



Evaluation Design Report

MCC Indonesia Green Prosperity Project Sustainable Cocoa Partnership Grants Performance

September 2017

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

EVALUATION DESIGN REPORT

MCC Indonesia Green Prosperity Project

Sustainable Cocoa Partnership Grants Performance
Evaluation

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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

BAPPEDA	Regional Planning and Development Agency (<i>Badan Perencanaan Pembangunan Daerah</i>)
BRI	Bank Rakyat Indonesia
CSP	Cocoa Sustainability Partnership
EDM	Evaluation Design Matrix
EDR	Evaluation Design Report
EQSI	Economic, Quality and Sustainability Improvement
EQ	Evaluation Question
ET	Evaluation Team
FGDs	Focus Group Discussions
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
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
MIS	Management Information System
MSMEs	Micro, Small and Medium Enterprises
NGO	Non-Governmental Organization
NTT	The Province of East Nusa Tenggara (<i>Nusa Tenggara Timur</i>)
SCPP	Sustainable Cocoa Production Program
SI	Social Impact
SME	Small and Medium Enterprise
TOT	Training of Trainers

1 EXECUTIVE SUMMARY

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 a partnership to improve cocoa productivity and farmers' welfare under Window 1 of the GP grant making portfolio. The Partnership Grant is made available for projects that leverage private sector or donor 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.

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, the cocoa sector currently has opportunities for growth and expansion: with a world deficit looming there is potential for Indonesia to increase its global market share from around 13%. There is plenty of opportunity to increase productivity (which for the last two decades has been marred by a heavy pest and disease burden) through replacing and improving genetic material, intensification and intercropping. The application of Good Environmental Practices (GEP) such as appropriate fertilizer dosing, organic soil enrichment processes (compost, mulching and beneficial shade trees), and resisting the temptation to convert forest land and focusing instead on intensification of existing plots can ensure that improvements in productivity can 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 greater quality and quantity of cocoa. Such investment includes certification and traceability scheme whereby farmers are paid a premium to carry out good agricultural, environmental and social practices in producing their cocoa.

Social Impact is conducting a performance evaluation of three grants in the GP Cocoa Grant Portfolio. These include the following projects:

- The Green Prosperity Sustainable Cocoa Production Program (GP-SCPP), managed by SwissContact, is 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 and establishing a platform for policy dialogue in the sector (14 districts in Sulawesi and East Nusa Tenggara and since early 2017 four districts in West Sumatra and two districts in Gorontalo; US \$15 million).
- Cocoa Revolution (CR), managed by PT Olam and sustainability agency Rainforest Alliance is designed to create sustainable high yielding climate smart cocoa farms by providing training and other support for cocoa smallholder farmers by providing access to

domestic and international markets and support value added activities among smallholders (two districts in South and Southeast Sulawesi; US\$8.5 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) aims to improve livelihood for farmers and make cocoa farming sustainable and achieve poverty reduction by providing training on improved farming practices, Natural Resource Management (NRM) and cocoa fermentation methods, supports reforestation of degraded land, promotes cocoa agroforestry systems and links farmers with a new fermented cocoa market chain (three districts in Southeast Sulawesi; US\$6 million).

The purpose of the evaluation is to understand the degree to which the grants under the GP Cocoa portfolio are meeting the objectives of the portfolio and to generate learning surrounding the implementation of these grants to date. In conducting the evaluation, the evaluation team will seek to address the following evaluation questions:

EQ 1: Efficacy and training practices: To what extent have the GP cocoa grants' training approaches proven successful in improving farmers' knowledge, attitudes and practices of GAP/GEP?

EQ 2: Validation of the Theories of Change (TOCs): How has each grant progressed in achieving short and medium outcomes and what is the likelihood of achieving long term outcomes?

EQ 3: Sustainability: What evidence is there that outcomes of the GP cocoa grants will be further scaled and sustainable? Which results will be less sustainable and why?

