and increased GHGs, (iii) promoting organic soil enrichment processes (compost, mulching and beneficial shade trees), and (iv) working alongside other programs aimed at promoting the preservation of forest areas and nature reserves.¹³

Farmers may lack the knowledge and resources and therefore require support to shift from an expansionist to intensified cocoa farming approach. This has been the focus of government and development partner interventions in the Indonesian cocoa sector as detailed under Annex 2: Public and Private Intervention on Indonesian Cocoa Sector. Until recently, the Indonesian cocoa market has been relatively liberalized. There are no price controls as there are in West Africa. In 1996, the GoI allowed foreign companies to purchase cocoa directly from farmers, and the free trade regime in Indonesia created a competitive environment and low marketing and distribution margins. The world cocoa price has traditionally been highly correlated with the freight on board (FOB) price at Ujung Pandang (Sulawesi's major port), indicating that the system is transparent and pricing is relatively competitive.¹⁴ A study in 1995 found that cocoa farmers in South Sulawesi received 90% of FOB prices (for some crops, such as cassava, farmers receive only 18% of the FOB price). This is despite the presence of many middlemen (*tengkulak*) along the cocoa chain from farm-gate to export.¹⁵

Cocoa from Sulawesi is sold for a discount price on the world market due to the low bean quality and consistency caused by high pest and disease levels.¹⁶ In addition, the majority of cocoa beans produced in Indonesia are unfermented.¹⁷ Indonesia has a very specific profile in the world market. Most of the West African cocoa is fermented, has higher cocoa butter content, and therefore can be sold into higher value markets. Essentially, all cocoa beans sold into the European Union (EU) for chocolate manufacturing are West African. Indonesian cocoa's primary market is in the US, where markets do not demand the same level of quality as in the EU. In many cases, US chocolate manufacturers will blend Indonesian non-fermented cocoa with West African fermented cocoa to reach the desired quality.¹⁸ Figure 1 shows Indonesia's position in the world market based on the low quality of its cocoa.

Figure 1: Indonesian Cocoa on the World Market


The issues facing smallholder cocoa farmers are complex and multifaceted. Each characteristic of the Indonesian cocoa industry presents opportunities and threats (See Table 2 below). Development partners intervening in the sector should have a good understanding of the full range of factors involved and work to maximize the opportunities and mitigate the threats. Given gaps in knowledge, evaluation plays a critical role in supporting development of the cocoa industry in a sustainable way.

Table 2: Opportunities and Threats in the Indonesian Cocoa Industry

Characteristic	Opportunity	Threat
High proportion of smallholders	Poorer community members can improve livelihoods	Difficult to coordinate, meet quality standards, and address challenges such as aging trees and pest and disease burden
Smallholders have taken a 'laid-back' approach to cocoa production which worked in early years (1980-90s) of the industry when trees were young, but this is failing now	Smallholders can shift to a professional farming approach based on improvement and active plantation management and increase incomes	Cocoa farming becomes unviable when farmers continue their 'laid-back' approach due to declining yields and quality because of pest and disease burden and aging trees
High pest and disease burden	Opportunity for smallholders to apply GAP and mitigate pests and diseases	If pests and diseases aren't addressed, crops and income can be eroded, farmers lose income and are more likely to shift to a different crop, reducing national cocoa output

Characteristic	Opportunity	Threat
Increases in cocoa production in recent decades based on expansion of land area rather than improvement	Farmers can shift to improvement through GAP and GEP and improve their income	Farmers may expand their cocoa plantations into new forest areas causing soil erosion, loss of bio-diversity and increased carbon emissions
Indonesian cocoa is sold at a discount price as bulk unfermented cocoa	A high proportion of the cocoa produced, even the poor quality can be sold, albeit at a lower price	Farmers receive a lower price for their cocoa
Relatively free market, lack of price controls, competitive trading environment	Indonesian farmers can obtain high proportion of FOB price	Indonesian farmers are subject to fluctuations in income
Export tax of 10% on raw cocoa beans imposed in 2010	As they require better quality Indonesian cocoa to process in-country, cocoa intermediaries are more motivated to work with farmers to improve the quality and processing of their cocoa resulting in higher prices for cocoa farmers. Therefore, farmers have a better chance of receiving support for GAP/GEP	Farmers put in extra effort to achieve more quality and implement more cocoa processes (fermentation) but the price signals are not there to reward them appropriately. Cocoa farmers lose market share from their discount beans due to a higher price of their exported raw beans after the export tax is applied
Certification and traceability systems exist for consumers concerned with the ethical and environmental impact of their purchases	Farmers can receive a premium for participating in certification systems and be supported to practice GAP and GEP which also increases their income	Farmers put in the extra effort to participate in certification but may find the payments received do not adequately compensate their efforts

1.2 Objectives of This Report

This report outlines the design and implementation approach for second phase of the performance evaluation of Sustainable Cocoa Partnership Grants funded under the Grant Facility of the Millennium Challenge Corporation's (MCC) Green Prosperity (GP) Project from planning through field data collection, analysis and reporting. The following sections include an overview of the Compact and the interventions to be evaluated, the evaluation design, and the administrative management for the undertaking.

The original text in the body of this report corresponds to the evaluation design report for Phase 1 of the PE, with minor changes to update verb tense and improve narrative flow. Where this text requires substantive updates for Phase 2 of the PE, standalone text referencing updates in Annex 1: Evaluation Design Changes (Updated July 2019) will be highlighted in yellow.

2 OVERVIEW OF COMPACT AND INTERVENTIONS

2.1 Overview of Project and Implementation

2.1.1 Project Description

To combat environmental degradation and alleviate rural poverty, the Millennium Challenge Corporation (MCC) entered into a five-year, USD \$600 million Compact with the Government of Indonesia (GOI) in April 2013, establishing the Millennium Challenge Account – Indonesia (MCA-I), which aims to reduce poverty through economic growth. The Green Prosperity (GP) Project, the flagship project of the Indonesia MCC Compact with a budget of USD \$332 million, is designed to support the GOI's commitment to a more sustainable, less carbon-intensive future by promoting environmentally sustainable, low carbon economic growth. The Indonesian Government has prioritized key reforms in natural resource conservation and economic development. In July 2014, MCC launched a call for proposals to initiate partnerships to improve cocoa productivity and farmers' welfare under Window 1- Partnership Grants of the GP grant making portfolio. The Partnership Grant is made available for projects that leverage private sector or donor co-funding. The main objective of the Sustainable Cocoa Partnerships initiative is to support the development of a sustainable cocoa industry in Indonesia and improve smallholder incomes where both smallholders and processors benefit equitably. Criteria for projects under the Sustainable Cocoa Partnership Grants included:

- i) Leveraging significant private sector resources and access to partner marketing channels to ensure Indonesia becomes a long-term sustainable source of cocoa in the global market;
- ii) Increasing cocoa production to maintain Indonesia's market position in response to growing demand;
- iii) Improving and optimizing smallholder yields that will result in increased incomes;
- iv) Standardizing prices to producers that reflect improvements in quality and sustainability; and
- v) Contributing, either directly or indirectly, to the reduction of greenhouse gas (GHG) emissions and/or improved carbon sequestration.

This is a co-funding grant, as grantees and MCA-Indonesia work together to mobilize investment for project implementation. Note that cocoa grants awarded by MCC fall under both Window 1 and 2. While Window 2 grants are focused on Community Based Natural Resources Management, they are shorter in scope, having begun activities in 2016 and ending at the end of 2017.

Under Window 1, three grantees were selected to implement projects to improve productivity, inclusion, and quality of cocoa farming in Indonesia since 2015. While the ET recognizes the presence of all five cocoa grants, SI and MCC have decided that this PE will focus on the three programs implemented under the Window 1 Cocoa Sector portfolio as follows:

GP-Sustainable Cocoa Production Program (SCPP) was implemented by Swisscontact. SCPP in cocoa production zones spread across 14 districts in South Sulawesi, Southeast Sulawesi, West Sulawesi, and ENT provinces. As a large public-private partnership, the program worked together with various private sector partners and the GOI to foster the productivity and profitability of cocoa farming in Indonesia with a focus on delivering professional farmer packages (agro-inputs, planting

material, and knowledge), improving access to capital services and products, fostering enterprise development, and establishing a platform for policy dialogue and information exchange in the sector. The overall objectives of the program were to improve rural community development, good farm management, and access to financial products and services, contribute to the professionalization of micro, small, and medium-sized enterprises (MSMEs) and farmer organizations (FOs), encourage farmers to adopt climate-smart agriculture, and support local communities to enhance their living standards. SCPP aimed to strengthen the skills and knowledge of 2,000 farmer groups, consisting of 58,000 cocoa farmers and benefitting women and vulnerable groups, in environmentally-friendly cocoa farming, improved nutrition practices, and application of prudent financial practices. The program also worked with national and local governments, the Cocoa Sustainability Partnership (CSP), a cocoa sector multi-stakeholder forum that helped form the GP-SCPP Consortium that envisions a future of doubling cocoa yields and attracting the next generation of entrepreneurial farmers, as well as regional cocoa forums to ensure strategic alignment and promote knowledge management in the sector.

Swisscontact integrated environmental sustainability into the SCPP design by promoting: (i) intensification and diversification rather than expansion into new areas; (ii) compliance with Indonesian and US Government regulations regarding the use of appropriate doses of agro-inputs to prevent hazardous overuse, negative environmental impacts, and increased GHGs; (iii) organic soil enrichment processes (compost, mulching, and beneficial shade trees); and (iv) working alongside other programs aimed at promoting the preservation of forest areas and nature reserves. Economically, the program measured sustainability in terms of increases in productivity, as well as in changes in nutritional status, access to finance, non-encroachment on forests, and increased collaboration across the sector. All of which were intended to lead to improved livelihoods for farmers and their families. GP-SCPP promoted certified cocoa as a business model that can potentially lead to sustainable project benefits by ensuring farmers' products are internationally competitive and delivering quality products on the market.

The SCPP approach took gender into consideration by recognizing: (i) social exclusion; (ii) women's participation and leadership; and (iii) women's economic empowerment as key issues pertaining to women and other vulnerable groups in the cocoa sector in Indonesia. The programmatic approach to gender inclusion focused on promoting women in leadership roles in farmer organizations and commercial activities, enabling participation by ethnic minorities, and supporting women-owned cooperatives. This program was implemented from April 1, 2015 to March 30, 2018 with a total budget of US\$ 23 million, including the MCC grant component of US\$ 11.5 million.² Precursor projects include: Peningkatan Ekonomi Kakao Aceh (PEKA) 2008 – 2012, SCPP (2012-2015).

Cocoa Revolution (CR), implemented by Rainforest Alliance, focused on supporting the development of high-yielding climate-smart cocoa farms by providing training and other support for 8,000 cocoa smallholder farmers in the two districts of North Kolaka of Southeast Sulawesi and North Luwu in South Sulawesi province. The CR program was a new collaboration between the private firm PT Olam Indonesia and the emerging sustainability standard agency, Rainforest Alliance, in response to the growing demand of sustainable cocoa from the global market. Following this trend in market demand, the program indirectly had commercial support from the major buyer of sustainable cocoa, Blommer Chocolate Company. Olam Indonesia and Blommer

² The total value and timelines for each grant was sourced from grantee final reports.

Chocolate created a joint venture by signing a market partnership agreement under the GrowCocoa program to secure the future of the global cocoa supply chain and improve the livelihoods of cocoa farmers and their families. The CR program specifically focused on optimizing sustainable yields, improving quality, providing access to the domestic and international market, introducing state of art climate-smart agriculture, and contributing to climate change mitigation. Along with supporting the livelihoods of smallholder farmers through technical assistance, the project also aimed to strengthen linkages by supporting value-added activities, particularly among smallholder farmers.

Support for smallholders (technical assistance from PT Olam, Rain Forrester Alliance certification, and sale of cocoa to Bloomer Chocolate) is an integrated part of an ongoing commercial partnership for economic sustainability under GrowCocoa. Sustainability was built into the model by providing an incentive payment to farmers for implementation of GAP/GEP and post-harvest practices to motivate practice adoption leading to improved performance, and reduced poverty and GHG emissions. Like SCPP, cocoa certification was promoted under CR as a means to improve the sustainability of quality outputs at the farmer level, and under RA, is provided at farm level at no cost because the costs of the certification audit are covered through an investment by the supply chain. This co-financing model was fully embedded into the climate-smart cocoa value chain. Farmers also benefited from training of trainers in sustainable land management and membership in stakeholder forums to encourage ongoing learning and shared practices over time.

CR also supported environmental sustainability. The project sought to develop locally appropriate training materials that would help farmers mitigate and adapt to predicted climate change impacts across their landscape. The farm-level focus was on correct use of fertilizers (specifically rich in nitrogen) and best practices for soil management and GPS monitoring of land use and land cover.

The CR program conducted a gender analysis early in project implementation. As a result, strategies were put in place to maximize the participation of women in training, include a focus on women intensive areas of activity such as harvesting and off farm activities, and promote cocoa farming as a family business by including integrated farming activities such as shade tree businesses and agro-inputs businesses. The project was implemented from July 1, 2015 to March 31, 2018.¹⁹ The total cost of the project was US \$8.58 million with 51% of the cost supported by Olam Indonesian and GrowCocoa (the MCC grant value was US\$ 4.28 million).

Economic, Quality and Sustainability Improvement (EQSI) – To implement EQSI, Yayasan Kalla, as a consortium leader, worked with two consortium members and private sector cocoa processing companies: PT. Kalla Kakao Industri (Kalla Kakao); and Lembaga Ekonomi Masyarakat Sejahtera (LEMS). The project aimed to improve farmer livelihoods for 2,085 farmers, make cocoa farming sustainable, and achieve poverty reduction by providing support for cocoa production, post-harvesting, marketing, and reforestation. EQSI aimed to improve sustainable agricultural practices among farmers through training on improved agriculture practices and natural resource management, cocoa fermentation methods, encouraging reforestation of degraded lands, and promoting cocoa agroforestry systems. The project assisted farmers in Southeast Sulawesi to enhance their capacity and knowledge in improving yields by introducing GAP, shading for reducing full-sun monoculture systems, and cocoa agroforestry to provide farmers with alternative incomes. In relation to post-harvest processing, EQSI aimed to improve cocoa quality and value by encouraging farmers to ferment beans. In this regard, EQSI attempted to link farmers with a new market chain (fermented cocoa) by building farmer capacity in fermenting beans to produce a higher-quality product. To improve NRM and more specifically to sequester carbon, the

project also aimed to reforest around 7,000 ha of degraded land.

EQSI promoted both environmental and economic sustainability in an integrated manner. By promoting agroforestry, the program attempted to enhance bio-diversity and promote carbon storage while concurrently improving cocoa yields and potential income from shade trees. Economic sustainability was addressed by attempting to integrate farmers, cooperatives, and private buyers into a new, fermented cocoa value chain. At the farmer level the project supported increases in farmer income through training to improve yields. At the buyer level the project attempted to generate a commitment from the private sector to source fermented beans from target farmers. In this way, the market linkages and application of technology and knowledge could aid farmers by buying product after the end of the project.²⁰

Gender and social inclusion were mainstreamed into the EQSI program by requiring farmer group membership to include women in group activities and group decision making and including content on gender issues in training materials. EQSI encouraged women's participation in training, especially for tree nurseries, agroforestry and financial literacy.²¹ The project was in effect from December 18, 2015 to March 31, 2018 with a budget of US \$3.96 million, including the MCC grant of 50% or US\$ 1.98 million.

2.1.2 Project Stakeholders, Beneficiaries and Implementers

As public-private partnerships involve international donors, international and national market actors, international and national cocoa associations, government, individual farmers and FOs, the programs funded by the cocoa grants have stakeholders at the international, national, provincial, district, and village levels as detailed in Table 3 below:

Table 3: GP Cocoa Portfolio Stakeholders

Level	Stakeholders SCPP	Stakeholders Cocoa Revolution	Stakeholders EQSI
International	MCC, other donor agencies: Swiss Government, Embassy of the Kingdom of the Netherlands, (EKN), the Sustainable Trade Initiative (IDH), Cocoa companies: Barry Callebaut, BT Cocoa, Cargill, Nestle, Mars Inc., Mondelez, Guittard, World Cocoa Foundation (WCF)	Implementing agency: Rainforest Alliance, Cocoa Companies: Bloomer, Olam International	MCC
National	MCA-Indonesia (MCA-I), Ministry of Agriculture, CSP. VECO Indonesia, Indonesia Coffee and Cocoa Research Institute (ICCRI), Cocoa Sustainability Partnership (CSP)	MCA-Indonesia (MCA-I), BAPPENAS, Ministry of Home Affairs, PT Olam Indonesia, Ministry of the Environment and Forestry, ICCRI, and PT Prima Agrotech	Ministry of Agriculture, BAPPENAS, Yayasan Kalla, PT. Kalla Kakao, Lembaga Ekonomi Masyarakat Sejahtera (LEMS), MCA-Indonesia (MCA-I),

Level	Stakeholders SCPP	Stakeholders Cocoa Revolution	Stakeholders EQSI
Province	Provincial development planning board, Department of Agriculture and Estate Crops	Provincial development planning board, Department of Agriculture and Estate Crops	Provincial development planning board, Department of Agriculture and Estate Crops
District	District development planning board, District department of Agriculture and estate crops. Government extension services, Department of District Cocoa Clinics/ cocoa doctors/ centers of excellence.	District development planning board, District department of agriculture and estate crops. Government extension services	District development planning board, District department of agriculture and estate crops, Government extension services
Sub-District		Kecamatan officials, cocoa farmer forums	N/A
Village	Cocoa Producer Groups, smallholder cocoa farmers, independent entrepreneurs (cocoa farmers serving as private extension agents)	Head of village, cocoa farmers, community leaders, marginalized and vulnerable groups, and women's groups	Head of Village, cocoa farmers, community leaders

2.1.2.1 Beneficiary selection

The process by which beneficiaries were selected is of interest to the PE, particularly in relation to how it will address the context of the geographic focus selected by each program in terms of factors such as history, crop diversity, topographic and soil quality, access to land, private sector presence, and commercial infrastructure, and how program approaches were adapted to selected contexts.

SCPP beneficiary selection

SCPP selected districts based on the main cocoa growing areas and the locations of their partner companies' operations. At the field level, in line with the Cocoa Sustainability Partnership (CSP) Roadmap, SCPP aimed to adopt a fair and transparent farmer selection process to identify farmers who were willing to invest time and resources in their farm to improve productivity. Farmers were expected to demonstrate continuing interest and commitment as a condition of their ongoing participation. The project design stated that requiring farmers to demonstrate their commitment was a departure from the 'normal' system of involving all farmers within a selected locality. Other factors considered included the size of the farms, location (e.g. proximity to forest land), importance of cocoa to household livelihoods (minimum 50% of household income), and practical issues such as logistical constraints. Specific farmers were selected based on group interviews and data collection in the villages.

The program aimed to ensure that women, ethnic minorities, and vulnerable groups were appropriately included through purposeful selection in the communities. To further the success of the next generation of cocoa farmers, the program also aimed to focus on including young male and female adults as participants. The program purposefully selected households located in the proximity of protected forests and conservation areas.

Cocoa Revolution beneficiary selection

The CR program targeted upland cocoa smallholders as primary beneficiaries (see Table 1). Cocoa farmers participating in the Cocoa Revolution project were divided into two groups: 1) existing farmers who had been certified and previously participated in the PT Olam CocoaGrow program; and 2) new farmer participants. The selection of participant farmers was based on household characteristics. Participating farmer households needed to have cocoa farming as the main livelihood income, own at least 0.5 ha of cocoa farm and not be receiving support from other cocoa sector strengthening programs. At the national level, the main beneficiaries were also stakeholders in the cocoa sector including government institutions, the quasi-government research institute ICCRI, and the Indonesian based agrochemical firm, PT Prima Agrotech.

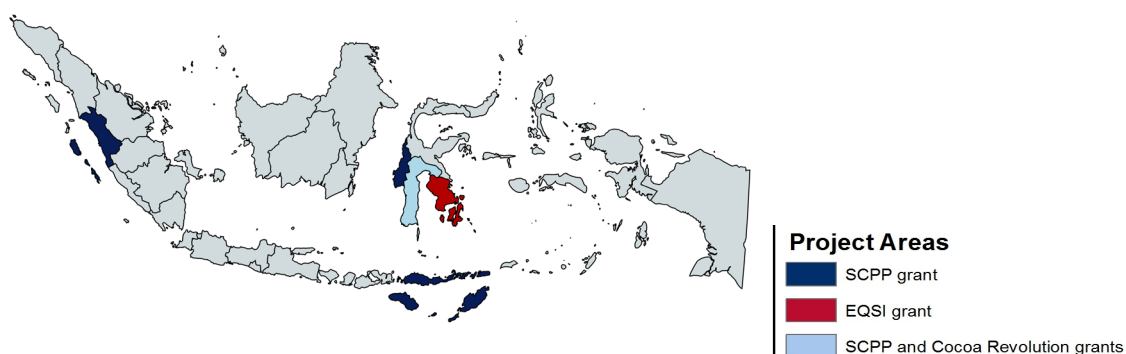
EQSI beneficiary selection

EQSI program documents do not provide detail on how beneficiaries were selected. However, the project design states that beneficiaries were selected based on their status as full-time cocoa growers and full sun monoculture farmers (to encourage them to plant shade trees) and poverty status. Farmers near the forest were also targeted to facilitate the program's NRM objectives.

2.1.3 Geographic Coverage

The GP Project identified and selected thirteen provinces which were eligible for the GP Facility grants. Additionally, twenty-four districts within these provinces were identified by MCA-Indonesia as having favorable project development characteristics for the cocoa partnership grants. As the major cocoa growing region in Indonesia, the main geographic focus of the three cocoa grants is in Sulawesi. SCPP is the largest of the three grants, not only in financial size but also in geographic diversity. The SCPP program conducted activities in four districts in ENT, two districts in Southeast Sulawesi, two districts in South Sulawesi, two districts in West Sumatra and four districts in West Sulawesi. CR conducted activities in one district in Southeast Sulawesi and one district in South Sulawesi where it overlapped activity areas with SCPP. EQSI managed activities in three districts of Southeast Sulawesi, not overlapping with either of the other grants.

Figure 2: Cocoa Grant Geographic Coverage



2.1.4 Description of Implementation To-Date

The ET will receive final information on village, sub-district, district, provincial, and national level progress during initial fieldwork in Jakarta before visiting targeted project locations for data collection. The following information is based on quarterly reports, monitoring and evaluation (M&E) data, MIS data, and Final Reports provided by both MCC and the grantees.

For the **SCPP** program, progress was made on all activities. Table 4 shows progress in meeting both beneficiary targets and output targets. Please note that Progress against Output tables included in the Phase 1 report present figures for targets completed at the time of Phase 1. Please see Annex 1, section A. Changes to Implementation for updated Table 4, 5 and 6 figures for Progress against Output for each grantee through the completion of the grant period.

Table 4: SCPP Progress Against Outputs

Project outputs (short term)	Target	Actual	Achieved (end Q8) (%)*
# Total beneficiaries reached	74,500	44,031	59%
# Farmers trained in Basic Good Agricultural Practices (GAP)	74,493	44,031	59%
# m ² Nurseries established	34,394	50,000	145%
# MSMEs/Centers of Excellence supported	482	230	48%
# Farmers trained in Good Environmental Practices	69,733	12,477	18%
# Farmers trained in Good Nutrition Practices	45,615	24,004	53%
%Participation of females in training	N/A	45%	N/A

*Data received from Quarter 8 report ending March 2017, see Table 17 for July 2019 update.

For **Cocoa Revolution**, most of the main (sub) activities have been completed, including the fertiliser mix development, establishment of nursery businesses and distribution of community solar dryers, support for farmer entry into certification programs (for new participant farmers) and establishing a monitoring and evaluation system. Approximately 88% of the total training modules have been completed with 8,000 cocoa farmers in North Luwu and Kolaka districts.²² Measurement of the carbon footprint of participating cocoa farms and reducing deforestation is ongoing. To date the program has established 84 solar dryers, 35 demonstration plots and 39 nurseries. Linking climate-smart agriculture practices, the program has distributed 6,345 shading trees and 75,000 cocoa seedlings to the assisted farmers. For the newly assisted farmers, the project has introduced the Sustainable Agriculture Standards (RA-SAN), and strengthened the capacity of the certified farmers to comply with standards and maintain the status of certified farms. See Table 5 for progress against target outcomes.

Table 5: Cocoa Revolution Progress Against Outputs

Project outputs (short-term)	Target	Actual	Achieved (end Q7) (%)*
# Demonstration plot established	105 plots	35	33%
# Farmers trained for certification	6,000	4,355	73%
# Farmers trained for GAP/GEP	6,000	7,727	129%
# Nurseries (business) established	62	39	62%
# Solar dryer (community) constructed	175	84	48%
# Training GAP/GAP and promotion materials distributed	10,001	8,424	84%
# Farmers trained for financial literacy	4,587	4,083	89%
# (selected) Farmers monitor for climate smart practices	200	100	50%
# (selected) farmers for yield and gap measurement	400	400	100%

* Data received from Quarter 7 report ending March 2017, [see Table 18 for July 2019 update.](#)

EQSI had five major program components under which activity occurred: Component 1 (Reforestation), Component 2 (Farmers/Communities Training), Component 3 (Agroforestry), Component 4 (Fermentation and Drying), and Component 5 (Yeast Provision). Components 2 and 3 were progressing at the time of Phase 1, but 1, 4 & 5 remained in preparation phase. Component 1 - Reforestation faced challenges as the proposed 7,000 ha degraded land was not private land or owned by individual farmers, but mostly under state control based on the HTR (Community Forest) scheme which requires intense coordination and co-operation with government agencies. The program secured a provider for tree planting, established 20 farmer's groups, and trained 115 farmers (no women). Under Component 2 - Community/Farmer training, the program collected data and conducted limited training on the topics of financial and good agricultural practices. Under Component 3 - Agroforestry, the program built 20 tree nurseries with a capacity of 2,000 to 2,200 seedlings. The program also sourced 200,000 grafted seedlings, with 40 demo plots for an agroforestry model that is still in discussion with farmers. Regarding Component 4 – Fermentation, there was a disagreement between the program and MCA-I regarding implementation strategies. For the provision of fermentation tools or boxes, EQSI proposed to source from a third-party but MCA-I emphasized that Component 4 should be more focused on knowledge transfer activities. This resulted in an amendment of the Memorandum of Understanding (MoU) in which Yayasan Kalla agreed to fund the Component 4 and 5 of the program. For Component 5 for Yeast Provision, EQSI identified a source for the yeast and a manual has been drafted for using the yeast. Table 6 shows EQSI progress on key outputs as of March 2017.

Table 6: EQSI Progress Against Outputs

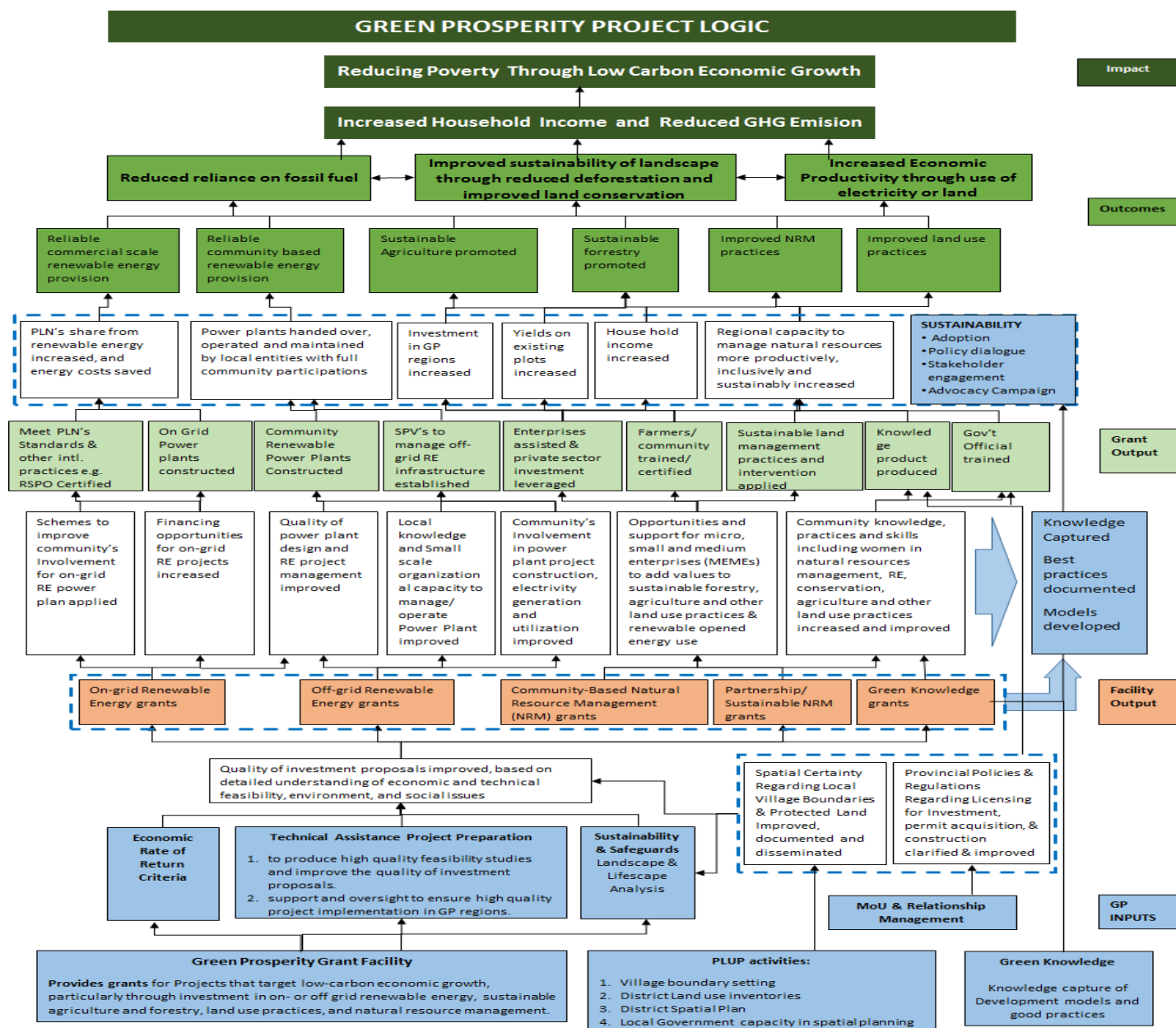
Project outputs (short-term)	Target	Actual	Achieved end Q7) (%)*
# total beneficiaries reached	12,700	2,800	22%
# Farmers trained for GAP/GEP	500	224	45%
# farmer groups established	260	164	63%
# educational activities with community and farmer field schools	3,820	115	3%
# educational activities for women with community and farmer field schools	500	0	0%
# Farmer's trained on post-harvest handling	900	60	6%
# Farmer Group Discussion on community engagement for a stronger commitment on cocoa based environmentally friendly farming practice	52	52	100%
# nurseries established propagate certified cocoa trees	20	20	100%

*Data received from Quarter 7 report. See Table 19 for July 2019 update

2.2 Theory of Change

The GP Project aimed to promote environmentally sustainable, low carbon economic growth as set forth in the Government of Indonesia's medium- to long-term development plans. The logical framework presented below outlines the hypothesized linkages between GP inputs and higher-order impacts, addressing some of the most critical Indonesian development priorities, including increasing access to clean and reliable energy and improving the stewardship of natural assets.²³

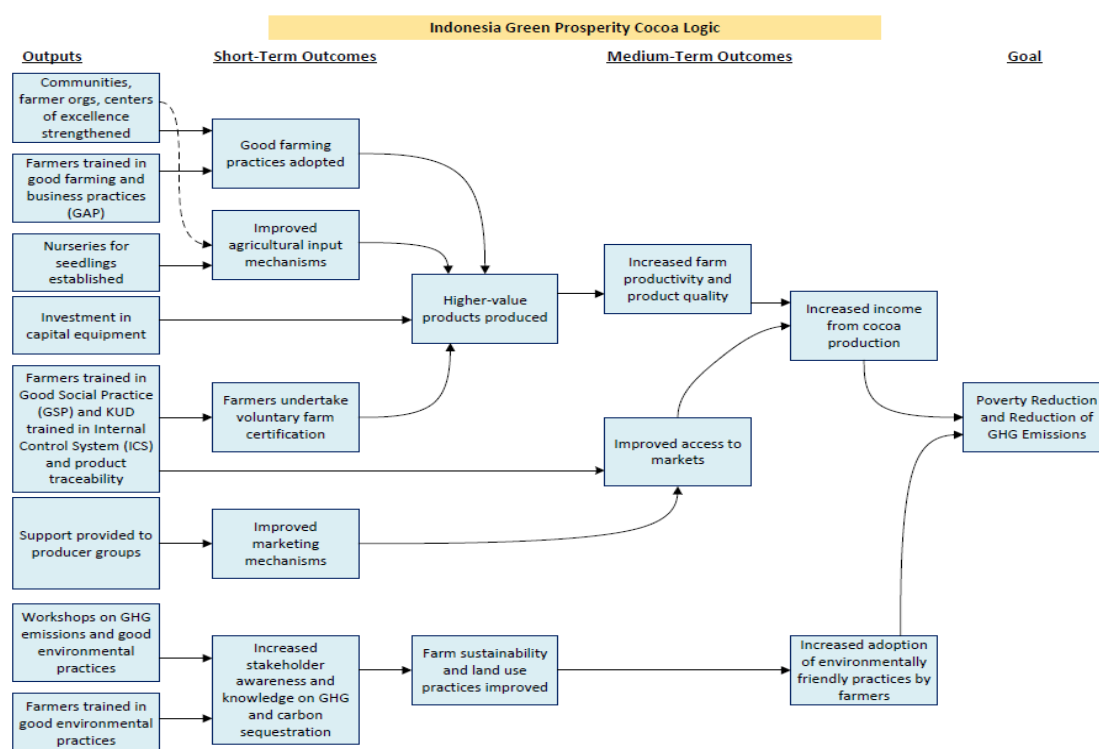
Figure 3. Green Prosperity Project Logical Framework²⁴



The logical framework above presents defined linkages between GP inputs and the goal of reducing poverty through low carbon economic growth. Specifically, increased productivity is the intended effect of GP financing of activities promoting sustainable agriculture or forestry. The promotion of sustainable agricultural and forestry practices leads to increased productivity on existing, potentially degraded, land. The confluence of GP activities is thereby expected to reduce greenhouse gas emission and increase household income of beneficiaries. The Cocoa Program Logic presented in Figure 4 identifies the two expected levels of impact that accrue to communities and the individuals and their families benefiting from training and improved farming practices. Short-term outcomes refer to results that are achievable within the timeframe of the project and within one year after completion of implementation. Medium-term outcomes refer to results that can begin to be measured after year one of implementation and are achievable (or likely to be

achieved) one year or more beyond completion. The final goal follows in line with that of the overall GP logic as shown in Figure 3 above, to reduce poverty and GHG emissions.

Figure 4. Indonesia Green Prosperity Cocoa Logic Model



The logical framework models for the individual grants are all similar in structure with a focus on poverty reduction, reducing GHGs and increasing cocoa production (see Annex 3: Cocoa Grants Logical Framework Models for the logic models of the three grants). Each grant had a measured focus on initiating training for improved agricultural practices, increased quality and competitiveness of product and reforestation of degraded land as a means to increase farmer income and stability and reduce greenhouse gas emissions. The GP-SCPP had a focus on private sector partners and also a component on nutrition. Cocoa Revolution focused on improved management and market practices and EQSI focused on reducing degraded lands and improving hydraulic conditions, fermentation and providing yeast inoculants for fermentation. The intent to reduce GHG is rooted in farmer's ability to uptake environmentally smart agricultural practices, including tree planting, responsible compost and fertilizer use and better utilization of land to prevent deforestation.

2.3 Cost Benefit Analysis and Beneficiary Analysis

MCC's model of economic analysis for poverty reduction grants provided through U.S. Government assistance includes the results of economic rate of return (ERR) analysis and Beneficiary Analysis that are made available to the public through MCC's commitment to transparency and results-based aid. The cost benefit analysis (CBA) is used to inform investment decisions based on estimates of the economic benefits attributable to the proposed MCC-funded activity relative to the social costs. A CBA analysis of the three grants in the Cocoa Sector completed by MCC shows that the most consistent economic benefit considered by MCC analysis is the increased income

for farmers, which is affected by the increase in yield and decreased production costs. This benefit mirrors the short and medium-term outcomes in the logic models of SCPP, CR and EQSI which reflect an overall improvement in livelihoods and uptake of sustainable, environmentally friendly measures.

All three grants' benefit streams are modeled around net farmer revenue over time. Net farmer revenue is measured as the difference between total farmer costs and total farmer revenue. For EQSI, total farmer costs include insecticide/fungicides, fertilizer, harvesting, fermentation and drying and tree planting, and farmer revenue considers intercropping revenue, farm value and fermentation center prices. For CR, total farmer costs include certification costs, labor, fertilizer, seedlings and other inputs, and farmer revenue considers cocoa price, new farmers trained, farm size and overall cocoa yield. For SCPP, revenue is driven by management of production costs (fertilizer, compost, seedlings), decreased labor costs (hired labor, hours/cost of foregone labor), certification and reduced costs to the farmer for training. Total farmer costs include three types of fertilizer, compost, labor and new farmers trained and training adoption rates and farmer revenue takes into account cocoa price, farmers to be trained, newly trained farmers, farm size, cocoa yield at midline and a quality adjustment factor. These benefits are all linked to the final outcomes of each of the grant logics, which involve increased income, leading to overall poverty reduction and improved quality of life. Even with a temporary increase in production costs, the long-term benefit will be increased yields and improved income-earning potential over time.

Assumptions of the logic models are that cocoa prices and demand remain stable or increase; Indonesian cocoa remains competitive on the international market, increased incomes and income diversification and climate education sufficiently deter farmers from converting forests to cocoa fields despite short-term economic gains; climatic shock will not occur to impede growth and productivity of newly planted cocoa trees. There is an anticipated change in the cocoa price on the world market, as this understandably is unpredictable and will directly affect the income of newly trained or veteran farmers. Costs for certification raise minimally each year, but inputs for production are not anticipated to change (materials necessary for maintenance, pest control, irrigation, harvesting, etc.) from year to year. Fermentation station operating costs will also rise incrementally each year, but it is anticipated that farmer training will reduce time spent engaged in less efficient agricultural practices, and trained farmers can better train hired labor and make education decisions on fertilizer types, costs and outputs. The ET hypothesizes that achieving the medium term outcomes of the GP Cocoa partnership grant logic (see Figure 4) (increased farm productivity and product quality, improved access to markets, increased income from cocoa production and increased adoption of environmentally friendly practices) will likely be exhibited beyond the project timeframe, and thus the validation of the achievements in these areas will be a focus for Phase 2, but will be measured to the degree that progress has been made under Phase 1. It is not the intention of the PE to validate all outputs related to income, yield, fertilizer use, or land use during Phase 1, but the ET will analyze existing MIS data from grantees to collect this information to date as a triangulation method. Mini surveys will provide quantitative data on farm size, pest management, and tree planting, and direct observation will also provide the ET with information about use of insecticide and fertilizer and land use and farm size. Rather, validation of outputs will be prioritized for Phase 2 of the PE through the mini-survey, the results of which will be triangulated with KIIs with stakeholders and FGDs with farmers.

Table 7: 20-Year Economic Rate of Return by Grant

Grant	20-year ERR (standard benefits)
SCPP	17.25%
Cocoa Revolution	32.92%
EQSI	39.48%

2.4 Literature Review

It was estimated that more than 150 million USD has been invested in the Indonesian cocoa sector in recent years.²⁵ See Annex 2: Public and Private Intervention on Indonesian Cocoa Sector for a summary of recent Government and donor interventions in the sector. There have been some key lessons learned that have been generated through these interventions which are relevant to the current grants being evaluated.

2.4.1 Donor Interventions

The MARS/ Netherlands Ministry of Foreign Affairs PRIMA project (2003-2010) provided 40,000 farmers with training in pruning, good sanitation, frequent harvesting, appropriate fertilizer and pesticide use, and replacing old trees with short, high-yielding varieties or grafting budwood from superior varieties onto old trees. Technically the project had a good amount of success, managing to achieve an increase in productivity from 350kg per hectare from the control group to 2.081 tons per hectare for best practices by end 2010. Farmer income also increased compared to the control group. In the same year, average investment for the control group totaled \$65 of investment per hectare per year for \$694 income compared to \$800 of investment for \$3725 of income for best practice.²⁶

A key focus of PRIMA was establishing mechanisms through which farmers could access the knowledge and inputs required to sustain a shift from a low input/low output approach to a high input/high output approach to cocoa farming. The program found that expecting farmer groups to take on a role as knowledge/input providers was unrealistic, so the program shifted to focusing on supporting highly motivated individual farmers and other private sector providers to become profit orientated service providers to farmers which was found to be more effective. These providers include village cocoa clinics which are individual farmers who sell budwood, seedlings and host demonstration plots for farmer learning. The program also developed the Mars Cocoa Development Centers where farmers, extension staff, field facilitators and trainers come to the MCDC to learn about a wide range of activities. Cocoa development centers are also important research sites, where scientists conduct clonal trials, test different types of pest management and explore the best methods of technology transfer.²⁷

The approach of PRIMA to focus on establishing sustainable mechanisms and institutions, with a focus on the private sector, to make available sustainable inputs and advice to farmers has been maintained through the SCPP and the GP-SCPP which also supports village cocoa clinics, centers of excellence, cocoa doctors and cocoa development centers.

SUCCESS (2000-2008) also generated important lessons learned for the cocoa industry in Indonesia. Similar to PRIMA the project worked with 100, 000 farmers to increase production by

25% and increase yields by 400 kg per hectare per year and an average extra \$435 income per year per farmer. The project evaluation identified that there is a need to build effective service provision mechanisms that can deliver improved technologies and training to all cocoa producers.²⁸

There is also a recognized need for the creation of farm-level incentives for the improvement of cocoa quality. The SUCCESS final project evaluation found that there was little adoption of improved post-harvest handling techniques for which capacity building was provided (e.g. solar drying) invariably because there is no difference between prices received by farmers for their beans so they have no incentive to change their practices.²⁹

There were also important lessons learned from the Agribusiness and Market Support Activity (AMARTA) project which trained 83,000 farmers on Sulawesi and Bali between 2006-2009. The project increased average yields from 600 kg per hectare to 995 kg per hectare resulting in \$US 979.60 in average annual marginal gross sales revenue per farmer by training farmers in stumping and grafting of existing cocoa trees to improve yields, improving drainage in heavier lowland soils, pest and pathogen control/ management, agricultural chemical safety, shade trees (canopy management), pruning, tree height management, soil fertility and crop nutrition, as well as harvest techniques.³⁰

The project found that a combination of techniques including industrial pesticides, pheromone traps, and crop sanitation practices helped to break the life cycle of the cocoa pod borer (CPB). However, there was a need to carefully explain techniques to farmers as they could be misinterpreted. For example, in regard to pheromone traps, farmers thought that simply placing the traps would reduce the incidence of CPB whereas the actual purpose of the traps was to help farmers predict the lifecycle of the CBD enabling them to more effectively apply pesticides.³¹

The project team also noted the importance of bean size and that it can be influenced by plant nutrition, plant genetics, pruning practices, as well as a wide variety of environmental factors such as water availability, soil chemistry (including pH, fertility and toxicity issues), pests and pathogens, shading, etc. AMARTA worked with farmers, training them in practices that maximize bean size. As a result of the project's efforts, exporters reported that AMARTA farmers' bean size increased from 130 beans/100 grams before the project to 123 beans/100 grams after the project.³²

In collaboration with the Government, AMARTA trained farmers in cocoa fermentation techniques and provided fermentation boxes but the project team did not find that it was a worthwhile investment. Fermenting cocoa beans would provide a significant quality improvement. However, many farmers considered the additional work associated with fermentation to be a poor investment, given the premiums paid for fermented beans (about a 10% premium). To significantly affect the amount of beans being fermented, the market will need to adjust its premium upwards so that farmers are paid a higher price in return for the additional labor they invest, as well as to help cover the cost of the fermentation boxes required for the process. The fact that Indonesian cocoa is goes to the US market which does not demand the same level of quality as the European market means that it is unlikely that higher premiums will be paid for fermented cocoa anytime soon.³³

Another finding of the AMARTA final evaluation was that farmers may need training in price discovery. Farmers need to understand the price discovery system and differentials that are used to calculate farm gate price. This is particularly relevant at the current time when the price of cocoa has dropped to about \$US1.80 kg from its high of \$3 kg. The AMARTA project supplied solar

dryers, and they were well received but did not see any evidence of farmers adopting the technology by building them of their own cost. Similarly, in 2011 BT Cocoa, in collaboration with the Provincial Government of South East Sulawesi commenced an initiative to promote bean fermentation but it was discontinued as farmers did not feel sufficiently reward for their effort to invest in the processing.³⁴

These findings from previous interventions in the cocoa sector in Indonesia are relevant to the current evaluation in important ways:

- First the successes of the projects in increasing farmer production and income show that improving farmer productivity through training is doable at the project level.
- Second, the major challenge is in developing mechanisms to provide support services to all Indonesian cocoa farmers in a sustainable manner. Some interventions have demonstrated that individual entrepreneurs have more potential in this area than farmer groups and the Government.
- Third, little traction has been gained in efforts to improve farmer income and Indonesian cocoa quality through post-harvest processing (e.g. solar drying and fermenting) as the price incentives do not motivate farmers to do the extra work.

2.4.2 Evidence from Government Intervention

The GoI has attempted to transform Indonesia's position on the world cocoa market as a supplier of low quality discount beans by, in 2010 issuing an Export Tax (PMK No. 67/pmk.011/2010) on raw bean cocoa export. In response, international and domestic cocoa processors and chocolate manufacturers established cocoa grinding factories in Indonesia. Recent investors include domestic and international manufacturers such as Mars Inc., Barry Callebaut and Cargill.³⁵³⁶

Rather than encourage farmers to produce higher quality cocoa it appears that the tax has resulted in processing facilities now importing beans of higher quality and consistency from Ghana, Ivory Coast and Papua New Guinea to process in Indonesia.³⁷

The GoI has also issued policies to improve the quality of Indonesian cocoa including Standard Nasional Indonesia (SNI) 01-2323-2002 (revised in 2008/2010) for standardizing fine and bulk cocoa quality and Permentan (Ministry of Agriculture Regulation) No. 67/2014 requiring all fine and bulk marketed beans, to be fermented. Although these policies were due to come into force in 2016, it is a long way from the current reality on the ground where many farmers continue to sell unfermented cocoa.

The introduction of certification and traceability systems are another aspect of the Indonesian cocoa industry. Some systems such as Fair Trade guarantee a minimum price to the seller whereas other systems such as UTZ allow for the price to be negotiated between buyer and seller based on the view that improved income for farmers will ensue through better agricultural practices. The schemes provide a premium as an incentive to adopt sustainable practices which are not only good for the environment but guarantee higher yields for farmers. There have been mixed views on whether certification systems benefit farmers. There have been some findings that the price premiums received by farmers do not compensate for expenses farmers bear in participating in such programs.³⁸ Nevertheless, many players are pledging that by 2020 they will only buy third-party certified sustainable cocoa. It seems that certification systems are an attempt to shape the overall direction of the industry.³⁹

2.4.3 Gender and Social Inclusion Consideration

Both men and women play a role on cocoa farms in Indonesia. Men typically are responsible for the pruning, fertilizing, harvesting and carrying the sacks of harvested cocoa. Women are responsible for sanitation (cleaning and preserving), harvesting, cutting the cocoa pods and drying the cocoa. This segregation of farming tasks has become less marked since declining yields and other issues have resulted in extra labor being needed to manage the cocoa farm. Male labor is often insufficient to manage multiple locations of cocoa farms, and women also become involved in pruning, fertilizing and harvesting. Both women and men face many challenges working in the sector but women face extra hurdles. An Oxfam study conducted in Sulawesi found that women farm laborers were paid 25% less than men (Rp 15,000 an hour compared to Rp 20,000 an hour) justified by the argument that men's work involves more heavy lifting. Cocoa farmers often lack transportation to transport their cocoa to markets in neighboring towns which results in them accepting lower prices for their cocoa from local traders which is more of a problem for women who are unable to travel alone. In addition, with their extra household duties, including the time consuming and laborious task of fetching water over long distances in some communities, women have less time to participate in training and development activities. Female laborers in cocoa processing factories and warehouses also work in harsh environment without legal contracts for below minimum wage standards⁴⁰.

Many cocoa sustainability programs have focused on male farmers as the main target beneficiary to support development of Indonesian cocoa sector with the result that extension services and support becomes more available and accessible for male farmers while women are positioned in a supportive role. However, due to findings on cocoa sector studies from West Africa shows that support for women in the cocoa industry leads directly to welfare gains for children, households, and communities and as a result the narrow focus on male farmers has been counter-productive.⁴¹ Such findings have led cocoa sustainability programs in Indonesia to integrate gender equality as a key aspect of their development strategy to address both economic and social issues among the cocoa communities. For example, Mondelez has attempted to mainstream gender equality in its *Cocoa Life* program and Nestle has a focus on women's participation in *Nestle Cocoa Plan*⁴² Women's empowerment programs in the cocoa sector focus both on encouraging women to participate in training and other activities to enhance productivity as well as specific areas where women have a role such as post-harvest activities including fermentation, drying and sorting.

2.4.4 Diversity

Ethnic groups involved in cocoa farming in Sulawesi include Bugis, Mandar and Javanese. One study found different approaches among the ethnic groups in regard to developing their cocoa plantations. Fahmid (2013) found that Javanese were more inclined to work in groups whereas Bugis and Mandar communities were more likely to work as individual households. The study also found that Javanese were more responsive to innovation from outside.⁴³

3 EVALUATION DESIGN OVERVIEW

A performance evaluation allows for in-depth exploration of implementation efficacy through qualitative and quantitative data collection and short to medium -term outcome monitoring. MCC has contracted Social Impact to conduct a PE of the Cocoa sector grants under Window 1 by specifically assessing three grants in this Window. This evaluation design report (EDR) outlines the implementation of Phase 2 of the Cocoa PE (described below). The PE's primary purpose is to identify the project results (outputs and outcomes) and assess program implementation for each of the three Window 1 Cocoa Grants. This will enable MCC to capture lessons learned and inform future cocoa grant project design or similar value chain design under the GP project.

Phase 2 of data collection will validate the Phase 1 findings including the measurable achievements in the short- and medium-term outcomes, and assess contribution associated with each of the grant approaches, along with the probability of having achieved overall goals. The evaluation team will capture changes in cocoa grant beneficiaries' knowledge, attitudes and practices after the project completion, accounting for long-term effects and aiming to generate knowledge about the environment for farmers and beneficiaries, as well as the current state of cocoa farming and investment in Indonesia.

The evaluation design presented here seeks to re-evaluate the short-term and medium-term primary outcome areas of the select Cocoa grants, and the prognosis of long-term effects:

Table 8: Summary of Partnership Grant Outcomes

Short term Cocoa Partnership Grant outcomes	Medium term Cocoa Partnership Grant outcomes:	Long-term Cocoa Partnership Grant Outcomes/ Goals
<ul style="list-style-type: none"> • Good farming practices adopted • Improved agricultural input mechanisms • Higher value products produced • Farmers undertake voluntary farm certification • Improved marketing mechanisms • Increased stakeholder awareness and knowledge of GHG and carbon sequestrations • Farm sustainability and land use practices improved 	<ul style="list-style-type: none"> • Improved access to markets • Increased farm productivity and product quality • Increased income from cocoa production • Increased adoption of environmentally friendly practices by farmers 	<ul style="list-style-type: none"> • Poverty reduction and reduction of GHG emissions

Short-term outcomes are defined as those outcomes/results that are achievable during the timeframe of the project and realized upon completion of the final project year while medium-term outcomes are those outcomes/results realized and achieved beyond one year after completion of the project. The evaluation questions and proposed sub-questions are detailed in the following section.

3.1 Evaluation Questions

The evaluation questions (EQ) were developed in consultation with MCC and SI. The EQs focus on common issues across the three projects in the portfolio pertaining to the cocoa sector in

Indonesia as well as on comparing outcomes between the three initiatives. Training of farmers constitutes a large portion of the activities conducted, and for this reason the first question focuses on the efficacy of the training programs implemented by the three grantees. Efficacy can be defined quantitatively in terms of production data (e.g. effect on yields) and qualitatively in terms of farmer and stakeholder perceptions (effect on knowledge, attitudes and practices). The second question looks at how the projects fit together as a whole (the theory of change), taking into consideration all of the other aspects required in the short and medium-term to ensure that the training is adopted by farmers and helps them to achieve a better income, such as management/financial practices, access to inputs, value chain integration towards achieving overall goals and incorporating additional income/assets from intercropping. The third question focuses on whether the systems developed for enhanced cocoa production (cooperatives, independent entrepreneur input suppliers and certification and traceability systems, etc.) can be sustained, and if farmers are likely to continue to reap benefits beyond the end of project support. The fourth question focuses on what lessons learned can be drawn from different aspects of the project such as stakeholder relationships, organizational development and M&E systems, which might be applicable more broadly to other future projects in Indonesia or similar projects in future MCC Compacts. What is the role of farmers' association in farmer selection, training, motivation and behavior change? Specifically, the ET will explore the key roles of farmer associations, such as whether grantees provided them institutional strengthening, assistance in negotiation with traders, and support in market access. The ET will also explore the changing levels of interest of young people in cocoa, especially in light of migration to urban areas and increasing education, as well as the role of local government (*Kapela Desa*) and village elders in cocoa and overall agricultural sustainability. The evaluation questions pertain to Phases 1 and 2 of data collection but the areas of enquiry pertain only to Phase 1 of data collection as the methodology for Phase 2 of data collection will be elaborated in more detail in an inception report prior to data collection in 2019

Note that the guiding Evaluation Questions have been amended at the request of MCC. The new questions are included in Annex 1, section B. Revised Guiding Evaluation Questions, along with the approach the evaluation team will take to answering each question. The questions below only serve as a historical reference for the Phase 1 Evaluation Report.

Table 9: Guiding Questions for the Cocoa Performance Evaluation

#	Evaluation Question	Evaluation Areas of Enquiry
1	<u>Efficacy and Training approaches:</u> To what extent have the GP Cocoa grants' (Cocoa Revolution, SCPP and EQSI) training approaches proven successful in improving farmers' knowledge, attitudes and practice of GAP/GEP?	<ul style="list-style-type: none"> a. What have been the most effective training approaches in GAP/GEP and why? (comparison of approaches among the 3 grants, curricula) b. How are beneficiaries targeted under each grant? Do participants have equitable access to training and activities? c. How have GAP/GEP principles and measures been applied or adopted by trainees after training? What are adoption rates and what contributes to adoption rates? d. What are enabling or constraining factors to training efficacy?

#	Evaluation Question	Evaluation Areas of Enquiry
2	<u>Validation of the Theory of Change</u> How has each grant progressed in achieving its short and medium-term outcomes (phase 1) and long-term outcomes (phase 2)?	<ul style="list-style-type: none"> a. What are perceptions in & documented changes to income, management/financial practices, product quality and value chain integration? b. What are perceptions in & documented changes in access to supplies/land, markets and knowledge? c. What methods are used to verify and document the number of participants trained, number of hectares of sustainable product, fertilizer use and farm yields? d. What are enabling or constraining factors to any of the above areas (2a-c)? <p>What challenges or limitations exist in timely verification/documentation, validity, and confounding factors for monitoring data?</p>
3	<u>Sustainability</u> What evidence is there that results or outcomes of the GP Cocoa grants will be further scaled and sustainable, and what results appear to be less sustainable? Why?	<ul style="list-style-type: none"> a. What are the exit strategies for each grant? b. What role do global market trends or priorities play in considering sustainability? c. To what extent have grants engaged key actors and entities in ensuring sustainability- who are key actors, what is their role and what type of support will they need after the project ends? d. What factors have been identified that will enable continued success for farmers and smallholders, including key strategies or approaches (certification, fermentation, incentives)? What challenges or limitations may affect sustainability of grant outcomes?
4	<u>Lessons Learned</u> What aspects of the GP Cocoa grant approaches have proven to be most relevant in meeting the needs of the Indonesian cocoa sector?	<ul style="list-style-type: none"> a. Have grantees received any feedback from companies, farmer associations, co-ops and GOI? What is done with this feedback? b. Are there any notable considerations for activity implementation within specific regional or demographic areas? c. To what extent can M&E practices/systems provide useful data for future programming or activity assessments? d. To what extent do inclusion in organizations, KUD, etc. affect farmer learning and earning outcomes? e. What, if any, lessons, practices or successes can be applied to other value chains and to MCC and/or other private and public stakeholders' work in (or outside of) the cocoa sector?

3.2 Methodology

The ET's approach to the performance evaluation is to combine a range of methods in order to answer the evaluation questions descriptively with confidence that responses are consistently supported across multiple sources of available data. Developing a comparison group in an attempt to construct a counterfactual that might attribute program impacts to the grants (i.e. "impact evaluation"), was deemed impractical, as in the grants' targeted areas nearly all smallholder cocoa farmers were grant beneficiaries, had participated in previous projects, or would likely be targeted by other donor initiatives. Accordingly, we present a performance evaluation methodology that incorporates both qualitative and quantitative elements which, in conjunction, can provide descriptive, consistent responses to the evaluation questions.

The evaluation will rely primarily on qualitative data collection including analysis of project documents, Key Informant Interviews (KIIs) and Focus Group Discussions (FGDs). However, value chain development interventions do involve a focus on quantitative measurements of yields, price

and income and the evaluation will engage with this. Therefore, some descriptive quantitative data analysis is necessary and will include analysis of existing MIS data and a mini survey.

Although the study is a primarily qualitative performance evaluation, the focus will be on identifying changes that have occurred over the duration of implementation of the grants, the extent to which these changes can be attributed to the project, and the likelihood that the grants contributed to improving the overall outlook for the cocoa sector in Indonesia. For this reason, the ET will focus on seeking to establish what the situation was at the commencement of the grants, how this differs with the current situation and what are the reasons for the changes, both those coming from the grants as well as driven by external factors.

3.2.1 Data Collection Methods

The Cocoa Evaluation Team will employ six methods for data collection as follows:

- 1) **A review of secondary data** including background project documents and reports, government data, before and after training assessments (where available), global market reports, M&E and strategic plans, and project design documents will give the ET an in-depth understanding of what the grantees are aiming to achieve, will enable the ET to review achievements relative to planned targets and timelines and will provide material for addressing the evaluation questions. Table 10 provides a list of key documents that will be analyzed by the ET.

Table 10: Secondary data/documents to be reviewed

SCPP	EQSI	Cocoa Revolution
Partnership Proposal (March 2015)	Training modules	Partnership Proposal
Quarterly Reports 1-8	M&E Reports	Training modules
KPI and M&E Plan	EQSI Project Proposal	M&E Plan
Training modules	EQSI M&E Plan	Quarterly reports
Cocoa Trace MIS	MIS	MIS
Before and after training assessments	Quarterly Reports	Global market and data trend reports
Baseline and Postline Studies		
Budget		

Please note that the Phase 2 evaluation will review additional documents as part of the secondary data review and the desk review. There is an amended Table 10 in Annex 1: Evaluation Design Changes (Updated July 2019), Section C. Changes to Data collection activities and reporting.

- 2) **Monitoring data on inputs and outputs** will also be referenced for grantees whose database is available to the evaluation team at the data gathering stage. MIS data will include beneficiary (individual or group) level data including sex disaggregated demographic data to enable frequency analysis and disaggregation. The ET will retrieve data from SCPP, EQSI and Kalla monitoring systems for information on yields, adoption rates of practices promoted by the projects (e.g. improved seedlings or grafts, fertilizer, solar dryers, numbers of farmers certified,

numbers of farmers fermenting, fertilization, shade tree planting, intercropping etc.), use of inputs, group formation and outcomes (yields). Collation and analysis of this data will be used to address evaluation questions 1 and 2; data on yields will help to address evaluation questions on training efficacy. Quantitative data on inputs will assist in addressing evaluation questions on the programs' TOCs. The ET will also utilize data retrieved from a simultaneous MCC evaluation on GHG with a third-party contractor, including grantee-reported data on yields, fertilizer and land use and tree planting. This data will be used for triangulation purposes to complement qualitative data collected on improved farmer practices.

At this stage, there is still some lack of clarity as to how much outcome data will be available, and how this data is collected under each grant, particularly from EQSI and Cocoa Revolution, due to commercial-in-confidence concerns; but the ET intends to pursue this line of enquiry. This data will be compared and cross checked with qualitative information in perceptions obtained through in-depth interviews with stakeholders and FGDs and in-depth interviews with farmers.

Please note that the Phase 2 evaluation will no longer include a review or analysis of data on greenhouse gases. Please see Annex 1: Evaluation Design Changes (Updated July 2019), Section C. Changes to Data collection activities and reporting for updates to monitoring data on inputs and outputs.

3) Key informant interviews (KIIs) will be conducted with project stakeholders. Draft interview guides by stakeholder type have been prepared and are attached in Annex 5. Study Protocols. The purpose of the KIIs will be to collect qualitative information around participant observations and perceptions about project outcomes, strengths and weaknesses in programming, and lessons learned. Questions will focus on perceptions and analysis by stakeholders and will provide input for EQs 1-4. Stakeholders such as project staff at different levels, government representatives, private sector representatives, field workers, local inputs suppliers and community leaders will be asked about their opinions on topics such as:

- Their views on the quality, levels of adoptability and adoption of the training provided to farmers by the grantees, how they think efficacy can be measured (EQ1), how beneficiaries are targeted, particularly in terms of issues relating to gender and social inclusion, and how existing and new farmers might have been treated differently (EQ1)
- The extent to which the programs align with Government strategies and programs (EQ2)
- The extent to which the programs have strengthened existing and developed new business models and relationships in input markets, post-harvest processing and product marketing as they expressed their intention to in their theory of change/results chain models (EQ2) and if there has been any difference in impact for men or women
- Looking forward, the likely sustainability of benefits beyond the life of the project (EQ3)
- The role of certification, traceability and incentive schemes in benefiting farmers and promoting the sustainability of benefits (EQ2 & 3)
- Grant strategies on gender and social inclusion issues and their assessment of the effectiveness of these.
- What lessons have they learned from the project that they would apply in the future in a similar context particularly in relation to group formation and regional differences (EQ4)

Please note that the Phase 2 evaluation KII questions are targeted to the revised questions and areas of inquiry. Please see Annex 1: Evaluation Design Changes (Updated July 2019), Section C. Changes to Data collection activities and reporting for updates to KIIs.

- 4) **Focus Group Discussions** will be conducted with farmers in order to obtain qualitative information on their experience in each project. The team will conduct sex disaggregated focus groups to ensure comfort levels of all participants in sharing information, and to get specific insight on the experiences of female farmers and the effectiveness or otherwise of the grants' gender and social inclusion strategies. Discussions will focus on:
 - What their experience of training was like, what they learned and whether they were able to implement what they learned and whether it helped them address the problems were facing (EQ1), taking into consideration the perceptions of male and female farmers
 - How they were selected for training (EQ1)
 - What new or improved input arrangement and financial services they are accessing, new post-harvest processing they are practicing and new marketing relationships (EQ2) and whether these new behaviors and arrangements are likely to continue after the project ends (EQ3)
 - The costs and benefits of participating in certification, traceability and incentive schemes offered by the grants (EQ2 & 3)
 - What have they experienced from being part of farmer groups and potential benefits
 - What the future looks like for them in cocoa farming
 - Grant strategies on gender and social inclusion issues and their assessment of the effectiveness of these
- 5) A **Mini Survey** will be conducted with the same male and female farmers participating in the FGDs and will contain both open and closed-ended questions. The focus of the survey questions will be on changes in practices before the project and since the project has commenced in relation to farming practices among respondents relating to (i) growing cocoa (e.g. IPDM, soil regeneration, nutrient management and genetic material) (ii) processing cocoa (e.g. solar drying, quality sorting and fermentation) and (iii) selling cocoa (e.g. direct selling to international buyers and participating in certification systems). Some basic income on farmer, household and farm characteristics will also be sought to support disaggregation for data analysis. The purpose of the survey is to obtain quantitative data to underpin the qualitative findings. Surveys will be self-administered immediately following FGDs.

Although the Mini Survey will persist in Phase 2, the focus of some the questions will change as described in Annex 1: Evaluation Design Changes (Updated July 2019), Section C. Changes to Data collection activities and reporting.

- 6) **Direct Observation:** Along with FGD and KII at the farm level, the evaluation team will also conduct field observations of ongoing farmer activities which will allow for visual verification of information gathered from implementers and stakeholder interviews, including farmer plots and buying unit activities. On the farmer plots, the evaluation team will observe the practices of GAP/GEP including age of trees, grafting practices, clonal varieties, access to seeds, pruning, treatment of infested pods, harvesting frequency, shade trees, treatment of black pod/pod borer (PBK), VSD, and stem borer. Post-harvest practices will also be observed including presence of fermentation box or other container, fermentation practices and price responsiveness to fermentation. At the buying units, observation will focus on equipment,

moisture content, weight, price differentiation, sale ability of poor quality beans, access to finance and access to solar dryers.

The Data Sources Table below (Table 11) shows the data sources and data collection methods identified for each evaluation question and sub-questions.

Please note that the Evaluation Data Sources table (Table 11) has been revised for Phase 2 in line with the revised evaluation questions. Please see Annex 1: Evaluation Design Changes (Updated July 2019), Section C. Changes to Data collection activities and reporting for the updated Table 11..

Table 11: Data Sources and Evaluation Design Matrix

Evaluation Question 1: To what extent have the GP Cocoa grants' (Cocoa Revolution, SCPP and EQSI) training approaches proven successful in improving farmers' knowledge, attitudes and practice of GAP/GEP?

Evaluation Question	Expected Outcomes	Analysis Plan	Data source	Data type
<i>a. What have been the most effective training approaches in GAP/GEP and why? (comparison of approaches in GAP/GEP across the 3 grants)?</i>	<i>Farmers apply improved business mgmt. and quality control measures (RA), improved farm mgmt. and record keeping (RA), farmers apply good farming practices (GP Cocoa logic), increased adoption of environmentally friendly practices (GP cocoa logic)/farmers adopt climate smart practices (RA)/ adoption of improved NRM practices (GPP)</i>	<i>Content analysis of training curriculum Content analysis of KII and FGD findings Frequency analysis Mini survey Disaggregation of responses</i>	<i>Training curriculum Progress reports Project staff Private sector/ Government reps Beneficiary farmers</i>	<i>Document review KIIs FGDs Survey Direct observation</i>
<i>b. How are beneficiaries targeted under each grant? Do participants have equitable access to training and activities?</i>		<i>Content analysis of KII and FGD findings Frequency analysis Mini survey Disaggregation of responses</i>	<i>MIS Progress reports Project staff Government reps</i>	<i>Document review KIIs FGDs</i>
<i>c. How have GAP/GEP principles and measures been applied or adopted by trainees after training? What are adoption rates and what contributes to adoption rates?</i>	<i>Farmers apply good farming practices (GP Cocoa logic), increased adoption of environmentally friendly practices (GP Cocoa logic), farmers adopt climate smart practices (RA), adoption of improved NRM practices (GPP), cocoa production does not encroach on natural forests (RA), farmers plant and care for new seedlings (RA), improved land use (GP Cocoa Logic)</i>	<i>Content analysis of KII and FGD findings Frequency analysis Mini survey Disaggregation of responses</i>	<i>Progress reports Project staff Private sector/ Government reps Beneficiary farmers</i>	<i>Document review KIIs FGDs Survey Direct observation</i>

d. What are enabling or constraining factors to training efficacy?		Content and trend analysis of KII and FGD findings	Progress reports Project staff Private sector/ Government reps Beneficiary farmers	Document review KIIs FGDs Survey
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Evaluation Question 2: Validation of the Theory of Change

How has each grant progressed in achieving its short and medium-term (phase 1) outcomes, and what is the likelihood of achieving long-term (phase 2) outcomes?

Evaluation Question	Expected Outcomes	Analysis Plan	Data source	Data type
a. What are perceptions in & documented changes to income, management/financial practices, product quality and value chain integration?	Farmers apply improved business mgmt. and quality control measures (RA) Improved farm mgmt. and record keeping (RA)/good farming practices (GP Cocoa logic), farm and income diversification (RA), increased income from cocoa production/ increased total household income and income stability (RA/GP Cocoa Logic/GPP), the cocoa sector adopts measures to enhance transparency, farm profitability and cocoa quality (SCPP), higher value products produced (GP cocoa logic), improved cocoa quality (RA)	Content and trend analysis of KII and FGD findings Frequency analysis Mini survey Disaggregation of responses Frequency analysis MIS (outputs) and disaggregation of responses by project, locations, sex, age	MIS Reports Project staff Private sector/ Government reps Farmer beneficiaries	Document review KIIs FGDs Survey Direct observation

<i>b. What are perceptions in & documented changes in access to supplies/land, markets and knowledge?</i>	<i>Market linkages strengthened, (RA), improved marketing mechanisms and access to markets (GP Cocoa Logic), cocoa production does not encroach on natural forests (RA), improved land use (GP Cocoa Logic)</i>	<i>Content and trend analysis of KII and FGD findings Frequency analysis Mini survey Disaggregation of responses</i>	<i>MIS Reports Project staff Private sector/ Government reps Farmer beneficiaries</i>	<i>Document review KIIs FGDs Survey Direct observation</i>
<i>c. What methods are used to verify and document the number of participants trained, number of hectares of sustainable product, fertilizer use and farm yields?</i>	<i>Increased cocoa yield (RA/GPP), improved productivity (GP Cocoa Logic), farmers apply improved business mgmt. and quality control measures (RA), improved farm mgmt. and record keeping (RA), Net reduction in greenhouses gases as a result of the project (RA)</i>	<i>Content and trend analysis of KII and FGD findings Frequency analysis Mini survey Disaggregation of responses</i>	<i>MIS Project reports Project staff Farmer beneficiaries</i>	<i>Document review KIIs FGDs Survey Direct observation</i>
<i>d. What are enabling or constraining factors to any of the above areas (2a-d)?</i>		<i>Content and trend analysis of KII and FGD findings Frequency analysis Mini survey Disaggregation of responses</i>	<i>Reports Project staff Private sector/ Government reps Farmer beneficiaries</i>	<i>Document review KIIs FGDs Survey</i>
<i>e. What challenges or limitations exist in timely verification/documentation, validity, and confounding factors for monitoring data?</i>	<i>Farmers apply improved business mgmt. and quality control measures (RA), improved farm mgmt. and record keeping (RA)</i>	<i>Content analysis of KII and FGD findings</i>	<i>Reports Project staff Private sector/ Government reps</i>	<i>Document review KIIs FGDs</i>

Evaluation Question 3: Sustainability

What evidence is there that results or outcomes of the GP Cocoa grants will be further scaled and sustainable, and what results appear to be less sustainable? Why?

Evaluation Question	Expected Outcomes	Analysis Plan	Data source	Data type
a. What are the exit strategies for each grant?	Farmers achieve RA certification (RA), voluntary certification (GP Cocoa Logic), farmers adopt sustainable agriculture and yield intensification practices (RA)/sustainable agriculture promoted (GP), improved agricultural input mechanisms (GP Cocoa Logic), farm sustainability and land use practice improved (GP Cocoa Logic/GPP)	Content and trend analysis of KII and FGD findings and project documents Frequency analysis mini survey and disaggregation of responses by project, locations, sex, age	Reports Project staff Private sector/ Government reps Farmer beneficiaries	Document review KIIs FGDs Survey
b. What role do global market trends or priorities play in considering sustainability?	Market linkages strengthened, (RA), improved marketing mechanisms and access to markets (GP Cocoa Logic), higher value products produced (GP cocoa logic), improved cocoa quality (RA)	Content and trend analysis of KII and FGD findings and project documents	Reports Literature Review Project staff Private sector/ Government reps Farmer beneficiaries	Document review KII FGDs
c. To what extent have grants engaged key actors and entities in ensuring sustainability- who are key actors, what is their role and what type of support will they need after the project ends?	Market linkages strengthened, (RA), improved marketing mechanisms and access to markets (GP Cocoa Logic)	Content and trend analysis of KII and FGD findings and project documents	Reports Literature Review Project staff Private sector/ Government reps Farmer beneficiaries	Document review KIIs FGDs Survey

d. What factors have been identified that will enable continued success for farmers and smallholders, including key strategies or approaches (certification, fermentation, incentives)? What challenges or limitations may affect sustainability of grant outcomes?	Market linkages strengthened, (RA), improved marketing mechanisms and access to markets (GP Cocoa Logic), farmers achieve RA certification (RA), voluntary certification (GP Cocoa Logic), increased cocoa yield (RA/GPP), improved productivity (GP Cocoa Logic), higher value products produced (GP Cocoa logic), improved cocoa quality (RA), Net reduction in greenhouses gases as a result of the project (RA)	Content and trend analysis of KII and FGD findings and project documents Frequency analysis mini survey and disaggregation of responses by project, locations, sex, age	Reports Literature Review Project staff Private sector/ Government reps Farmer beneficiaries	Document review KIIs FGDs Survey
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Evaluation Question 4: What aspects of the GP Cocoa grant approaches have proven to be most relevant in meeting the needs of the Indonesian cocoa sector?

Evaluation Question	Expected Outcomes	Analysis Plan	Data source	Data type
a. Have grantees received any feedback from companies, farmer associations, co-ops and GOI? What is done with this feedback?	The cocoa sector adopts measures to enhance transparency, farm profitability and cocoa quality (SCPP), higher value products produced (GP Cocoa logic), improved cocoa quality (RA)	Content and trend analysis of KII and FGD findings	Project staff Private sector/ Government reps Farmer beneficiaries	KIIs FGDs

b. Are there any notable considerations for activity implementation within specific regional or demographic areas?	Farmers adopt sustainable agriculture and yield intensification practices (RA), sustainable agricultural promoted (GPP), farm sustainability and land use practice improved (GP Cocoa Logic/GPP), increased yield, improved productivity, introduction of measures to enhance transparency, farm profitability and cocoa quality (SCPP), higher value products produced (GP Cocoa logic), improved cocoa quality (RA), Net reduction in greenhouses gases as a result of the project (RA)	Content and trend analysis of KII and FGD findings and project documents Frequency analysis mini survey and disaggregation of responses by project, locations, sex, age	Project staff Local government reps Farmer beneficiaries	KIIs FGDs Survey
c. To what extent can M&E practices/systems provide useful data for future programming or activity assessments?		Analysis of project documents and MIS	MIS Project staff	Document review KIIs
d. To what extent do inclusion in organizations, KUD, etc. affect farmer learning and earning outcomes?		Content analysis of KII and FGD findings Frequency analysis mini survey and disaggregation of responses by project, locations, sex, age	Project staff Private sector/ Government reps Farmer beneficiaries	KIIs FGDs Survey

e. What, if any, lessons, practices or successes can be applied to other value chains and to MCC and/or other private and public stakeholders' work in (or outside of) the cocoa sector?	The cocoa sector adopts measures to enhance transparency, farm profitability and cocoa quality (SCPP), higher value products produced (GP cocoa logic), improved cocoa quality (RA), net reduction in greenhouses gases as a result of the project (RA)	Content analysis of KII and FGD findings	Project staff Private sector/ Government reps Farmer beneficiaries	KIIs Survey
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3.2.2 Sampling Strategy

The sampling strategy includes purposive and random aspects. Provinces have been selected for field study based on the number of cocoa farming households and the number of program target farmers which is shown in Table 12 below:

Table 12: Cocoa Farming Households and Participating Farmers by Province

	# cocoa farming households	# participating farmers SCPP	# participating farmers CR	# participating farmers EQSI
Southeast Sulawesi	70,965	18,000	5712	5166
South Sulawesi	78,857	18,000	4020	-
West Sulawesi	106,669	15,000	-	-
ENT	18,223	7000	-	-

The ET has chosen Southeast Sulawesi, South Sulawesi and West Sulawesi as target provinces due to the high numbers of cocoa farming households and participating farmers and also to cover the main SCPP implementation “clusters.” SCPP implementation clusters are strategies tied to particular locations (provinces) where the private sector partners working with SCPP in that location sign up to a particular approach and agreed to work together. As the largest grant, the ET will aim to visit more of the SCPP clusters.

Selection of districts is purposive aimed at representing the major regions of the national cocoa production areas, all of the grants involved in the Cocoa portfolio as well as the majority of the implementation clusters in the SCPP. In regard to Cocoa Revolution, as the program is only implemented in two districts, both districts are included in the study. In regard to EQSI, two out of three program districts have been selected for field research. Four out of 10 SCPP districts have been selected including two which overlap with the other projects, where the ET may identify synergies. Because of its larger scope and large number of project partners, more fieldwork will be conducted at the SCPP sites. A finalized field study plan to include dates and locations of travel as well as specific respondents will be submitted to MCC prior to fieldwork.

Please note that the ET will be adjusting sites to be visited for Phase 2 for SCPP only. Please see Annex 1: Evaluation Design Changes (Updated July 2019), Section D. Changes to sample selection and site visits for a revised Table 13.

Table 13: Sample District Selection overview

Project	Province	District	Sub District	Company/Cluster
EQSI	Southeast Sulawesi	South Konawe	Parema Subur, Allengge Agung	Kalla

Project	Province	District	Sub District	Company/Cluster
EQSI	Southeast Sulawesi	Konawe	Beselutu, Lambuya	--
CR	Southeast Sulawesi	North Kolaka	Rantenagin, Batu Putih	Olam, Cargill Mars
CR	South Sulawesi	North Luwu	Sabbang Sukamaju	Olam, Mars, Ecom
SCPP	Southeast Sulawesi	East Kolaka	Lambandia, Dangia	Cargill, Ecom (cluster)
SCPP	South Sulawesi	North Luwu	Sukamaju, Malangke	Olam, Ecom, Mars, Barry Callebaut (cluster)
SCPP	West Sulawesi	Mamuju	Papalang, Sampaga	Ecom (cluster)
SCPP	West Sulawesi	Majene	Malunda, Tubo Sendana	Barry Callebaut (cluster)
SCPP	West Sumatra	Padang Pariaman	Sungai Garingging	Not yet established (expected cluster JB Cocoa)
SCPP	West Sumatra	Pasaman Barat	Pasaman	Not yet established (expected cluster JB Cocoa)

The individuals selected for key informant interviews will include those working in key positions for project stakeholders including project staff (management and technical staff), government (Bappeda and Department of Agriculture representatives), private sector partners, buyers and local community leaders. They will be selected at national level and in provinces, districts and villages selected for fieldwork and selected purposively based on information received from grantees and from MCC regarding appropriateness and level of project involvement. Project reports have been used to identify the key actors according to the level of their involvement in the project in terms of functional capacity and responsibility. The purposive KII selection process will also be assisted by the project contact person. Key respondents at the local level will be selected from villages where the FGDs are to be held. This purposive sampling is cost effective as each project has a limited number and specific roles

of key respondents. There will be a total of 56 KIIs conducted, with an estimate of no less than 32 KIIs with SCPP stakeholders, 12 KIIs with EQSI and 12 KIIs with CR. As noted in the Design section and detailed in Annex 1: Evaluation Design Changes (Updated July 2019), Section C. Changes to Data collection activities and reporting, the numbers of KIIs will be revised and reduced due to Phase 2 being conducted after grantee activities have concluded.

In regard to the beneficiary participants selected for FGDs and the mini survey (who will be the same participants), in each district we will select two farmer groups in different sub districts. Farmer groups will be selected randomly from a complete list of all farmer groups in selected districts using the functionality in Microsoft Excel to randomly identify entries from a list. Only beneficiaries that commenced involvement in the programs under the GP funding window will be selected. The purpose of random selection is to minimize bias. It is considered to be the most effective sampling method to obtain representative information from a large number of groups. The sample unit for the FGDs and the mini survey will be the farmer household represented by the farmer. To understand social and gender inclusion, female respondents will be recruited from the same selected farmer groups and a separate group discussion and survey will be held with females. The samples size for participants in the FGDs/mini survey will total 160 including 40 for CR, 40 for EQSI and 80 for SCPP. The sample size is not large enough to draw statistical inferences so the mini survey will be conducted to identify trends only.

Please see Annex 1: Evaluation Design Changes (Updated July 2019), Section D. Changes to sample selection and site visits for a revised Table 14. While the sample size will not change, the data collection time and exposure period has been revised.

Table 14: Beneficiary data collection

Grant	Data collection	Timing MM/YYYY (include multiple rounds)	Sample Unit/ Respondent	Sample Size	Relevant instruments / modules	Exposure Period (months)
SCPP	FGD/Mini survey	Sept/Oct 2017	Beneficiary farmer household/ beneficiary farmer	80	FGD guide/mini survey	24 (6 months in West Sumatra)
CR	FGD/Mini survey	Sept/Oct 2017	household/ beneficiary farmer	40	FGD guide/mini survey	24
EQSI	FGD/Mini survey	Oct 2017	household/ beneficiary farmer	40	FGD guide/mini survey	24

3.2.3 Field Data Collection

The team will start in Jakarta where they will meet with MCA-I and with the SCPP Team Leader for Access to Finance and Technical Director, Cocoa. The team will then fly to Makassar and hold a team planning meeting. On the third day in Makassar they will begin holding KIIs with stakeholders including project directors from the three grants. The team will then commence field work involving farmer group and district level KIIs, FGDs and mini survey. The team will split into two sub-teams, with Team 1 travelling to Mamuju, West Sulawesi before travelling to Majene, and travelling to West Sumatra. Both teams will then rejoin and travel to Luwu Utara and Kolaka Utara in South Sulawesi before travelling to Kolaka Timur, Konawe and then Konawe Selatan in Southeast Sulawesi. The team will then travel to Southeast Sulawesi provincial capital Kendari for additional KIIs and then back to Makassar for two days of field study analysis after which they will return home and commence the draft evaluation report.

Field Data collection will be revised from the Phase 1 description above based on logistics and contractual considerations for MCC and grantee availability. Please see Annex 1: Evaluation Design Changes (Updated July 2019), Section D. Changes to sample selection and site visits.

3.2.3.1 Data Management

The ET will conduct KIIs and facilitate FGDs in Bahasa Indonesia since most of the farmers are fluent and at least have completed primary school. The ET members include a Team Leader, Cocoa Sector Specialist, Jr. Analyst and Cocoa Research Coordinator. The team will divide into two teams of two in the same selected district in order to minimize the risk of unprecedented issues being faced by a team member. Each team will have one Indonesian member to maximize local knowledge. Ten beneficiaries will participate in each FGD. At each meeting one team member will interview/facilitate and the other will take notes. The ET will take notes during data collection and digitally word process these daily to ensure that all important statements and ideas are captured. Additionally, all interviews will be recorded with the permission of the interviewee, and the notes will aid in transcription and analysis following each interview. Completed recordings will be uploaded and saved securely on the Team Leader's external hard drive. For the mini survey, each team member will interview a group of five farmers to self-administer the survey (totaling 10 respondents for each of the two teams). Data collection will be paper based. After completion, the ET member will check the survey for consistency and where there are issues will check with farmers on the spot. A guide will be prepared for issues/problems to look out for in checking surveys. Data collected will be entered into a spreadsheet at the end of each day of field work for ease of analysis.

The instruments (KII guides, FGD guides, mini survey instrument and direct observation protocols) will be translated into Bahasa and pre-tested remotely, as well as in Jakarta, prior to field travel to check for comprehensibility for beneficiaries, logical flow and time required. Based on the testing, adjustments will be made accordingly.

3.2.3.2 Data Analysis

Throughout site visits the ET will collect data in real time, analyzing findings on a daily basis to determine emerging trends in order to aggregate findings around common themes. SI will use content and comparative analysis to identify response categories and patterns and identify emergent themes and contextual factors. Following the conclusion of data collection, the PE will aggregate data obtained from the KIIs and FGDs around common themes related to the four EQs. For quantitative Mini-Survey

data, the ET will input data electronically on a regular basis throughout data collection and will conduct basic analysis to identify any emerging trends, such as frequency distribution and subgroup comparison via cross-tabulation. Data analysis will tabulate responses and disaggregate data, as possible, by project, private sector partner, region, and gender, to understand what changes occurred and how this might have varied among beneficiary groups. SI will analyze data obtained by FGDs by project, location, and gender to capture any differing perspectives of grant approaches and experiences among groups. KIs will analyze key themes identified by stakeholders.

As this PE explores three separate grants, the ET will seek to identify best practices and lessons learned by making comparisons between each of the grants in terms of the outcomes of their programmatic approaches for each of the EQs. As the three grants have widespread and differing budgets and implementation strategies, this comparison will include any trends, similarities or differences in efficacy related to geographic distribution, training and overall achievement of program outcomes to date. On questions of effectiveness, data analysis will examine how and why changes occurred and if experiences varied among sub-groups. Looking more broadly through the value chain the team will look at how the projects combined support for different areas and brought different actors together to bring about the TOC. The ET will also look at how the different stakeholders perceive the likelihoods of sustainability and what are the key innovations and ways of operating that can constitute lessons learned from each project. Several data analysis methods that may be used are listed below:

1. **Content Analysis**– Content analysis will entail the ET’s intensive review of KI and FGD data to identify and highlight notable examples of the projects’ successes (or lack of successes) that contributed to or did not contribute to the Activity’s goal and objectives.
2. **Trend Analysis** – Trend analysis will enable the ET to examine different project indicators over time to identify patterns of convergence (or divergence) of activity outputs and outcomes toward the stated objectives.
3. **Gender Analysis** – the ET will similarly capture and compare the results of the program as it specifically benefited (or did not benefit) women and men. All data collected through its KIs, FGDs, and mini-surveys will be disaggregated by gender and analyzed for effects on female beneficiaries.

Mixed methods analysis will be sequential and parallel to both identify emerging issues and to strengthen the reliability of findings. Ongoing data analysis throughout the fieldwork will indicate any emergent issues for further exploration in future KIs or FGDs, particularly for unintended outcomes. The ET will also triangulate monitoring (if provided) and Mini-Survey data with its qualitative findings to ensure the credibility and reliability of findings through a systematic and rigorous data analysis approach and analytical depth and nuance. Through this use of qualitative data, the team will examine questions of how or why activities were perceived successful or not, including for key groups such as women, and compare stakeholder perceptions of issues such as challenges to efficacy or how project activities affected stakeholder relationships.

Regarding sustainability, the ET will take into consideration how well the cocoa grants align with GoI policy on sustainable agriculture or cocoa, and how national or local government policy or procedures may have contributed to or hindered results, as well as how that contribution bodes for future work in

the cocoa sector in the country. Analysis will specifically look to address broader long-term outcomes of grant approaches including analyzing contributors to overall improved natural resource management (efficacy of specific grant approaches and cross tabulation of supporting data on tree planting, yields and fertilizer use) and overall improved incomes (efficacy of specific grant approaches and cross tabulation of supporting data on farmer costs, farm size, certification and traceability and adoption rates).

Disaggregation of all data for analysis will be by KI type (i.e. managerial/project staff, buying stations, government), gender of respondents where available, and geographic location of respondent. For comparison between grants, the ET will also disaggregate data by grantee.

Upon completion of Data Collection (fieldwork), the Team Leader will lead internal working sessions with team members to discuss emerging findings. The team will utilize Microsoft Excel for analysis of both qualitative and quantitative data, as well as STATA and/or SPSS for analysis of trends, correlations and cross tabulations.

3.2.3.3 Challenges to Data Collection

There are a number of challenges and limitations to data collection.

The first challenge relates to the sample size and the potential for the sample to represent the sample frame/population due to the large number of beneficiaries, particularly in relation to SCPP, the largest of the three grants to be evaluated. This relates primarily to primary quantitative data collection but also to qualitative. A further complicating factor in relation to the latter is that within SCPP there is a large amount of variation within the project among the population including 12 private sector partners, 14 districts and numerous sub-districts and villages within those districts. With the limited logistical scope, there is potential to miss differences pertaining to factors such as private sector partner, ethnicity, location and socio-economic status and gender. This is despite the fact that the ET will disaggregate data along these lines: samples (quantitative and qualitative) are unlikely to be large enough to reach definitive conclusions in relation to these differences.

There will be some challenges in regard to assessing the efficacy of training. Grantees have conducted before-and-after training assessments but the uniformity of these is uncertain and this data available to the team may be incomplete. Therefore, assessing the efficacy of training will be based on assessing the curriculum, asking farmers and other stakeholders about their views of the training and looking at yield improvements as they have been recorded through the program's MIS data. Although the evaluation is not an impact evaluation, the ET will seek the data on outputs that was unavailable at the time of the Phase 1 evaluation (yields, income, fertilizer use) and notes that differences in grantee output measurements along may create data limitations. Further, a shorter contract period and exposure period for agriculture projects can limit the amount of actual outputs to be measured during or immediately after implementation and the ability to predict long-term success, especially for key changes such as income and yield. Yield improvements will be assessed as a proxy for demonstration of adoption of practices taught through the training. This may be problematic as there could be other factors affecting farmer yields for the positive or negative (e.g. better weather, a drop in pest and disease burden, training from other providers, income from other sources which enables

farmers to purchase fertilizer). Therefore, the findings on yields will be cross checked with the qualitative information received from farmers.

There are also challenges to ensuring that the PE farmer participants represent the full range of beneficiaries in terms of their success in implementing the training and their enthusiasm for the program. This is due to the fact that at the level of farmer group it is difficult to control who participates as it depends on who is available on the day. There is a potential for positive bias to occur in the selection of participants by group leaders. At the level of village and farmer group the ET will endeavor to minimize such bias by randomly selecting farmer groups from a list of all active groups.

There is also the potential, when communicating with participants, to obtain information that does not accurately reflect the situation on the ground and/or their true opinions. This could be due to misunderstanding or a sense of pressure on behalf of the respondent to express a particular view. The ET will take a number of steps to mitigate the input of wrong information into the PE including explaining to participants that we are interested in their honest opinions and there should not be any consequences for expressing certain opinions. The self-administered mini survey is a site where potential bias could occur as farmers will need to work in groups under the supervision of the ET member to complete the survey. For this reason, questions in the mini survey will be kept very simple and focused on “factual” information.

4 ADMINISTRATIVE

4.1 Summary of IRB Requirements and Clearances

In conjunction with MCC's commitment to respect and follow the Common Federal Policy for the Protection of Human Subjects where feasible, SI will pass the approved evaluation design through IRB review prior to data collection. SI has a fully functional Institutional Review Board (IRB), with established protocols for gathering informed consent, protecting anonymity and identifying information, and ensuring ethical data collection—including from children and other vulnerable populations. As standard practice, SI will collect any identifying information together, and immediately separate from additional data collected such that only a small number of approved researchers can link responses to their source. SI's evaluation team has similar established protocols for anonymizing datasets for presentations. SI's internal IRB is registered with the U.S. Department of Health & Human Service's Office for Human Research Protections. In addition, SI closely monitors and adheres to human subject research regulations in its countries of operation to ensure all evaluations are registered and fully compliant with local law.

4.2 Data Protection

The privacy of all participants who take part in the data collection will be respected throughout the evaluation. To maintain confidentiality and to protect the rights and privacy of those who participate in the Cocoa sector evaluation, data files will be free of identifiers that would permit linkages to individual research participants and will exclude variables that could lead to deductive disclosure of the identity of individual subjects. Further, the qualitative research methods will be designed to protect subjects and guarantee confidentiality in order to maintain the integrity of the data collection among these groups while minimizing non-response. Transcripts and identifying information will be stored in password-protected folders and will not be made publicly available.

Once data collection is complete for a given stage of the evaluation, SI will generate a final report and datasets. These materials will be shared with MCC and key stakeholders for review and comment before drafts are finalized. SI will present and share documents with MCC, and other stakeholders as outlined in the Dissemination Plan included below.

4.3 Dissemination Plan

With every evaluation that SI conducts, we develop and implement a communication plan for enhancing the utilization and visibility of the results through our EQUI™ approach, especially to evaluation beneficiaries and stakeholders. SI's communications plan for the Cocoa PE evaluation will articulate an understanding of the specific context and target audience and how to reach them, research into past communications efforts and public opinion about the issues, the messages to be delivered, the mediums and messengers through which it is communicated, materials to be produced, and financial resources from which staff and equipment will be drawn. It is not only important that the evaluation answers the evaluation questions, but also that those findings translate into policy actions by MCC and other stakeholders. SI proposes to establish a robust utilization plan to maximize use of the evaluation findings. SI's approach to evaluation draws on utilization-focused methodologies to help

build capacity and to ensure that the information generated by the evaluation is genuinely useful to MCC. Prior to field travel, the Team lead will present this design report to MCC in Washington DC to aid in finalization of all field activities and gain further insight as to the possibilities for long-term benefits of the evaluation findings and recommendations. The team will hold a debrief meeting before fieldwork closes to share preliminary findings and better capture input from MCC and the implementers and to more closely involve stakeholders in the evaluation process. The team will also hold a meeting in the last week of fieldwork to make a plan for drafting the evaluation report. Seven to eight weeks after the field work has concluded and the initial report has been drafted, the evaluation Team Lead along with SI management will conduct a presentation of final results to MCC in Washington. This final presentation will include all final findings and conclusions from the evaluation draft report.

4.4 Evaluation Team Roles and Responsibilities

SI's evaluation team will consist of an international Team Leader along with a local Cocoa Sector Specialist and a local Cocoa Sector Research Assistant and Junior Analyst. The team leader will supervise the evaluation team's work, with overall guidance and technical input from SI's home office staff. The Junior Analyst will be from the SI home office, and will travel to the field with the team, assist in data collection, analysis and evaluation quality assurance and will also facilitate communication between the home office and the evaluation team via the Program manager to ensure SI standards are met and deliverable are received. The Program Manager will be the team's direct point of contact with MCC. All of those noted as in-country team members will be active members of the evaluation and data collection team in Indonesia.

Table 15: Evaluation Team Roles and Responsibilities

Key Personnel	Position	Roles and Responsibilities
Yes	Program Manager: <i>Mike Duthie</i>	<ul style="list-style-type: none"> Responsible for technical oversight and senior-level evaluation expertise. Primary point of contact for MCC. Also responsible for oversight of overall contract performance for SI-HQ. including quality assurance and technical support prior to submission of key client deliverables
Yes	Agriculture and Natural Resource Specialist: <i>David Rinck (in-country team member)</i>	<ul style="list-style-type: none"> Supervise the evaluation team's work, with overall guidance and technical input from SI's home office staff. Provide senior level expertise in agricultural value chains, economic development and NRM for smallholder farmers. Direct evaluation design report production, travel to Indonesia for data collection, analysis, final report writing and debrief presentation (Jakarta and Washington) Serve as point of contact with MCC and key government and private sector stakeholders
No	Cocoa Sector Specialist/Junior Analyst: <i>Hariyadi Hariyadi (in-country team member)</i>	<ul style="list-style-type: none"> Support evaluation design development, data collection, analysis and reporting. Assist in conducting debrief in Jakarta. Provide country and region-specific insight on cocoa sector investments, smallholder cocoa farming livelihood considerations and agricultural market and farm management priorities. Liaise with government and private sector stakeholders

Key Personnel	Position	Roles and Responsibilities
No	Junior Analyst: <i>Leah Ghoston (in-country team member)</i>	<ul style="list-style-type: none"> Support evaluation design development, and travel to Indonesia to complete data collection, analysis and report writing. Conduct debrief activities with TL and Cocoa Sector Specialist (Jakarta and Washington) Ensure ET follows SI and MCC quality assurance standards for evaluations, including rigor in data collection and troubleshooting Liaise with MCC
No	Local Research Assistant: <i>Cininta Pertiwi (in-country team member)</i>	<ul style="list-style-type: none"> Provide support in data collection, analysis and coordination of field travel and meeting logistics
No	Local Administrative Assistant/Translator: <i>Hamsani Hambali (in-country team member)</i>	<ul style="list-style-type: none"> Provide logistical support including travel arrangements, meeting arrangements, translation and other administrative tasks as needed

4.5 Evaluation Timeline & Reporting Schedule

The data collection activities will commence with an initial conference call with MCC in Washington, DC followed by correspondence with all three implementing partners to inform a thorough document review and inform the development of a detailed evaluation work plan. As part of the work plan, the evaluation team will develop data collection tools and a sampling plan. During field work, the team will work together over a timeframe of approximately six weeks, four of which will be spent at field sites outside of the capital. The team will end in Jakarta to aggregate and analyze data, and to prepare for the presentation of initial findings to MCC and the implementer (if possible). The team will then develop a draft report for review. Upon incorporating feedback, the evaluation team is expected to submit a final evaluation report and corresponding data in February 2020.

Table 16. Evaluation Timeline

Activity	Timeline
Evaluation Design Report- Draft 1 submitted	July 2019
MCC review of draft Evaluation Design Report	
Evaluation Design Report- Final Submission to MCC	September 2019
Evaluation field data collection	October 2019
Data Analysis	
Outbriefing with MCA-I	
Data collection Trip Report submitted to MCC	October 2019
Final Evaluation Report – Draft 1 submitted	December 2019
MCC review of draft Final Evaluation Report	
Presentation of final results to MCC (Washington)	March 2020
Final Evaluation Report Submitted	March 2020
Data and analysis file prep and submission	

5 ANNEXES

5.1 Annex 1: Evaluation Design Changes (Updated July 2019)

It was noted in the EDR for Phase 1 that the Phase 2 EDR would be revised and amended as necessary closer to data collection. At the time of the Phase 1 EDR, there was no explicit design specified for Phase 2. The design for Phase 2 of the evaluation was initially anticipated to largely mirror that of Phase 1. However, small adjustments to the design were made based on availability of key informants and grantees, adjustments to research questions and areas of inquiry raised during Phase 1, and availability of key data and considerations for any changes to the position of Indonesian cocoa on the world market since 2017.

This Annex describes key changes to the evaluation design described in the body of this report for Phase 2 of the Cocoa Sustainable Partnership Grants Portfolio Evaluation as of July 2019. In Section A we describe the rationale for these changes by describing how project implementation differed from the original plans. In Section B we exhibit the new guiding research questions for the evaluation. In Section C, we describe the revised evaluation data collection activities and reporting after the 2017 interim evaluation. In Section D we describe our updated recommendations regarding respondents and sample sizes for the qualitative data collection.

A. Changes to Implementation

The ET will receive final information on village, sub-district, district, provincial and national level progress during initial fieldwork in Jakarta before visiting targeted project locations for data collection. The following information is based on quarterly reports, monitoring and evaluation (M&E) data, MIS data, and Final Reports provided by both MCC and the grantees.

The tables below are revised from those in the Phase 1 report which showed progress through the time of data collection, during which each grantee had several months left to complete activities. These revised tables show progress in meeting both beneficiary targets and output targets at grant completion. SCPP concluded after 12 quarters (phase 1 reviewed progress up to Q8), CR concluded after 11 quarters (Phase 1 reviewed progress up to Q7) and EQSI concluded after nine quarters (Phase 1 reviewed progress up to Q7).

Table 17: SCPP Progress Against Outputs, July 2019 (updated Table 4)

SCPP Project outputs*	Target	Actual	Achieved (end Q12) (%)
# Farmers trained in Basic Good Agricultural Practices (GAP)	74,493	72,739	97.6%
# m ² Nurseries established	34,394	36,114	105%
# MSMEs/Centers of Excellence supported	482	629	130%
# Farmers trained in Good Environmental Practices	69,733	59,774	85.7%
# Farmers trained in Good Nutrition Practices	45,615	35,116	76.9%

% Participation of females in training	N/A	N/A	-
# Farmers certified with third party sustainability standards	27,000	26,762	99%

*This table is a selection of all final project outputs

Table 18: Cocoa Revolution Progress Against Outputs, July 2019 (updated Table 5)

CR Project outputs	Target	Actual	Achieved (end Q11)%
# Demonstration plot established	40 plots*	40	100%
# Farmers receiving certification audit	8,000	7,000	87.5%
# Farmers trained on integrated GAP, SAN and CSA	8,000	7,891	98.6%
# Nurseries (business) established	62	63	101%
# Solar dryer (community) constructed	175	140	80%
# Farmers trained for financial literacy	8,000**	7,543	94%
# (selected) Farmers monitor for climate smart practices	200	-	-
# (selected) farmers for yield and gap measurement	400	-	-

*At the time of Phase 1 (Q7), this target was 105 plots, it was changed in the CR final report.

**At the time of Phase 1 (Q7), this target was 4,587, it was changed in the CR final report.

Table 19: EQSI Progress Against Outputs, July 2019 (updated Table 6)

EQSI Project outputs	Target	Actual	Achieved (end Q9) (%)
# total beneficiaries reached	12,700	8,562	67%
# Farmers trained for GAP/GEP	6,500*	3,066	47%
# Farmers trained in agribusiness (GFP)	7,000	4,916	70%
# farmer groups established	20*	20	100%
# Farmer's trained on fermentation and post-harvest handling	260	184	70%
# nurseries established propagate certified cocoa trees	20	20	100%

* At the time of Phase 1 (Q7), this target was 500, it was changed in the EQSI final report.

** At the time of Phase 1 (Q7), this target was 260 plots, it was changed in the EQSI final report.

Final reports received for CR and EQSI during the drafting of this EDR include different targets for project outputs than previously recorded, as noted by the asterisks above. During the course of the Phase 2 evaluation, the team will seek to clarify all final reporting targets and achievements and highlight any and all inconsistencies or contradictions in recorded monitoring data.

B. Revised Guiding Evaluation Questions

The evaluation questions (EQ) were developed in consultation with MCC and SI and were revised minimally after Phase 1 to reflect questions that better identify lessons learned for MCC regarding grant design appropriateness and efficacy and considerations for long-term grant effectiveness and outcomes since they have concluded.

The EQs focus on common issues across the three projects in the portfolio pertaining to the cocoa sector in Indonesia as well as comparing outcomes between the three initiatives. For EQ1 and 2, Phase 2 will look in particular at the activities conducted under each of the grants (including good agricultural and environmental practices, finance and agribusiness, tree planting, nurseries and demonstration plots, third-party certification and traceability) and the efficacy and relevance of these approaches, separately and in combination with the others under the portfolio, especially relating to the existing context and geographic location of implementation sites. The ET will also review practices relating to behavioral changes and outcomes and factors affecting adoption of practices. For EQ 3, the ET will pay particular attention to the M&E systems implemented by each grantee and the outputs of these systems, in particular the use of data for decision making and the long-term use of data generated under the GP cocoa grants portfolio. EQ 4 will require close consultation with industry partners and other key stakeholders, with a careful assessment of key outcomes, activities, and systems to enhance cocoa production (i.e. cooperatives, independent entrepreneur input suppliers, and certification and traceability systems) and the prognosis for which behaviors (i.e. planting of shade trees) are likely to be sustained, with farmers likely to continue to reap benefits. The ET will also identify any external factors affecting the long-term success of cocoa in Indonesia.

Table 20: Updated Evaluation Questions for Phase 2

Evaluation Question	Areas of Inquiry
<p>1. Theory of Change</p> <p>To what extent were the TOCs valid in achieving the overall project objectives?</p>	<p>a. Regarding the design of each of the grants, to what extent was each implemented according to plan? What was the overall relevance and logic of the designs?</p> <p>b. How were contextual factors (i.e. factors such as history, crop diversity, topographic and soil and crop quality, access to land, private sector presence and commercial infrastructure, etc.) taken into consideration in the request for grant applications and by the grantees when designing the cocoa projects?</p>

Evaluation Question	Areas of Inquiry
<p>2. Implementation Approaches</p> <p>To what extent have the GP cocoa grants' (Cocoa Revolution, GP-SCPP, and EQSI) approaches and activities proven successful in improving farmers' knowledge, attitudes, and practice of GAP/GEP?</p>	<ul style="list-style-type: none"> a. How have GAP/GEP principles and measures been applied or adopted by trainees after training? What were the adoption rates by types of key training activities (i.e. pruning, grafting, etc.) and what are enabling or constraining factors related to adoption? b. To what extent were there changes in income, management/financial practices, productivity, product quality, access to inputs, and value chain integration? What are farmer and grantee/private sector perceptions of these changes? What are enabling or constraining factors related to changes? c. To what extent were there changes in access to markets? What are enabling or constraining factors related to access? d. How did the outcomes of the approaches vary in terms of changes in income, management/financial practices, productivity, product quality, access to inputs, and value chain integration? How sustainable are these outcomes likely to be and what are the likely outcomes in the near future (2-4 years)? What are enabling or constraining factors related to outcomes?
<p>3. Knowledge Management</p> <p>How did the GP cocoa grantees monitor grant progress towards results and outcomes during implementation, and how did they use this information to manage project performance?</p>	<ul style="list-style-type: none"> a. Have grantees received any feedback from the cocoa consortium members, farmer associations, co-ops, or the GoI relating to cocoa quality, farmer performance, training or specific activities? What changes have the private sector observed as a result of the intervention, and have actors in the industry learned anything new? Were any approaches changed as a result of learning from feedback? b. How effective were knowledge management systems in communicating changes, challenges, and successes and what could be improved? c. To what extent did/can M&E practices and systems provide useful data for future programming or activity assessments? Who are the data owners and how are they using the farmer data generated under the GP grants? d. What, if any, lessons, practices, or successes can be (and/or are already being) applied to other value chains and to MCC and/or other private and public stakeholders' work in (or outside of) the cocoa sector?

Evaluation Question	Areas of Inquiry
<p>4. Sustainability</p> <p>What results or outcomes of the GP cocoa grants are likely to be sustainable and scalable, and what results do not appear to be sustainable and scalable?</p>	<ul style="list-style-type: none"> a. What role do global market trends or priorities play in considering sustainability? b. What factors will enable continued success for farmers and smallholders, including key strategies or approaches (certification, fermentation, incentives)? What challenges or limitations may affect sustainability of grant outcomes? c. Do private sector actors believe that they achieved a good financial and social return on their investment? Will they continue similar approaches in the future?

C. Changes to Data Collection Activities and Reporting

As in Phase 1, the Cocoa Evaluation Team will employ six methods for data collection including a desk review, KIs, FGDs, Mini-survey, direct observations and a review of secondary data, however there are slight adjustments that have been made to specific methods, as noted below.

1) A review of secondary data including background project documents and reports, government data, before and after training assessments (where available), M&E and strategic plans, and project design documents will give the ET an in-depth understanding of what the grantees are aiming to achieve, will enable the ET to review achievements relative to planned targets and timelines and will provide material for addressing the evaluation questions. In addition to the background information provided by each grantee, the evaluation team will also review global market reports, economic reports on regional, quarterly, and yearly crop outputs, donor reports (World Bank, ADB etc.), international trade association publications (ICCO, WFC, etc.). In Phase 1, the ET relied more heavily on grantee data, and in Phase 2 in addition to this data the ET will more closely review international cocoa standards and best practice documentation. Table 21 provides a list of key documents that will be analyzed by the ET.

Table 21: Secondary data/documents to be reviewed

All Grants	Additional documents for review
Partnership Proposal; Quarterly Reports; KPI and M&E Plan; MIS system; Training modules; Before and after training assessments; Baseline and Postline Studies; Budget; final outcome measurement systems (i.e. pod-counting)	Economic reports on regional, quarterly, and yearly crop outputs (such as the Global Yield Gap Atlas), latest International Cocoa Organization (ICCO) and World Cocoa Foundation (WCF) Annual Reports, Quarterly Bulletins of Cocoa Statistics, Project Reports related to Indonesia, World Bank and Asian Development Bank (ADB), Multi-Donor Trust Fund, Doing Business Reports, Project Reports related to Indonesia, Indonesian Cocoa Companies' websites and online documentation.

2) Monitoring data on inputs and outputs will be referenced for all grantees. Phase 1 data collection was limited by scant availability of uniformly collected data across all grantees; the ET concluded from Phase 1 findings that for an agricultural project, contract period of less than 5 years was too short to realistically detect results outside of the short-term, and a challenge to determine comprehensive medium term results or predict long-term successes. Additionally, varying exposure periods of the individual grants (only one of which exceeded 2 years) limited grantees' ability to complete activities and produce solid data on short- and medium-term agricultural outputs and outcomes. Difference in exposure periods throughout the project were noted for SCPP (the longest of all the grants, but which had some new sites with less than 6 months of exposure) and for EQSI, which had start-up delays due to management and communication with MCA-I. At the time of the Phase 1 evaluation, all 3 grantees had less than 6 months remaining in their contract period- collecting data any earlier would likely not have produced significant findings.

For Phase 2, all final data should be accessible to the evaluation team for analysis. MIS data will include beneficiary (individual or group) level data including demographic data to enable frequency analysis and disaggregation- this data will be sex disaggregated wherever possible but it is understood from the quality of data collected in Phase 1 that this may not be available for all indicators across all grantees. The ET will retrieve data from the SCPP, EQSI and PT Kalla monitoring systems for information on yields, adoption rates of practices promoted by the projects (e.g. improved seedlings or grafts, fertilizer, solar dryers, numbers of famers certified, numbers of farmers fermenting, fertilization, shade tree planting, intercropping, etc.), use of inputs and group formation. Collation and analysis of this data will be used to address evaluation question 2; Quantitative data on inputs will assist in addressing evaluation questions 1 and 2 on the programs' TOCs. Unlike in Phase 1, the evaluation team will no longer be utilizing or reviewing third-party data on greenhouse gas emissions (GHG) for Phase 2. Per guidance from MCC, the third-party data on GHG is no longer applicable for consideration for the Phase 2 Cocoa grants portfolio performance evaluation, as it is not a key consideration in the EQs. This data was not collected by grantees at the time of the Phase 1 evaluation. The team will however, review all grantee-reported data on land use and tree planting and capture farmer feedback on fertilizer and composting practices as part of review of the contributions of the Cocoa grants portfolio to the overarching Green Prosperity results framework, and broader considerations for reduced GHG.

3) Key informant interviews (KIIs) will be conducted with project stakeholders. The purpose of the KIIs will be to collect qualitative information around participant observations and perceptions about project outcomes, strengths and weaknesses in programming, and lessons learned. Phase 1 KII questions were targeted to perceptions and analysis of stakeholders on current activities and potential for long term sustainability. Phase 2 KII questions will focus on stakeholder insight on grant approach strengths and weaknesses, lessons learned and key considerations for the cocoa sector in the future in line with the revised EQs 1-4. Stakeholders such as government representatives, private sector representatives, local inputs suppliers and community leaders will be included as key stakeholders. Under Phase 1, a number of project staff at all levels were also key informants for interview. Since Phase 2 is being conducted after the grant activities have concluded, it is understood that the evaluation team will have a much more limited pool of project staff to interview, if at all, and this may differ widely between grantees. This will be discussed further in section D. Changes to sample selection and site visits. The key informants for Phase 2 will be asked about their opinions on topics such as:

- The extent to which the programs were designed to reflect the current context of Indonesia, aligned with Government strategies, and had appropriate expectations per their theory of change/results chain models (EQ1)
- Their views on the quality, levels of adoptability and adoption of the training provided to farmers by the grantees, key outcomes noted and how they think efficacy can be measured (EQ2)
- The extent to which the programs have strengthened existing and developed new business models and relationships in input markets and post-harvest processing and product marketing (EQ2), if there has been any difference in impact for men or women, and what the roles of certification, traceability, and incentive schemes are in benefiting farmers and promoting benefit sustainability (EQ2 & 3)

- How grantee progress was measured, if existing data generated from the grantees influenced key decisions around decision-making and what lessons were learned from the project that they would apply in the future in a similar context particularly in relation to regional differences (EQ3)
- Looking forward, the likely sustainability of benefits beyond the life of the project now that the activities have concluded (EQ4)

As in Phase 1, a **Mini Survey** will be conducted in Phase 2 with the same male and female farmers participating in the FGDs and contain both open and closed-ended questions. As the Cocoa grant activities and training have concluded, the focus of the survey questions will be on changes in practices before the project, during the training period (or during the project activity period) and since the project has ended in relation to farming practices among respondents relating to (i) growing cocoa (e.g. IPDM, soil regeneration, nutrient management and genetic material) (ii) processing cocoa (e.g. solar drying, quality sorting, and fermentation) and (iii) selling cocoa (e.g. direct selling to international buyers and participating in certification systems). Some basic information on farmer, household and farm characteristics will also be sought to support disaggregation for data analysis. The purpose of the survey is to obtain quantitative data to underpin the qualitative findings. As in Phase 1, In Phase 2 the surveys will be self-administered immediately following FGDs.

There are no changes anticipated to the data collection for Focus Group Discussions and Direct Observation. These methods remain unchanged.

The Data Sources Table below (Table 22) shows the data sources and data collection methods identified for each evaluation question and sub-questions, updated for Phase 2.

Table 22. Data Sources and Evaluation Design Matrix
1. Theory of Change

To what extent were the TOCs valid in achieving the overall project objectives?

Evaluation Question	Expected Outcomes	Analysis Plan	Data source	Data type
a. To what extent were each implemented according to plan? What was the overall relevance and logic of the designs?	N/A	Content analysis of documents and KII findings	Grantee proposals and reports	Document review KIIs
b. How were contextual factors (i.e. factors such as history, crop diversity, topographic and soil and crop quality, access to land, private sector presence and commercial infrastructure, etc.) taken into consideration in the request for grant applications, and by the grantees when designing the cocoa projects?	N/A	Content analysis of documents and KII findings	Grantee proposals and reports	Document review KIIs

2. Implementation Approaches

To what extent have the GP cocoa grants' (Cocoa Revolution, GP-SCPP, and EQSI) approaches and activities proven successful in improving farmers' knowledge, attitudes, and practice of GAP/GEP?

Evaluation Question	Expected Outcomes	Analysis Plan	Data source	Data type
a. How have GAP/GEP principles and measures been applied or adopted by trainees after training? What are adoption rates and what contributes to adoption rates?	Farmers apply good farming practices (GP Cocoa logic), increased adoption of environmentally friendly practices (GP Cocoa logic), farmers adopt climate smart practices (RA), adoption of improved NRM practices (GPP), cocoa production does not encroach on natural forests (RA), farmers plant and care for new seedlings (RA), improved land use (GP Cocoa Logic)	Content analysis of KII and FGD findings Frequency analysis Mini survey Disaggregation of responses	Progress reports Project staff Private sector/ Government reps Beneficiary farmers	Document review KIIs FGDs Survey Direct observation
b. To what extent were there changes in income, management/financial practices, productivity, product quality, access to inputs, and value chain integration? What are farmer and grantee/private sector perceptions of these changes? What are enabling or constraining factors related to changes?	Farmers apply improved business mgmt. and quality control measures (RA) Improved farm mgmt. and record keeping (RA)/good farming practices (GP Cocoa logic), farm and income diversification (RA), increased income from cocoa production/ increased total household income and income stability (RA/GP Cocoa Logic/GPP), the cocoa sector adopts measures to enhance transparency, farm profitability and cocoa quality (SCPP), higher value products produced (GP cocoa logic), improved cocoa quality (RA)	Content and trend analysis of KII and FGD findings Frequency analysis Mini survey Disaggregation of responses Frequency analysis MIS (outputs) and disaggregation of responses by project, locations, sex, age and respondent group type	MIS Reports Project staff Private sector/ Government reps Farmers	Document review KIIs FGDs Survey Direct observation

c. To what extent were there changes in access to markets? What are enabling or constraining factors related to access?	Market linkages strengthened, (RA), improved marketing mechanisms and access to markets (GP Cocoa Logic), cocoa production does not encroach on natural forests (RA), improved land use (GP Cocoa Logic)	Content and trend analysis of KII and FGD findings Frequency analysis Mini survey Disaggregation of responses	MIS Reports Project staff Private sector/ Government reps Farmers	Document review KIIs FGDs Survey Direct observation
d. How did the outcomes of the approaches vary in terms of changes in income, management/financial practices, productivity, product quality, access to inputs, and value chain integration? How sustainable are these outcomes likely to be and what are the likely outcomes in the near future (2-4 years)? What are enabling or constraining factors related to outcomes?	Farmers apply improved business mgmt. and quality control measures (RA), improved farm mgmt. and record keeping (RA), farmers apply good farming practices (GP Cocoa logic), increased adoption of environmentally friendly practices (GP cocoa logic)/farmers adopt climate smart practices (RA)/ adoption of improved NRM practices (GPP)	Content analysis of training curriculum Content analysis of KII and FGD findings Frequency analysis Mini survey Disaggregation of responses	Training curriculum Progress reports Project staff Private sector/ Government reps Farmers	Document review KIIs FGDs Survey Direct observation
e. What methods are used to verify and document the number of participants trained, number of hectares of sustainable product, fertilizer use and farm yields?	Increased cocoa yield (RA/GPP), improved productivity (GP Cocoa Logic), farmers apply improved business mgmt. and quality control measures (RA), improved farm mgmt. and record keeping (RA), Net reduction in greenhouses gases as a result of the project (RA)	Content and trend analysis of KII and FGD findings Frequency analysis Mini survey	MIS Project reports Project staff Farmers	Document review KIIs FGDs Survey Direct observation

f. What challenges or limitations exist in timely verification/documentation, validity, and confounding factors for monitoring data?	Farmers apply improved business mgmt. and quality control measures (RA), improved farm mgmt. and record keeping (RA)	Content analysis of KII and FGD findings	Reports Project staff Private sector/ Government reps	Document review KIIs FGDs
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3. Knowledge Management

How did the GP cocoa grantees monitor grant progress towards results and outcomes during implementation, and how did they use this information to manage project performance?

Evaluation Question	Expected Outcomes	Analysis Plan	Data source	Data type
a. Have grantees received any feedback from the cocoa consortium members, farmer associations, co-ops, or the GoI relating to cocoa quality, farmer performance, training or specific activities? What changes have the private sector observed as a result of the intervention, and have actors in the industry learned anything new? Were any approaches changed as a result of learning from feedback?	The cocoa sector adopts measures to enhance transparency, farm profitability and cocoa quality (SCPP), higher value products produced (GP Cocoa logic), improved cocoa quality (RA)	Content and trend analysis of KII and FGD findings	Project staff Private sector/ Government reps Farmers	KIIs FGDs
b. How effective were knowledge management systems in communicating changes, challenges, and successes and what could be improved?		Content analysis of KII findings and documents	Project staff	Document review KIIS

c. To what extent did/can M&E practices and systems provide useful data for future programming or activity assessments? Who are the data owners and how are they using the farmer data generated under the GP grants?	The cocoa sector adopts measures to enhance transparency, farm profitability and cocoa quality (SCPP), higher value products produced (GP Cocoa logic), improved cocoa quality (RA)	Analysis of project documents and MIS (Cocoa Trace, OFIS)	MIS Project staff	Document review KIs
d. What, if any, lessons, practices, or successes can be applied to other value chains and to MCC and/or other private and public stakeholders' work in (or outside of) the cocoa sector?	The cocoa sector adopts measures to enhance transparency, farm profitability and cocoa quality (SCPP), higher value products produced (GP cocoa logic), improved cocoa quality (RA), net reduction in greenhouse gases as a result of the project (RA)	Content analysis of KII and FGD findings	Project staff Private sector/ Government reps Farmers	KIs Survey

4. Sustainability

What results or outcomes of the GP cocoa grants are likely to be sustainable and scalable, and what results do not appear to be sustainable and scalable?

Evaluation Question	Expected Outcomes	Analysis Plan	Data source	Data type
a. What role do global market trends or priorities play in considering sustainability?	Market linkages strengthened, (RA), improved marketing mechanisms and access to markets (GP Cocoa Logic), higher value products produced (GP cocoa logic), improved cocoa quality (RA)	Content and trend analysis of KII and FGD findings and project documents	Reports Literature Review Private sector/ Government reps Farmers	Document review KII FGDs

b. What factors will enable continued success for farmers and smallholders, including key strategies or approaches (certification, fermentation, incentives)? What challenges or limitations may affect sustainability of grant outcomes?	Market linkages strengthened, (RA), improved marketing mechanisms and access to markets (GP Cocoa Logic), farmers achieve RA certification (RA), voluntary certification (GP Cocoa Logic), increased cocoa yield (RA/GPP), improved productivity (GP Cocoa Logic), higher value products produced (GP Cocoa logic), improved cocoa quality (RA)	Content and trend analysis of KII and FGD findings and project documents Frequency analysis mini survey and disaggregation of responses by project, locations, sex, age	Reports Literature Review Project staff Private sector/ Government reps Farmers	Document review KIIs FGDs Survey
c. Do private sector actors believe that they achieved a good financial and social return on their investment? Will they continue similar approaches in the future?	Market linkages strengthened, (RA), improved marketing mechanisms and access to markets (GP Cocoa Logic), farmers achieve RA certification (RA), voluntary certification (GP Cocoa Logic), increased cocoa yield (RA/GPP), improved productivity (GP Cocoa Logic), higher value products produced (GP Cocoa logic), improved cocoa quality (RA)	Content and trend analysis of KII findings	Private sector/ Government reps	KIIs

D. Changes to Sample Selection and Site Visits

In Phase 1, the sampling selection for site visits was purposive, and the ET selected Southeast Sulawesi, South Sulawesi and West Sulawesi as target provinces due to the high numbers of cocoa farming households and participating farmers and also to cover the main SCPP implementation “clusters.” Selection of districts is purposive aimed at representing the major regions of the national cocoa production areas, all of the grants involved in the Cocoa portfolio as well as the majority of the implementation clusters in the SCPP. In regard to Cocoa Revolution, as the program is only implemented in two districts, both districts are included in the study. In regard to EQSI, two out of three program districts have been selected for field research. Four out of 10 SCPP districts have been selected including two which overlap with the other projects, where the ET may identify synergies. Because of its larger scope and large number of project partners, more fieldwork will be conducted at the SCPP sites. In Phase 2, the ET will now travel to East Nusa Tenggara (ENT) instead of West Sumatra which was visited in Phase 1. ENT sites have had a longer exposure period, as the West Sumatra site had only recently begun implementation at the time of the Phase 1 evaluation.

Table 23. Sample District Selection Overview

Project	Province	District	Sub District	Company/Cluster
EQSI	Southeast Sulawesi	South Konawe	Parema Subur, Allengge Agung	Kalla
EQSI	Southeast Sulawesi	Konawe	Beselutu, Lambuya	--
CR	Southeast Sulawesi	North Kolaka	Rantenagin, Batu Putih	Olam, Cargill Mars
CR	South Sulawesi	North Luwu	Sabbang Sukamaju	Olam, Mars, Ecom
SCPP	Southeast Sulawesi	East Kolaka	Lambandia, Dangia	Cargill, Ecom (cluster)
SCPP	South Sulawesi	North Luwu	Sukamaju, Malangke	Olam, Ecom, Mars, Barry Callebaut (cluster)
SCPP	West Sulawesi	Mamuju	Papalang, Sampaga	Ecom (cluster)
SCPP	West Sulawesi	Majene	Malunda, Tubo Sendana	Barry Callebaut (cluster)
SCPP	East Nusa Tenggara	Ende	TBD	Nestle, Guittard
SCPP	East Nusa Tenggara	Sikka	TBD	Nestle, Guittard

As noted above, in Phase 1 each of the grantees still had ongoing activities, so it was not problematic to arrange for KIs with key personnel and stakeholders. However, in Phase 2, most

of the project staff for the concluded grants have since moved on to other posts and the ET anticipates that there will be challenges in accessing these former employees to discuss the project. Thus, the sampling for KIIs will be purposive, including any remaining project staff (management and technical staff) of the grantees (including former staff), but more heavily will sample the government (Bappenas, Bappeda and Department of Agriculture representatives), private sector partners, buyers and local community leaders. They will be selected at national level and in provinces, districts and villages selected for fieldwork and selected purposively based on information received from grantees and from MCC regarding appropriateness and level of project involvement. Project reports have also been used to identify the key actors according to the level of their involvement in the project in terms of functional capacity and responsibility, and the ET has reached out to all three grantees to determine who the appropriate persons will be for contact now that the grants have concluded. Due to the unique nature of the projects having concluded, the ET will also utilize a snowball technique to capture the names and contacts of other key figures emerging from initial conversations with the responding KIIs as needed. Key respondents at the local level will be selected from villages where the FGDs are to be held. This purposive sampling is cost effective as each project has a limited number and specific roles of key respondents. The evaluation team anticipates conducting approximately 30 KIIs, including approximately 8 KIIs with SCPP stakeholders, 4 with CR stakeholders and 4 with EQSI stakeholders as well as KIIs with various general Indonesian cocoa stakeholders as available (e.g. buyers, private sector partners, trade association officials and staff and sector experts), relevant Bappenas officials and staff, as well as local aggregators, input suppliers and traders.

There are no anticipated changes in the sampling strategy for FGDs and mini-survey participants. Table 24, below, has been revised to reflect the new dates of data collection and the total exposure period of beneficiaries following the completion of the grant.

Table 24: Beneficiary data collection

Grant	Data collection	Timing MM/YYYY	Sample Unit/ Respondent	Sample Size	Relevant instruments/ modules	Exposure Period (months)
SCPP	FGD/Mini survey	October 2019	Household/ beneficiary farmer	80	FGD guide/mini survey	27
CR	FGD/Mini survey	October 2019	household/ beneficiary farmer	40	FGD guide/mini survey	23
EQSI	FGD/Mini survey	October 2019	household/ beneficiary farmer	40	FGD guide/mini survey	14

Adjustments to field data collection:

Field travel for Phase 2 has been revised to reflect the site of ENT instead of West Sumatra. The team will start in Jakarta where they will meet with MCC and with key private sector stakeholders as applicable and available. The team will then fly to Makassar and hold a team planning meeting. On the third day in Makassar they will begin holding KIIs with South Sulawesi stakeholders based

in Makassar. The team will then commence field work involving farmer group and district level KIIs, FGDs and mini survey. The team will split into two sub-teams, with Team 1 travelling to Mamuju, West Sulawesi before travelling to Majene, and south to ENT. Both teams will then rejoin and travel to Luwu Utara and Kolaka Utara in South Sulawesi before travelling to Kolaka Timur, Konawe and then Konawe Selatan in Southeast Sulawesi. The teams will then travel to Southeast Sulawesi provincial capital Kendari for additional KIIs and then back to Makassar for two days of field study analysis after which they will return home and commence the draft evaluation report. Whereas in Phase 1 the evaluation team presented a debrief to MCA-I Indonesia, in Phase 2 the debrief presentation will be to government officials, private sector stakeholders, grantees and MCC in Jakarta.

5.2 Annex 2: Public and Private Intervention on Indonesian Cocoa Sector

Year	Policy/Project	Degree of enforcement/Objective of the project	Public/Private	Funding
1980s	Rehabilitation and Expansion of Export Crops (PRPTE)	PRPTE was implemented primarily in Sulawesi and was a key factor leading to the expansion of cacao cultivation in the 1980s.		
1990s	Plantation Development in Special Areas (P2WK)	The P2WK further endorsed the expansion of cacao cultivation, specifically encouraging smallholder production.		
1996	PP No. 2 Foreign Capital Investment for Export and Import	PP No 2 improved market incentives for producers, particularly smallholders, by permitting foreign companies to purchase cacao directly. Commercial cocoa promoted		
1992-2002	Integrated cocoa management project		GIZ & ICRAF	GIZ & World Bank
1996	Ministry of Industry and Trade (Keputusan Menteri Perindustrian dan Perdagangan) Regulation No. 11/MPP/SK/I/1996 on Foreign Investment on Export	Support and facilitate PP No 2.		
2000-2008	Sustainable Cocoa Extension Services for Smallholders' (SUCCESS)	CPB infestation control methods such as pruning, sanitary control and frequently harvesting. Around 100,000 farmers trained	ACDI/VOCA with private partner Mars	USDA, USAID, WCF, Mars Inc.
2003	Pest Reduction and Integrated Management (PRIMA)		Mars, ICCRI, ACIAR	The Netherlands Ministry of Foreign Affairs
2003 +	PENSA (Program for Eastern Indonesia Small and Medium Enterprises) program		International Finance Corporation (IFC)	Financial support from bi- and multi-lateral donors, including cocoa industry. Not only cocoa
2006	Cocoa Sustainability Partnership (CSP)		CSP General Assembly, CSP Executive Board, CSP Secretariat.	IFC, forum of private and government agencies.

2007-2010	Agribusiness Market and Support Activity (AMARTA) I & II	Strengthening value chain linking smallholders and private sectors and GAP. Around 50,000 farmers trained.	DAI (www.amarta.net)	Similar to SUCCESS. Aim improve export quality, shorten value-chain, increase farm revenues. Not only cocoa
2008	National Certification Standards (SNI) for Cocoa, Peraturan BSN: No 86/KEP/BSN/9/2008 (national standards on cacao quality)	This has initially to have standardization for cocoa. This has been revised in 2010 and in relation with Permentan No. 67/2014 requiring all bean produced have to be fermented.		
2008 to present	Mars Cocoa Development Centre (MCDC)		Mars	IFC
2009-2015	ACIAR	IPDM (Integrated Pest and Diseases Management) and introducing high yield clones		Government of Australia
2009-2012	National Program on Cocoa Improvement of Production and Quality (GERNAS)	Department of Firestrly, ICCRI. Replanting 70,000 ha old and unproductive cocoa tree, Rehabilitation 235,000 ha by side grafting, Intensify production of 145,000 ha, Training 450,000 for pest control	The GERNAS program aims to reverse the decline cacao productivity and quality in Indonesia through rejuvenation, rehabilitation and intensification.	Government of Indonesia
2010	Progressive Export Tax on Cocoa through Financial Ministry Regulation No. 67	The progressive export tax on cocoa intends to strengthen the national cocoa industry sourcing of raw material from domestic production. Specifically, the tax aims to develop value-added cocoa industry		
2010	National Indicators for Sustainable Cocoa Certification	The national indicators for sustainable cocoa certification has received strong support and coordination from private and public sectors sustain cacao production, strengthen the cacao industry, and sustain environmental resources.		

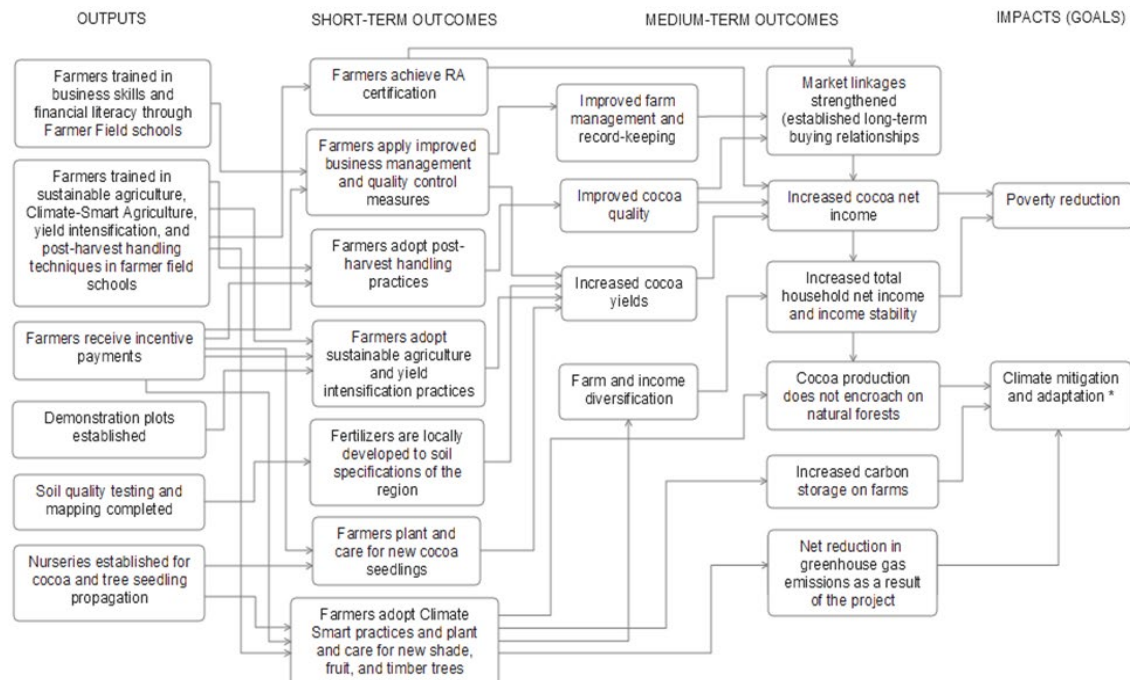
2010-2012	Swisscontact	Improvement of quality, production and post-harvest management; intensification; and rehabilitation of smallholder cocoa farms. 12,500 farmers received training on good crop husbandry practices, farm rehabilitation and cocoa farmer community strengthening.		SECO, IDH, Embassy of the Kingdom of the Netherlands
2012-2015	Sustainable Cocoa Production Program (SCPP)	Train local government extension for FFS as facilitators. Manuals in GAP, post harvesting and household nutrition. Around 60,000 farmers	Swisscontact	Swiss government, Dutch Embassy, cocoa private sector (ADM Cocoa, Armajaro, Cargill, Mars, Nestle), STDF
2013-2015	CocoSafe: SPS capacity building and knowledge sharing for the cocoa sector		CABI	
2015-2018	Green Prosperity – Sustainable Cocoa Production Program (GP-SCPP)		Swisscontact Consortium (Swisscontact, Veco Indonesia, World Cocoa Foundation (WCF), seven private sector companies' members of WCF), Rainforest Alliance Cocoa Revolution and EQSI	Swisscontact Consortium and Millennium Challenge Account – Indonesia (MCA-I)
End of 2015-2022	Cocoa Life		Cargill, Olam and Save the Children	Mondelez International

5.3 Annex 3: Cocoa Grants Logical Framework Models

5.3.1 GP-SCPP Results Chain

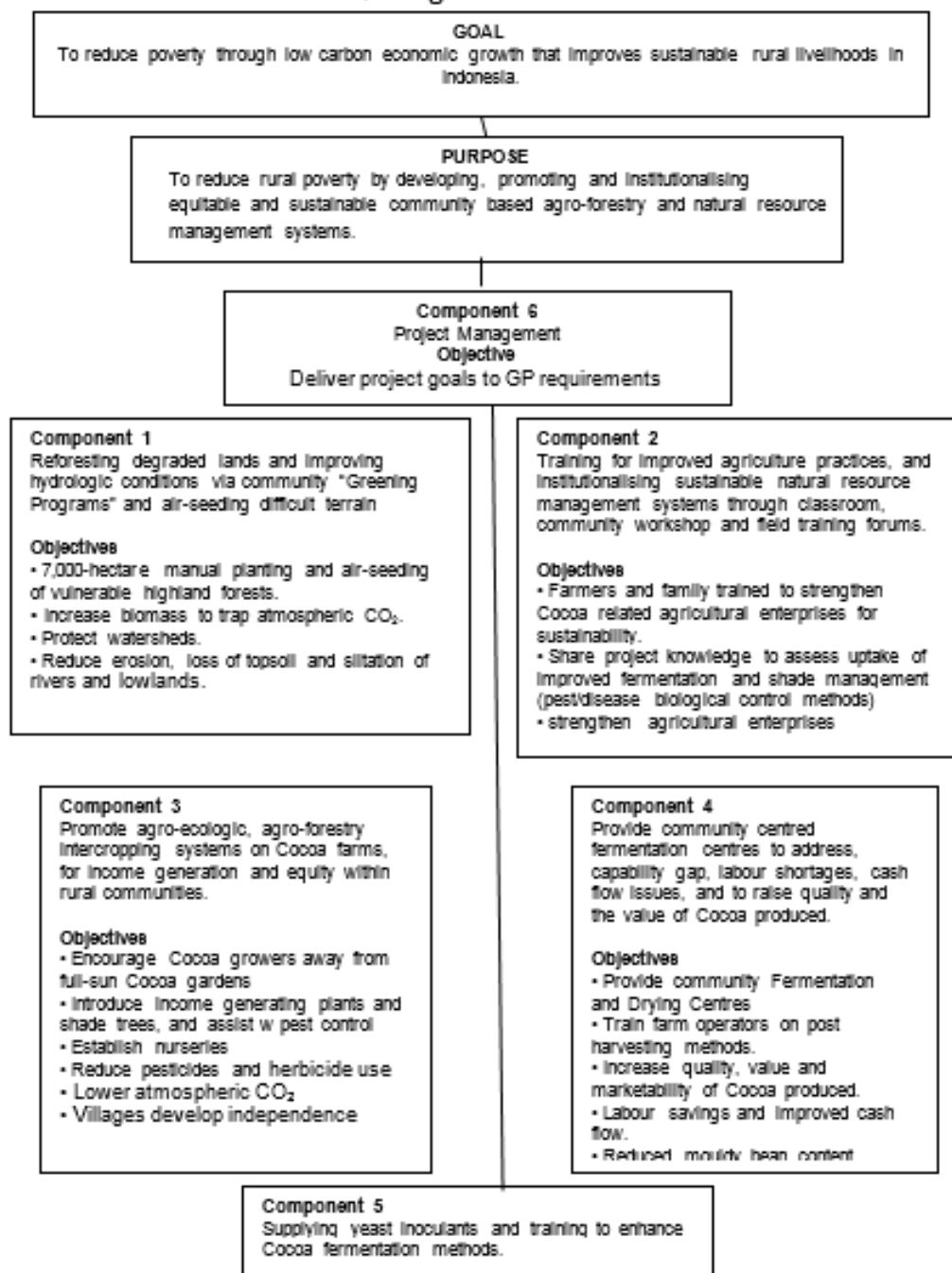


5.3.2 Cocoa Revolution Logical Framework



5.3.3 EQSI Logical Framework

EQSI Logical Framework



5.4 Annex 4: Cocoa Grants Portfolio Activities

GP Cocoa Portfolio – Phase 2 considerations

Project	Common/Overlap Activities	Differences/sub-Projects
SwissContact (SCPP)	<ul style="list-style-type: none"> ▪ Training <ul style="list-style-type: none"> ○ GAP-Basic Training (classroom/FFS approach) ○ GEP/Climate Smart ○ GBP(Finance; Classroom/FFS) ▪ Nurseries – cocoa and shade tree ▪ Demonstration Plots ▪ Shade Trees Planted ▪ Third Party Certification and Traceability (database) 	<ul style="list-style-type: none"> ▪ Training <ul style="list-style-type: none"> ○ GAP-Advanced (coaching) ○ IMS (Internal Mgmt; groups) ○ GNP (nutrition) ○ GSP (social) ▪ Centers of Excellence (input supply network) ▪ Traceability Software (CocoaTrace, Patchouli Trace) ▪ Flavor Lab (Guittard) ▪ Range/Scope: 21 sub-districts, six industry-led clusters (JB Cocoa; Mondelez/Cargill; Mars; Barry Callebaut/BT Cocoa/Nestle; Nestle/Guittard; PT Krakakoa)
Rainforest Alliance (Cocoa Revolution)	<ul style="list-style-type: none"> ▪ Training <ul style="list-style-type: none"> ○ GAP-Basic Training (classroom/FFS approach) ○ GEP/Climate Smart ○ GBP(Finance; Classroom/FFS) ▪ Nurseries – cocoa and shade tree ▪ Demonstration Plots ▪ Shade Trees Planted ▪ Third Party Certification and Traceability (database) 	<ul style="list-style-type: none"> ▪ Farmer Adoption Scorecard and Incentive payments ▪ Soil mapping and custom fertilizer mix developed ▪ Solar-based cocoa bean dryers ▪ Farmer Data Software (OFIS) ▪ GrowCocoa – links to international buyers ▪ Range/Scope: 2 sub-districts, one industry lead (Olam)
Yayasan Kalla (EQSI)	<ul style="list-style-type: none"> ▪ Training <ul style="list-style-type: none"> ○ GAP-Basic Training (classroom/FFS approach) ▪ Nurseries – cocoa and shade tree ▪ Demonstration Plots ▪ Shade Trees Planted 	<ul style="list-style-type: none"> ▪ Reforestation Activity (manual and air seeding) ▪ Use of LEMs ▪ Training <ul style="list-style-type: none"> ○ Agro-forestry and intercropping ○ Post-harvest fermentation training ▪ Community Fermentation and Drying Centers ▪ Community nurseries vs. individual entrepreneur ▪ Range/Scope: 3 sub-districts, one industry lead (Kalla Kakao)

5.5 Annex 5. GANTT Chart of Evaluation Timeline and Deliverables

				2019														2020			
				Year 1							Year 2										
Phase	Task	Deliverables	Due Date	A	M	J	J	A	S	O	N	D	J	F	M	A					
Phase 1 (Evaluation Design)	Task 1. Review Evaluation Design Report*	Revise Evaluation Design Report, including additional elements in SOW	7/12/2019		D		D														
		Obtain local stakeholder feedback w/response	7/26/2019			D	D														
		Obtain MCC feedback with response	8/5/2019			D		D													
		Revisions based on feedback	8/26/2019																		
		Final MCC comments	9/11/2019																		
		Final Evaluation Design Report (508)	9/23/2019				D		D												
Phase 2 (Evaluation Implementation, reporting and dissemination)	Task 2. Develop Evaluation Materials	Nesstar Metadata Template for Evaluation Catalog entry	10/14/2019				D			D											
		Draft English interview and survey protocols and consent	7/19/2019				D	D													
		Obtain MCC feedback with response	7/26/2019				D	D													
		Pre-testing of draft protocols	8/5/2019					D	D												
		Final English and translated survey protocols and consent	9/23/2019						D												
		Final approval of IRB package prior to submission if applicable	n/a						D												
	Task 3. Undertake Evaluation Data Collection	Submission and approval of IRB Package if applicable	n/a						D												
		Travel SOW	9/2/2019						D												
		Data collection trip (4 working weeks)								D											
		Data collection Trip Report	10/31/2019								D										
		Internal presentation of draft findings (MCA-I & stakeholders) and feedback	10/31/2019								D										
		Draft Evaluation Report	12/15/2019										D								
	Task 4. Develop Final Report and Data Documentation Package	MCC and stakeholder feedback on report and response	2/1/2020											D							
		Executive Summary of final report translated in local language	3/15/2020													D					
		Final Evaluation Report and Public Statement	3/15/2020													D					
	Task 5. Disseminate Final Report	Final submission of PPTs for presentation	2/20/2020												D						
		Presentation of final results to MCA-I (Indonesia)	2/28/2020												D						
		Presentation of final results to MCC (Washington)	3/31/2020													D					
		Data and analysis file submission per MCC guidelines	4/15/2020														D				
All Phases	Quality Control / Sr Level Support	Misc. Tech Advisory & Quality Control																			
All Phases	Management/Administration	Project Management and Administration																			
All phases	Reporting	Monthly progress reporting																			
*Overall Task 1. Work Plan with expected deliverables and deadlines will be submitted in October 2018 alongside the workplans for the other two evaluations																					

*Overall Task 1. Work Plan with expected deliverables and deadlines will be submitted in October 2018 alongside the workplans for the other two evaluations

5.6 Annex 6. Study Protocols

Note that the protocols included in this annex are only those that will be used for Phase 2 data collection. The Phase 1 protocols are available separately in Annex 9 of the [Phase 1 evaluation report](#).

5.6.1 Consent Statement

Thank you for taking the time to meet with us today. I would like to ask you some questions about your views on the Green Prosperity cocoa grant portfolio including the Swisscontact Sustainable Cocoa Production Program, Rainforest Alliance Cocoa Revolution and the Yayasan Kalla Economic Quality and Sustainability Improvement program [\[pick one or modify for interviewee\]](#). This information will be used in a final report for MCC that will be publicly available. The purpose of this research is to help improve the performance of projects like this one. There is no direct benefit to MCC for your participation in this study. The information may be used by other organizations as well.

It is important to understand that while we would like your help in this study, you do not have to take part if you do not want to, and you do not have to answer any of the questions if you do not feel comfortable. We would like to record your answers so that we can review them later, but names will not be put into the transcriptions and the audio files will be encrypted. However, as your participation is entirely voluntary, you may choose not to be recorded. You may also choose to end the interview at any time. If you choose not to participate, we will not disclose your decision to anyone. If you decide to take part, your responses will be kept strictly confidential. Moreover, an evaluation team member will be taking notes. We will only use your contact information if we need clarification on any of the items we discuss today, and your name will not be shared with anyone outside of our team. This means that your name will not be mentioned anywhere in the report, and will not be provided to anyone, including Swisscontact/RA/Kalla or anyone in your community or agency. Any personal information we collect today will be stored in a secure computer file.

Uses of the Information

The information we receive from you will be used for research purposes only. The final study that summarizes this research *may* contain quotations from the sessions we conduct, but the MCC team will make every effort to ensure that no one can be identified using these quotations. After the research is completed, MCC and Social Impact will remove any identifying information from the transcripts and notes – such as names, dates, and specific locations – so that these sources may be made available for other researchers to use. Social Impact and MCC will require others who request access to this information to agree to use it for research purposes only and not to share this information with anyone else. In this way, we hope to ensure that others may benefit from the responses you provide, without risking your privacy.

The interview is expected to take about 60 minutes.

Do you have any questions? If you have questions or concerns about the research after we leave today, you can contact Leah Ghoston (lghoston@socialimpact.com) or David Rinck (drinck@socialimpact.com).

By saying “yes,” and participating in this study, you are indicating that you have heard this consent statement, had an opportunity to ask any questions about your participation, and voluntarily consent to participate. Will you participate in this interview? You may answer yes or no.

- ☐ Yes, I will participate
- ☐ No, I will not participate

1. KII Guide – MCC Staff (if required)

Interview date and location:
Respondent name(s):
Title(s):

Interviewer:
Organization:
Sex:

EQ 1: To what extent have the Theory of Change of each GP Cocoa grant (Cocoa Revolution, SCPP and EQSI) proven valid in terms of achieving the overall objectives of GP?

1. What were MCCs priorities when reviewing grant applications? How do you think the design of each of the grant approaches aligned with greater Green Prosperity priorities? Are there any specific areas in the design that were overlooked or that could have been addressed more fully?
2. To what extent were the grants implemented as planned? Do you think the approaches have been effective? Why or Why not?
3. How well was the overall context of the Indonesian cocoa sector addressed by the programs? What do you think are the differences in implementing in different regional areas? How have these differences affected progress on the programs?
4. How did the programs take into account specific local contexts factors (for example, factors such as history, gender roles, crop diversity, topographic and soil quality, access to land, private sector presence and commercial infrastructure, etc.)?
5. Given the social context in Indonesia, how did the grantees ensure sufficient numbers of women participated in the programs? How did they include other poor and disadvantaged groups in the program? With regard to inclusion, what worked well, and what did not work well?

EQ 2: How did each grant progress in achieving its short and medium-term outcomes in terms of improving farmers' knowledge and practices?

1. To what extent were new farmer knowledge and practices applied or adopted by trainees after training? What factors contributed adoption rates of key training activities (i.e. pruning, grafting, etc.) and what are enabling or constraining factors related to adoption?
2. To what extent did the programs result in changes in income, management/financial practices, productivity, product quality, access to inputs, and value chain integration?
3. Can you comment on any business practices and or relationships that have been developed by the grantees and how successful have these been (*input markets, financial services, post-harvest processing and marketing arrangements*)? In what way have these business relationships helped farmers? Are these new/improved business relationships or practices likely to be sustained in the longer term? Why or why not?

4. What external factors do you see currently affecting cocoa farmers and how might these affect the outcomes of the program in the long-term? (probe land tenure, weather, price) What changes have there been in the implementing context since the program commenced that may affect outcomes (probe economy, weather, market)? What are the specific external factors, if any, affecting women farmers?

EQ 3: What systems did the cocoa grantees use to monitor grant progress towards results and outcomes during implementation?

1. How did grantees receive feedback from the cocoa consortium members, farmer associations, co-ops, or the GoI on the changes in quality of cocoa, on farmer performance, on the impact of training or specific activities? What changes has the private sector reported as a result of the programs?
2. How effective were these the grantees' M&E systems in identifying successes and challenges over the course of implementation? How did the grantees use this information to make changes to improve project performance during the implementation period? To your knowledge, have any other entities (i.e. government, private sector) used this data and information, and if so, for what purposes?
3. Can you describe any lessons, practices, or successes from these programs that can be applied to other programs in the cocoa sector or in value chains?

EQ 4: What is the likelihood that the results of the programs will continue to improve outcomes in the Indonesian cocoa sector in the future? How will these be sustained?

1. How will the global cocoa market context impact on the long-term sustainability of the programs? Why?
2. How will strategies such as certification, fermentation, incentives impact on success of similar programs in the future? Are there any external factors that will impact success?
3. To what degree do you think private sector partners in the GP grant programs believe that these programs achieved a good financial and social return on their investment? How would they measure this? Will they continue similar approaches in the future?

Grant specific questions

SCPP specific question

How successful was SCPP in working with the different certification schemes under their grant? How do you see the trajectory of these types of schemes in Indonesia or other countries in the future? Why?

CR specific question

How successful was the CR program in working with climate smart agriculture? What are the enabling and constraining factors to adoption? How success have they been effective in reducing tree cover loss or increasing tree cover? How could this be improved?

EQSI specific question

How successful was the EQSI in working with fermentation under their grant? How could this be improved?

2. KII Guide – Grantees (Program Director, Program Managers)

Interview date and location:

Interviewer:

Respondent name(s):

Organization:

Title(s):

Sex:

EQ 1: To what extent has the Theory of Change of your grant program proven valid in terms of achieving the overall objectives of GP?

1. To what extent was the grant implemented as planned? Do you think the grant approaches have been effective?
2. How was the overall context of the Indonesian cocoa sector addressed by the grant program? What do you think are the differences in implementing in different regional areas? How have these differences affected progress on the program?
3. How did the programs take into account specific local contexts factors (for example, factors such as history, crop diversity, topographic and soil quality, access to land, private sector presence and commercial infrastructure, etc.)? What local context factors affected cocoa farming before the grant programs started?
 - a. What has been the role of local leaders in supporting cocoa farming?
4. Given the social context in Indonesia, how did your program ensure sufficient numbers of women participated in the programs? How did you include other poor and disadvantaged groups in your program? With regard to inclusion, what worked well, and what did not work well?

EQ 2: How did your grant progress in achieving its short and medium-term outcomes in terms of improving farmers' knowledge and practices?

1. To what extent were new farmer knowledge and practices applied or adopted by trainees after training? What factors contributed to the adoption rates of key training activities (i.e. pruning, grafting, etc.) and what are enabling, or constraining, factors related to adoption?
2. To what extent did your grant program results in changes in income, management or financial practices, productivity, product quality, access to inputs, and value chain integration? How did you measure this?
 - a. Have farmers explored additional means of income generation (i.e. intercropping, non-agricultural activities)? Is there any difference noted between men and women farmers?
3. Can you comment on any business practices and or relationships that have been developed by your program and how successful this has been (*input markets, financial services, post-harvest processing and marketing arrangements*)? In what way have these business relationships helped farmers? Are these new/improved business relationships or practices likely to be sustained in the longer term? Why or why not?
4. What external factors do you see currently affecting cocoa farmers and how might these affect the outcomes of the grant program in the long-term? (probe land tenure, weather, price) What changes have there been in the implementing context since the program commenced that may affect outcomes (probe economy, weather, market)?

5. What would you describe as being the most effective initiatives under your grant that contributed to achieving results? Why? (CR- incentives, CSA; SCPP- certification, traceability; EQSI- fermentation, re-forestation) Which do you think contributed most to the likelihood of achieving long-term results?

EQ 3: What systems did the cocoa grantees use to monitor grant progress towards results and outcomes during implementation?

1. How did you receive feedback from the cocoa consortium members, farmer associations, co-ops, or the GoI on the changes in quality of cocoa, on farmer performance, or on the impact of training or specific activities? Has the private sector reported any changes as a result of the programs? If so, what are they? If no, why do you think feedback hasn't been received?
2. Are there any resources you drew upon during programming (i.e. World Cocoa Fed, ICCO, other global programs, etc) to inform your implementation? How would you describe the availability of resources from these platforms, and how can they be used for learning?
3. How effective were your M&E systems in identifying successes and challenges over the course of implementation? What aspects of your M&E system worked best? Which required more work/oversight? Any aspects that didn't work as planned?
 - a. How did you use this information to make changes to improve project performance during the implementation period? Do you have any examples?
 - b. Has anyone else (entities) used the information and data generated during your project? If so, for what purposes?
4. Can you describe any lessons, practices, or successes from this program that can be applied to other programs in the cocoa sector or in value chains?

EQ 4: What is the likelihood that the results of your program will continue to improve outcomes in the Indonesian cocoa sector in the future? How will these be sustained?

1. How did the global cocoa market context impact the long-term sustainability of the program? Why?
2. How will strategies such as certification, traceability, incentives impact on success of similar programs in the future?
3. To what degree do you think private sector partners in the GP grant programs believe that this program achieved a good financial and social return on their investment? Will they continue similar approaches in the future?
4. Who are key players for ensuring sustainability of the cocoa sector? How can they best be utilized? (probe local leaders, youth involvement, local government/Kapela Desa, private sector, etc).

Grant specific questions

SCPP specific question

What different certification schemes did you interact with? What are the strengths and weaknesses of these schemes in terms of costs and benefits to farmers? How do you see the trajectory of these schemes in Indonesia? Do you think the number of farmers who will join will continue to grow? Why or why not? What is the current state of traceability mechanisms for cocoa? Have they been successful or not, and why?

CR specific question

How successful was the program in working with climate smart agriculture? What are the enabling and constraining factors to adoption? How successful were you in reducing tree cover loss or increasing tree cover? How could this be improved? What were any real or perceived effects as the result of providing i) quality incentives and ii) behavioral incentives?

EQSI specific question

How successful was the program in working with fermentation under the grant? How could this be improved?

3. KII Guide – Private Sector Representatives (Consortium Partners)

Interview date and location:

Interviewer:

Respondent name(s):

Organization:

Title(s):

Sex:

EQ 1: To what extent was your company involved in the design of the GP grant programs? To what extent have approaches (assumptions) proposed in the GP grant program(s) proven valid?

1. To what extent were the grants implemented as planned? Do you think the grant approaches have been effective?
2. How was the overall context of the Indonesian cocoa sector addressed by the grant program(s)? What do you think are the differences in implementing in different regional areas? How have these differences affected progress on the program(s)?
3. How did the programs take into account specific local contexts factors (for example, factors such as history, crop diversity, topographic and soil quality, access to land, private sector presence and commercial infrastructure, etc.)?
4. Given the social context in Indonesia, how did the program(s) ensure sufficient numbers of women participated in the programs? How did you include other poor and disadvantaged groups in the activities? With regard to inclusion, what worked well, and what did not work well?

EQ 2: How did the grant(s) progress in achieving its short and medium-term outcomes in terms of improving farmers' knowledge and practices?

1. What role did your company play in the delivery of training? To what extent was your role what you anticipated? To what extent were new farmer knowledge and practices applied or adopted by trainees after training? What factors contributed adoption rates of key training activities (i.e. pruning, grafting, etc.)? What more needs to be done?
2. To what extent did the grant program(s) results in changes in income, management/financial practices, productivity, product quality, access to inputs, and value chain integration?
3. What would you describe as being the most effective GP initiatives that contributed to achieving results? Why? (CR- incentives, CSA; SCPP- certification, traceability; EQSI- fermentation, re-forestation) Which do you think contributed most to the likelihood of achieving long-term results? Are there any approaches that will have less of an effect on the cocoa sector in Indonesia?
4. Can you comment on any business practices and or relationships that have been developed through these programs and how successful this has been (*input markets, financial services, post-harvest processing and marketing arrangements*)? In what way have these business relationships helped farmers? Are these new/improved business relationships or practices likely to be sustained in the longer term? Why or why not?

5. What external factors do you see currently affecting cocoa farmers and how might these affect the outcomes of the grant program(s) in the long-term? (probe land tenure, weather, price) What changes have there been in the implementing context since the program commenced that may affect outcomes (probe economy, weather, market)?

EQ 3: How did you work with the grantees to monitor progress towards results and outcomes during implementation?

1. How did you share feedback with the cocoa consortium members, farmer associations, co-ops, or the GoI on the changes in quality of cocoa, on farmer performance, on the impact of training or specific activities?
 - a. If you did provide feedback, was this information used to make changes to improve project performance during the implementation period? Do you have any examples?
2. Can you describe any lessons, practices, or successes from this program that your company will apply to its activities in the cocoa sector or in value chains? Is there any data that could be used for future decision making?

EQ 4: What is the likelihood that the results of the program(s) will continue to improve outcomes in the Indonesian cocoa sector in the future? How will these be sustained?

1. How did the global cocoa market context impact the Indonesian cocoa sector in the long-term? Why?
2. How will strategies such as certification, traceability, and incentives impact your activities in the future? Are there any strategies that you think will be more successful / less successful in Indonesia moving forward? Why or why not?
3. To what degree do you think the GP grant programs presented a good financial and social return on investment? Will you continue similar approaches in the future?
4. Who are key players for ensuring sustainability of the cocoa sector? How can they best be utilized? (probe local leaders, youth involvement, local government/Kapela Desa, private sector, etc).

Grant specific questions

SCPP specific question

What different certification schemes does your company employ? What are the strengths and weaknesses of these schemes in terms of costs and benefits to farmers? How do you see the trajectory of these schemes in Indonesia? Do you think the number of farmers who will join will continue to grow? Why or why not?

What is the current state of traceability mechanisms for cocoa? Have they been successful or not, and why? What will be necessary for them to be sustainable?

CR specific question

How successful was the program in working with climate smart agriculture? What are the enabling and constraining factors to adoption? How successful were you in reducing tree cover loss or increasing tree cover? How could this be improved?

EQSI specific question

How successful was the program in working with fermentation under the grant? How could this be improved? How will your company work with fermentation in the future? What is the future for fermentation of cocoa in Indonesia?

4. KII Guide – Government of Indonesia (BAPPEDA)

Interview date and location:

Interviewer:

Respondent name(s):

Organization:

Title(s):

Sex:

EQ 1: To what extent was your agency involved in the design of the GP grant programs? To what extent were the approaches coordinated with the approaches of your agency? To what extent have approaches (assumptions) proposed in the GP program(s) proven valid?

1. To what extent did the grants approaches support your agency's approaches? (probe for specific grantees in different regions/districts: SCPP- certification and traceability, CR- climate smart agriculture, EQSI- fermentation). Do you think the approaches have been effective?
2. What are the differences in implementing in different regional areas? How have these differences affected progress on the grant program(s)? How do geographic considerations need to be weighted for any future programs?
3. In regards to cocoa farming history in Indonesia, what kind of role do specific local contexts play in farming successes and outcomes? (for example, factors such as history, crop diversity, topographic and soil quality, access to land, private sector presence and commercial infrastructure, etc.)? Are there any historical factors that you believe to be more important than others in considering how successful cocoa farming is?
4. Given the social context in Indonesia, how does your agency address women's participation in cocoa farming? What about other poor and disadvantaged groups? With regard to inclusion, what works well, and what does not work well?
 - a. Do women receive any extension services? Why or why not? Are there service providers who can provide this support to women farmers?

EQ 2: To what extent have the GP Cocoa grants' (Cocoa Revolution, SCPP and EQSI) training approaches proven successful in improving farmers' knowledge, attitudes and practice of GAP/GEP?

1. What needs to be taken into account with regard to training approaches, including the content and training method? How can training best suit the needs of the farmers?
2. How can you measure the likelihood that farmers apply and adopt approaches learned in training? (*probe: feedback forms, follow-up, observations*) What have you noticed about farmer's adoption of training content from the grant programs?
3. Which topics do you think are most useful to farmers? Which topics are less useful?
4. Which aspects are new to farmers and which aspects are already familiar to them? How does the training under the Cocoa grants differ from previous government training?

EQ 3: How does your agency monitor progress towards results and outcomes?

1. Can you tell me a bit about the Government's strategy for cocoa development? Nationally? In this district?

2. How did the grant programs coordinate within the Government's program to strengthen the cocoa sector and support cocoa farmers to achieve improved income? Were the programs compatible with the Government's support? Why or why not?
3. What business models does the government promote for cocoa farmers? Have the grants helped promote these business models or relationships? Do you think these will be maintained beyond the life of the program? Why or why not? In what way are these business practices different now to how they were at the commencement of the program in 2015?

EQ 4: What is the likelihood that the results of the program(s) will continue to improve outcomes in the Indonesian cocoa sector in the future? How will these be sustained?

1. What independent external factors affect cocoa farmer income that programs are not able to influence?? What changes have there been in the context of the sector over the past four years (probe economy, weather, market)?
2. What are there specific challenges that women in cocoa farming face (prompt: transportation, workload, training inclusion, role in production and post-harvest)? How does your agency address some of these challenges?
3. Who are key players for ensuring sustainability of the cocoa sector? How can they best be utilized? (probe local leaders, youth involvement, local government/Kapela Desa, private sector, etc).

Grant specific questions (may also be addressed under #1)

SCPP specific question

What different certification schemes are you familiar with? What are the strengths and weaknesses of these schemes in terms of costs and benefits to farmers? How do you see the trajectory of these schemes in Indonesia? Do you think the number of farmers who will join will continue to grow? Why or why not?

What is the current state of traceability mechanisms for cocoa? Have they been successful or not, and why? Is the government involved in any of these mechanisms?

CR specific question

How successful was the program in working with climate smart agriculture (CSA)? What are the enabling and constraining factors to adoption? How success were you in reducing tree cover loss or increasing tree cover? How could this be improved?

EQSI specific question

How successful was the program in promoting fermentation under the grant? How could this be improved? How will your agency work with fermentation in the future? What is the future for fermentation of cocoa in Indonesia?

5. KII Guide –Traders and Input Dealers

Interview date and location:

Interviewer:

Respondent name(s):

Organization:

Title(s):

Sex:

Questions:

1. Tell me about the main objectives of your business at the moment as it relates to buying cocoa. What are you looking for (probe- uniformity of beans, color, size, wet, dry, etc.)? What challenges exist in buying cocoa? (probe- accessibility, pricing considerations, competition, quality, quantity)
2. Were you involved with the GP program in any way? How? Did you buy cocoa from farmers participating in the SCPP/CR/EQSI program?
4. Prior to the project, how did you work with your supplier farmers to improve the quality / quantity of cocoa you procure? Did you work with farmers change over the course of the programs?
 - a. How do you track information like quality, quantity, moisture content, etc?
 - b. Did you provide any feedback on bean quality directly to farmers? If so, how was this feedback received? Did you notice any change in their cocoa quality over time as a result of your feedback?
 - c. Please describe the quality and standard of the cocoa you are currently receiving from farmers who benefited from this program (*if status is known*). Does the product meet your needs?
5. What are the enabling and constraining factors for farmers to provide good quality cocoa? What factors specifically related to GEP/GAP?
6. Has farmers' involvement in the SCPP/CR/EQSI program resulted in them providing better quality cocoa? Why or why not?
7. What qualities of the cocoa product can affect the price that the farmers receive? How?
8. Do you purchase/sell fermented cocoa to? If so, what are the benefits of this process for farmers/your business i.e. price? If you do not require fermentation, why? How does fermentation affect the price that farmers receive?
9. Has farmers' involvement in the program(s) resulted in more of them producing fermented cocoa? Why or why not? What are the challenges to expanding fermentation?
10. What inputs do you provide the farmers in your area (if any)? How did this change over the course of the program?
11. What do you expect will happen to your supply when these projects end? Will they still be able to continue providing the same quality and yield? Will you do anything to help continue the result of the program?
12. What support do you think is most critical for improving quality and yield for smallholder cocoa farmers?

6. KII Guide – Local Community Leaders

Interview date and location:

Interviewer:

Respondent name(s):

Organization:

Title(s):

Sex:

EQ 1: How has each grant progressed in achieving its short and medium-term outcomes, and what is the likelihood of achieving long-term outcomes?

1. Do you think the program has helped to strengthen the role of cocoa in the local economy and household livelihoods? Why or why not?
 - a. Has income improved for cocoa farmers in your area? What kinds of income generating activities do farmers and their families engage in?
2. What kind of support systems and services do you think are important to ensure farmers are successful? (Probe- farmer groups/organizations, family involvement, private sector/public sector, unions, access to finance, access to markets) Why?
3. Have you witnessed any changes in farmers' behavior as a result of the program (i.e. since 2015)? If so, please give examples (*Probe- accessing inputs, marketing cocoa, processing cocoa*). Why do you think these changes occurred? If not, why do you think there haven't been any changes?
4. What has the program achieved in terms of environmental management? Do you think the program has been successful in facilitating farmers to reduce fertilizer use and prevent land expansion? What have been the strengths and weaknesses of the approach? What are the opportunities and risks moving forward? How have participating farmers changed their behavior in relation to land expansion and the amount of fertilizer applied now compared with in 2015 when the program started?
 - a. Do you think these new arrangements are better than what they had before the program commenced in 2015? Are they likely to continue ? Why or why not?
5. What changes have there been in the implementing context since the program commenced in 2015 that may affect outcomes (probe economy, weather, market)?
6. Are there specific challenges that women in cocoa farming face (*probe: transportation, workload, training inclusion, role in production and post-harvest*)? Do you think the program has helped women to address some of these challenges?

EQ 2: To what extent have the GP Cocoa grants' (Cocoa Revolution, SCPP and EQSI) training approaches proven successful in improving farmers' knowledge, attitudes and practice of GAP/GEP?

1. How you think that participants have responded to the training? Do you think it has helped them? Why or why not? Which modules/components do you think are most useful to farmers? Which modules/components are less useful?
2. Is the content provided through the training new to the majority of farmers? Which aspects are new to farmers and which aspects are already familiar to them?

3. Do you think the training on cocoa production has helped farmers to improve their cocoa production? Why or why not?
4. In regards to cocoa farming history in Indonesia, what kind of factors such as lifestyle, crop diversity, topographic and soil quality, access to land and land ownership, financing, commercial infrastructure, affect the success of cocoa farms or the uptake of cocoa farming as a practice? Are there any historical factors that you believe to be more important than others in determining cocoa farming as a livelihood for smallholders?
5. Who are key players for ensuring sustainability of the cocoa sector? How can they best be utilized? (probe local leaders, youth involvement, local government/Kapela Desa, private sector, etc).

Grant specific questions**SCPP specific question**

What different certification schemes does your community interact with? What are the strengths and weaknesses of these schemes in terms of costs and benefits to farmers? How do you see the trajectory of these schemes in Indonesia? Do you think the number of farmers who will join will continue to grow? Why or why not? (EQ2)

CR specific question

How successful was the program in working with climate smart agriculture? To what extent did farmers in your community use GEP such as solar dryers or engage in activities to reduce tree cover loss? What are the enabling and constraining factors to adoption? How could this be improved?

EQSI specific question

How successful was the program in working with fermentation under the grant? How could this be improved? How will your community work on fermentation in the future?

7. FGD Guide – Producers (Farmers)

Interview date and location:

Interviewer:

Province/District/Village :

Total Participants (number):

Youth (number):

Sex (number): Males: Females:

EQ 1: How has each grant progressed in achieving its short and medium-term outcomes, and what is the likelihood of achieving long-term outcomes? (reminder of short- inputs, practices, certification, marketing, stakeholder awareness- - and medium- productivity and access to markets, income)

1. Training under the GP projects ended in 2017/2018. Have you received any other training on GEP/GAP since then? If so, who implemented this training?
2. Do you think participating in the GP project helped you access inputs including fertilizer and improved seedlings/grafts? What impact has this had on your farm i.e. improved quality, practices, quantity, price?
3. Do you need financial services to purchase inputs? Did the project help you to access financial services? Why or why not? What impact has this had on your farm?
4. Did the program assist you with marketing or selling your cocoa? In what ways? How did you market your cocoa before the project compared to now? What impact has this had on your farm i.e. buyer relationships, access to markets?
5. Have you noticed any changes in the price you get for your cocoa since the commencement of the project in 2015? What about the quality of the cocoa? Have you noticed any changes in price since the project activities finished (2018)?
6. Overall has your cocoa crop income increased in the time after you were trained under the project and today? Why or why not? Are you receiving income from other sources (i.e. intercropping, non-farming activities)? Are you able to differentiate your income from cocoa to that from other crops or activities?
 - a. Are you currently seeking out additional income generating activities? If so, what are they?
7. What challenges do you still face in regard to marketing your cocoa crop?

EQ 2: To what extent have the GP Cocoa grants' (Cocoa Revolution, SCPP and EQSI) training approaches proven successful in improving farmers' knowledge, attitudes and practice of GAP/GEP?

1. How long have you been farming in the cocoa sector? How did you begin?
2. What types of training have you participated in? Have you been trained more than once in any specific area? If so, how often have you been trained and in what areas?
 - a. Did the training you attended address any specific considerations for women farmers? If so, what were they and how were they addressed?

3. How were you selected to join the cocoa training? Do you know how male and female farmers are selected for the training? If so, what is the criteria? Do you see any problems with how farmers are selected? If so, what are they and why?
4. Which modules/components do you think are most useful to you? Which modules/components are less useful? Was anything not so useful? Was there anything you wanted to learn, but did not? (Probe- specific to GEP? Specific to GAP?) Do you think you will continue the practices that you have learned through the training? Why or why not?
5. Have you made any changes to your techniques or approaches to farming since you completed the GP training? If so, what are you doing that you were not doing before, and why did you decide to implement these changes? Are there any techniques or approaches you were doing before that you are not doing now? (probe for specific approaches- demo plots, nurseries, solar drying, composting, soil mapping)
6. Have you seen any differences in your farm practices? (*Probe- increases in production? Pest management? Fertilization? Land use? Planting?*) Are you doing different post-harvest practices now (e.g. fermentation, solar drying) than before you joined the program?
7. Were you part of a farmer group/association before you started the program? If yes, did you set up a new group or continue the existing group? Do you think participating in the group has any impact on your farming? If so, how?
 - a. If you are not part of a group, what has prevented you from joining? (*probe- not interested, don't see value, don't know of any groups*) If you are in a group, what activities do you do as a group?

EQ 3: How did the GP cocoa grantees monitor grant progress towards results and outcomes during implementation, and how did they use this information to manage project performance?

1. After training, what kinds of monitoring and follow up was provided to you? How useful was this follow-up? What kind of data was collected from you and from your farm? Did anyone from the project ever share with you or your family how they used the data they collected? What do you think it was used for?
2. Did you ever report a problem (with your farm, knowledge after training, supplies or inputs) that went unresolved? If you faced ongoing challenges with adoption of specific practices, how were you assisted? What happened, did things improve or remain the same? Can you give examples? Are there specific challenges for women farmers?

EQ 4: What evidence is there that results or outcomes of the GP Cocoa grants will be further scaled and sustainable, and what results appear to be less sustainable? Why?

1. Do you think you will continue cocoa farming in the future? Why or why not?
2. In regard to your cocoa farming, do you think you will continue to practice what you have learned in the training after the program ends? (Probe- GAP? GEP?) What will help you

do this? What may prevent you from doing this? Where will you turn for information in the future i.e. i.e. buyer you sell to, training, online information, etc.?

3. Do you believe that you will still be able to access the inputs (fertilizer & seedlings) you need? From where?
4. Are there specific challenges that women in cocoa farming face (prompt: transportation, workload, training inclusion, role in production and post-harvest)? Do you think the program has helped women to address some of these challenges? What do you see as the challenges and opportunities facing women, ethnic minorities and other vulnerable groups moving forward?
5. Now that these projects have concluded, have you had any additional training? What additional challenges will you face, or needs will you have as a cocoa farmer?
6. Who are key players for ensuring sustainability of the cocoa sector? How can they best be utilized? (probe local leaders, youth involvement, local government/Kapela Desa, private sector, etc).

8. Mini Survey

Mini-Survey (translated into Bahasa)

Pernyataan Kesediaan:

Terima kasih atas waktunya untuk bertemu kami hari ini. Nama saya _____. Saya adalah seorang peneliti dari sebuah organisasi bernama Social Impact, sebuah perusahaan yang berbasis di Amerika Serikat. Tim kami berada di Indonesia untuk melakukan study tentang proyek GP-SCPP/EQSI/Cocoa Revolution yang didanai oleh MCC. Kami ingin melakukan mini survey atau survey singkat hari ini untuk mempelajari pendapat Bapak/Ibu atas kemajuan proyek tersebut. Informasi ini akan kami gunakan dalam laporan kepada MCC dan akan tersedia secara umum.

Penting untuk memahami bahwa walaupun kami membutuhkan bantuan Bapak/Ibu dalam studi ini, Bapak/Ibu boleh saja memilih untuk tidak mau atau tidak bersedia atau tidak mau menjawab sebagian atau sepenuhnya pertanyaan-pertanyaan yang kami ajukan jika Bapak/Ibu merasa tidak merasa nyaman. Jika Bapak/Ibu bersedia, kami memastikan bahwa jawaban Bapak/Ibu akan kami jaga kerahasiaannya. Ini berarti bahwa nama Bapak/Ibu tidak akan disebutkan dalam keseluruhan laporan ini dan tidak akan juga disampaikan kepada Swisscontact/RA/Kalla atau kepada sesiapaapun dalam komunitas Bapak/Ibu atau ke pihak-pihak lain. Semua informasi yang dikumpulkan hari ini akan disimpan dalam file komputer yang aman.

Tujuan dari penelitian ini adalah untuk meningkatkan pencapaian dari proyek seperti GP-SCPP/EQSI/Cocoa Revolution. Hasil penelitian ini juga bisa dimanfaatkan oleh organisasi lainnya. Tidak ada keuntungan langsung buat MCC atas partisipasi Bapak/Ibu dalam studi ini. Tujuannya hanyalah untuk membantu kami meningkatkan kualitas layanan proyek seperti ini.

Mini Survey ini diharapkan berlangsung selama 40 menit.

Jika Bapak/Ibu bersedia, silahkan mencentang kesediaannya, menuliskan nama serta menandatangani.

_____ Ya, Saya bersedia berpartisipasi dalam Mini Survey

_____ Tidak, Saya tidak bersedia berpartisipasi dalam Mini Survey

Nama: _____

Tanda tangan: _____

Tempat dan Tgl: _____

Pertanyaan Survey/Survey Questions:

1. Usia/Age: _____

2. Jenis Kelamin/Sex: _____

Tolong centang pilihan yang benar

3. Pendidikan/Name: _____

Age: _____

Sex: _____

Highest education level: (Silahkan centang salah satu)

Tidak menyelesaikan SD/Didn't finish primary school []

Menyelesaikan SD/Finished primary school only []

Menyelesaikan SMP/Finished lower high school only []

Menyelesaikan SMA/Finished upper high school only []

Menyelesaikan Perguruan Tinggi/Achieved tertiary education []

4. Desa/Kabupaten/Provinsi/Village/District/Province: _____

5. Suku/Ethnicity: _____

6. Nama Kelompok Tani/ Name of farmer group: _____

7. Tahun berapa pertama kali taman kakao? What year did you first commence cocoa farming?

8. Berapa hektar kebun kakao milik Bapak/Ibu? Cocoa Training courses completed (to be listed)

How many years have you been cocoa farming? _____

How many hectares of cocoa do you own? _____?

9. Ada berapa petak tanah? How many separate plots of cocoa do you own? _____

10. Biasanya kalau pergi ke kebun naik apa?/What form of transport do you use to get to your cocoa farm?

(Silahkan centang yang sesuai. Pilihan boleh lebih dari satu)

Jalan/ *Walk* [] **Sepeda motor/** *motorbike* [] **Mobil/truk-car/truck** []

11. Selain kakao, tanaman apa lagi yang ada di kebun Bapak/Ibu? What other crops do you have?

1. _____

2. _____

3. _____

12. Apakah ada ternak bapak/ibu dan berapa banyak?/What livestock do you have and how many?

1. _____

2. _____

3. _____

13. Apakah anggota keluarga bapak/ibu punya gaji tetap? Pekerjaan apa? Does any member of your household have a wage earning job? Which job?

1. _____

2. _____

3. _____

14. Tahun berapa pertama kali ikut pelatihan Swisscontact? Which year did you first participate in training with SCPP? _____

15. Silahkan centang kursus pelatihan Swisscontact yang Anda sudah pernah mengikut Please tick the modules of training that you have completed

GAP Basic []

GAP Advances []

GBP []

GFP []

GNP []

Pelatihan sertifikasi []

16. Sebelum Bapak/Ibu bergabung dalam program SCPP, apakah Bapak/Ibu melakukan hal-hal seperti di bawah: *Before you participated in the SCPP/EQSI?CR training did you do*

Tolong centang pilihan yang benar

	Melakukannya sebelum pelatihan/ <i>Did Before training</i>	Melakukan nya sebelum pelatihan/ <i>Did Before training</i>	Mekalukan setelah ikut pelatihan Swisscont <i>act/Do after the training</i>	Mekalukan setelah ikut pelatihan Swisscont <i>act/Do after the training</i>
	Ya	Tidak	Ya	Tidak
a. Sanitasi kebun/ <i>Sanitation?</i>				
b. Pemangkasan/ <i>Pruning?</i>				
c. Menanam pohon penayang / <i>Plant shade trees?</i>				
d. peremajaan dengan sambung samping atau pucuk/ <i>Replace old stock with top or side grafts?</i>				
e. Meremajakan tanaman dengan bibit baru/ <i>Replace old stock with seedlings?</i>				
f. Menerima bibit baru dari Pemerintah/ <i>Receive clones from the government?</i>				
g. Membeli jenis klon kakao yg lebih baik/ <i>Buy improved clones?</i>				
h. Menggunakan pupuk kimia/ <i>Apply chemical fertilizer?</i>				
i. Membeli pupuk organik/ <i>Buy organic fertilizer?</i>				
j. Meminjam uang untuk membeli pupuk? <i>/Borrow money to purchase fertilizer?</i>				
k. Membuat kompos dan mengaplikasikan ke pohon kakao/ <i>Make your own compost and apply to your cocoa trees?</i>				
l. Membuat pestisida organik/ <i>Produce organic pesticides?</i>				

m. Mengaplikasikan pestisida kimia/ <i>Apply chemical pesticides?</i>				
n. Menggunakan obat untuk membersihkan rumput/ <i>Apply chemical herbicide?</i>				
o. Membuka lahan baru untuk kakao di hutan? <i>Open new land for cocoa in the forest?</i>				
p. Menanam tanaman selingan?/ <i>Practice intercropping?</i>				
q. Selain menjemur biasa, menggunakan pengeringan tenaga surya yg memakai plastik UV?/ <i>Do Solar drying?</i>				
r. Melakukan fermentasi kakao?/ <i>Ferment cocoa?</i>				
s. Memilah-milah biji kakao yang kualitas bagus dan tidak sebelum menjual kakao?/ <i>Sort cocoa before selling?</i>				
t. Menghitung pengeluaran dan pendapatan kebun kakao anda/ <i>Count costs and income for your business?</i>				
u. Menjual kakao anda ke tengkulak?/ <i>Sell your cocoa to traders?</i>				
v. Menjual kakao anda ke perusahaan?/ <i>Sell your cocoa directly to processing companies?</i>				
w. Berpartisipasi dalam kegiatan kelompok?/ <i>Participate in group activities?</i>				

17. Days of drying

Berapa hari anda menjemur kakao anda? <i>Before joining the training how many days did you take to dry your cocoa?</i>	
Setelah ikut pelatihan Swisscontact berapa hari Anda menjemur kakao anda? <i>How many days do you take to dry your cocoa after training?</i>	

18. Farming income

Sejak bergabung di proyek ini, apakah menurut Bapak/Ibu pendapatannya menjadi:
Since joining this project, do you think your income from cocoa farming has:

(Silahkan centang salah satu)

1) Bertambah/Increased [☐]

2) Sama saja/Stayed the same [☐]

3) Berkurang/Decreased [☐]

4) Tidak tau/Don't know [☐]

(if they give any explanation you can write it here)

Dalam skala 1 sampai 5, bagaimana menurut Bapak/Ibu kegunaan dari pelatihan-pelatihan yang bapak/ibu ikuti?/On scale of 1 to 5 overall, how useful did you find the pelatihan Kakao Swisscontact?:

(Silahkan centang salah satu)

1) Sangat berguna sekali/Extremely useful [☐]

2) Sangat berguna/Very useful [☐]

3) Berguna/Quite useful [☐]

4) Sedikit berguna/A little bit useful [☐]

5) Tidak berguna sama sekali/Not at all useful [☐]

(if they give any explanation you can write it here)

--

19. Sustainability

	Ya	Tidak
Apakah Bapak/Ibu akan terus berkebun kakao di masa yang akan datang/ <i>Will you continue to farm cocoa in the future?</i>		
Apakah Bapak/Ibu berencana mengembangkan kebun coklat?/ <i>Do you plan to expand your cocoa business?</i>		
Apakah Bapak/Ibu bisa memperkirakan jumlah pendapatannya dalam tahun 2017 dari coklat/kakao? <i>Can you estimate your income in 2017 from cocoa?</i>		

Notes:

9. Direct Observation Tools**Direct Observation Instrument for Cocoa Farm**

Village/Sub-District/District/Province: _____

Farmer Name: _____

Farmer Group: _____

Project: _____

Instructions: Meet with the farmer and asked her/his consent that you want to observe his/her cocoa farm. Let him/her know that you will be taking notes and photographs to document your observation.

Items Observed	Yes	No
Cocoa trees		
1. Are the cocoa trees mostly old? (<i>Old defines as more than 25 years old</i>)		
2. Are the trees side and top grafted? Who does the grafting?		
3. What, if any, variety of clones have been planted?		
4. Does he/she plant new/improved seedlings?		
5. Does he/she know where to access better seedlings? Where is this?		
Notes:		
Farm Sanitation		
6. Are the trees pruned? How often? By who?		
7. Are cocoa pods buried?		
8. Are there black/infested cocoa pods left in farm/on trees?		
9. Does the farmer use chemical fertilizers? What type (origin? custom mixed)? What is the farmer's source of information on fertilizer use?		
10. Does the farmer use pesticides? What type (why)? What is the farmer's source of information on pesticide use? Is there a place for safely cleaning equipment contaminated with pesticides?		
11. Has the area around trees been cleared and sterilized?		
Notes:		

12. Does the farmer do frequent harvesting (panen sering)?		
Notes:		
Shading trees (tanaman penaung) and intercropping		
13. Is there any shading tree on the farm? What are they? Are the shade trees used for commercial use or household consumption?		
14. Are the shading trees pruned?		
The use of inorganic and organic fertilizer		
15. Do the farmer use inorganic fertilizer? Compost?		
16. Is it applied regularly?		
17. Does he/she know recommended dose?		
18. Does the farmer use organic fertilizer?		
19. Is it applied regularly?		
20. Does he/she produce the organic fertilizer?		
Notes:		
Addressing pest and disease		
21. Are there measures taken to address black pod/pod borer (PBK), VSD, stem borer?		
Post harvesting management and price		
22. Does he/she sort beans before selling?		
23. Does he/she do manual drying to reach standard minimum moisture content of 7%		
24. Does he/she use a solar dryer?		
25. Does he/she receive better price for better quality?		
Notes:		

Concluding Observations and Remarks:

Observer: _____

Date: _____

Direct Observation Instrument for Buyers / Input Dealers Businesses

Village/Sub-District/District/Province: _____

Buyer Name: _____

Company: _____

Project: _____

Instructions: Meet with the buyer and asked her/his consent to review his/her buying station. Let him/her know that you will be taking notes and photographs to document your observation.

Items Observed	Yes	No
Tools for grading and scaling cocoa beans		
26. Does the buyer have the right equipment for bean count/100 gram?		
27. Does the buyer do cutting test?		
28. Does the buyer do moisture content testing?		
29. Does the buyer do mold testing?		
30. Does the buyer have trusted scaling?		
31. Is there any other means for bean grading apart from mentioned above?		
32. Does the buyer accept beans from certified farmers, farmer groups, suppliers?		
33. Does the buying unit recognize certified farmers, FG, and suppliers?		
34. Does the buyer accept beans from non-certified farmers, farmer groups, suppliers?		
35. Is the warehouse sufficient to maintain good quality for storage?		
36. Is the warehouse separate certified and non-certified beans?		
Notes		
Prices and documentation		
37. A. Is there any price differentiation between certified and non-certified beans? (where applicable)		
B. Is there any price differentiation between fermented and non-fermented beans? (where applicable)		
38. Apart from quality related discount, any other discount?		

39. Apart from quality consideration, any other to increase price to farmer?		
40. Does the buyer accept and pay for low quality beans?		
41. Does the buyer provide receipts or any documentation for his/her purchase of beans from farmers?		
Notes:		
Services Provided by Buyer		
42. Does the buyer provide loans to farmer?		
43. Does the buyer also sell inputs (fertilizers, pesticides, tools, etc.)?		
44. Does the buy provide agronomic advice? What is the source of the advice they provide i.e. company they sell to, training, online information, etc.?		
45. Does the buyer provide solar dryers to farmer?		
46. Is there any services the buyer provides: pick-up bean/entrusted to temporary leave cocoa/sms daily price/ to farmer?		
Notes:		

Concluding Observations and Remarks:

Observer: _____

Date: _____

5.7 Annex 7 – Evaluation Budget

Per MCC's instructions regarding sensitivities around future procurements, the evaluation budget corresponding to this Evaluation Design Report has been provided to MCC separately.

5.8 Annex 8 - References

- ¹ International Cocoa Organization: <https://www.icco.org/economy/the-world-cocoa-market.html>
- ² ibid
- ³ ibid
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- ⁵ Akiyama, T., & Nishio, A. (1997). Sulawesi's cocoa boom: Lessons of smallholder dynamism and a hands-off policy. *Bulletin of Indonesian Economic Studies*, 33(2), 97-121.
- ⁶ Lambert, S.V., I. Johnson, A. Iswanto, J. Ravusiro, P.J. Keane, N. Hollywood, and D.L. Guest (2004). *Linking Farmers with Markets: the Case of Cocoa*. Agriproduct supply-chain management in developing countries edited by G.I. Johnson and P.J. Hofman. ACIAR Proceedings No. 119e, 2004
- ⁷ Saxpol, A.P (2014) Masters Thesis: Barriers to Upgrading of Cocoa production at the farm level in Southeast Sulawesi, University of Copenhagen, Denmark
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- ⁹ Nielson, J., Hiswaty, H., Mount, T. and McKenzie, F. (2013). *Sustainability Impact Assessment of a Certification Scheme in the Indonesian Cocoa Industry: 2012 Pilot Survey Results*. University of Sydney, Australia
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- ¹² Saxpol, A.P (2014) op. cit.
- ¹³ SCPP (2015) GP-SCPP Full Partnership Proosal
- ¹⁴ <http://www.umich.edu/~csfound/545/1998/mmater/cocoa.html>
- ¹⁵ Neilson, J. (2007) Global market, farmers and the state: Sustaining profits in the Indonesian cocoa sector. *Bulletin of Indonesian Economic Studies*, Vol. 43, No. 2 pp: 227-50
- ¹⁶ (Hansen 2015)
- ¹⁷ Saxpol (2014) Op cit
- ¹⁸ Neubert, D. (2011) *The Agribusiness and Market Support Acticity: Final Evaluation*, USAID

¹⁹ Rainforest Alliance (2015) Partnership Proposal: Partnership to Promote Sustainable Cocoa Industry and

²⁰ Yayasan Kalla (2015) Proposal for Green Prosperity MCA-I Partnership Grant for Sustainable Agriculture Development, Economic Quality and Sustainability Improvement from Community Centred Cocoa Fermentation Stations Diversified Agro-Forestry and Agribusiness Systems and Social Development Programs.

²¹ Ibid

²² Rainforest Alliance Quarterly Reports 1-7

²³ Terms of Reference, Government of Indonesia Millennium Challenge Account – Indonesia (MCA-I), Participatory Mapping and Planning Sub-Activity, February 2015.

²⁴ MCA-I, 2017 Monitoring and Evaluation Plan, Version 4

²⁵ Pearce D. 2016. Sustaining cocoa production: impact evaluation of cocoa projects in Indonesia and PNG. ACIAR Impact Assessment Series Report No. 89. Australian Centre for International Agricultural Research: Canberra. 58 pp

²⁷ (Pye-Smith C. 2011. *COCOA FUTURES An innovative program of research and training is transforming the lives of cocoa growers in Indonesia and beyond*. ICRAF Trees for Change no. 9. Nairobi: World Agroforestry Centre).

²⁸ Farman, B, A. (2005) Final Report: Sustainable Cocoa Enterprise Solutions for Smallholders (SUCCESS) – Alliance, Indonesia.

²⁹ Ibid

³⁰ Neubert, D. (2011), The Agribusiness and Market Support Activity: Final Evaluation, USAID

³¹ Ibid

³² Ibid

³³ Ibid

³⁴ Wau, D. (2016). Small-scale cocoa farmer participation in certification: An examination of enabling conditions in Indonesia. Thesis. University of Birmingham. Accessed from <http://etheses.bham.ac.uk/6582/> Accessed at 5 July 2017

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³⁶ Import has been increasing due to the domestic short supply <https://finance.detik.com/berita-ekonomi-bisnis/3449257/ri-punya-kebun-luas-tapi-kakao-masih-bergantung-impor>

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⁴⁰ Field note, retrieved 12 July 2017, <https://www.oxfam.org/sites/www.oxfam.org/files/gender-inequality-cocoa-indonesia.pdf>

⁴¹ (Barrientos and Bobie, 2016)

⁴²https://www.cocoalife.org/~media/CocoaLife/News%20Articles%20PDF/Cocoa%20Life%20-%20mainstreaming%20gender%20equality%20in%20cocoa%20-%202015%20update_20150212.pdf

⁴³ Fahmid (2013)