EQ 4: Lessons learned: What aspects of the cocoa grants have proven to be most relevant in meeting the needs of the Indonesian cocoa sector?

The methodology of the PE will have qualitative and quantitative elements, including analysis of project documents, Key Informant Interviews (KIIs), Focus Group Discussions (FGDs), analysis of each project's beneficiary databases and a mini survey with beneficiaries. The evaluation team will also directly observe farming practices, land and fertilizer use and gender integration.

1.1 Data Collection Phases

The evaluation design proposes two phases of data collection: Phase 1 (midline) will identify immediate realized outputs and progress made to date of the three Window 1 cocoa grants in training and knowledge, adoption of best practices and improvements in product quality and marketability and lessons learned in each grant as the projects come into their last few months of implementation. Phase 2 (endline) will capture real achievements and changes in cocoa grant outcomes over an extended period of time, accounting for long-term effects not readily materialized by the time project activities have concluded (March of 2018). Phase 2 data collection will be informed by the results from Phase 1 data collection and will explore long-term outcomes such as reduction in greenhouse gas emissions and improved livelihoods through income and knowledge increases, assessing contribution associated with each of the grant approaches. Phase 1 of data collection will take place six months prior to the completion of project activities of each grant (March 2018). Phase 2 will take place **two years** after Phase 1 data collection, in 2019.

Table 1: Proposed Data Collection Phases for Cocoa Grants (Window 1)

Name of Round	Data Collection	Data Cleaning & Analysis	First Draft Report Expected	Final Draft Report Expected
Midline (1)	September 2017	October-November 2017	December 2017	February 2018
Endline (2)	September 2019	October-November 2019	January 2020	February 2020

This Evaluation Design Report (EDR) includes a detailed description of the methodology for Phase 1 data collection. Details on data collection for Phase 2 will be outlined in an inception report prepared prior to fieldwork in 2019. The sampling strategy for Phase 1 has purposive and random elements. KIIs will be held with representatives of grant management, private sector partners, government agencies, value chain intermediaries (e.g. agro-input suppliers and buyer stations), field staff and local community leaders in Jakarta, Makassar, West Sumatra, Kendari and the district locations below. FGDs will be conducted with beneficiaries in districts which have a high proportion of grant beneficiaries including Mamuju and Majene in West Sulawesi (for SCPP), North Luwu in South Sulawesi (for SCPP and CR) and in Southeast Sulawesi North Kolaka (for SCPP and CR), and South Konawe and East Konawe (for EQSI). This entails that two districts will be selected for EQSI and CR and six for SCPP. Within each district (for a single grant) two sub districts will be selected that include a high number of beneficiaries. Within each sub district selected, one farmer group will be chosen randomly for a FGD. A mini survey will also be conducted with the same FGD participants.

Data collected through qualitative methods (KIIs, FGDs, project reports) will be triangulated with direct observations, MIS and mini survey data to produce well rounded analysis. Content analysis, trend analysis and gender analysis will be applied to analyze findings and determine correlations and data disaggregated by grant, location, age and sex.

The PE will be carried out by a team of four members including a team leader, a cocoa sector specialist, a research coordinator and a junior analyst.

This evaluation design report (EDR) outlines the implementation of the Cocoa performance evaluation, with detailed implementation plans for Phase 1. The PE's primary purpose is to identify the project results (outputs and outcomes) and assess program implementation to-date. This will enable MCC and MCA-I to capture lessons learned and inform future cocoa grant project design or similar value chain design under the GP project.

2 1. INTRODUCTION & BACKGROUND

2.1 Country Context

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

Cocoa production began in Indonesia in 1980, spurred by high cocoa prices and a sharp reduction in output from Ivory Coast and Dominican Republic. More than sixty percent of the 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 the local traders and *Bugis*¹ farmers supported the adoption of cocoa. 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.⁴

Policy and other conditions resulted in a high concentration of smallholder ownership with more than 90% cocoa in Sulawesi produced by smallholders.⁵ 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.⁶ The most devastating pest is the Cocoa Pod Borer (CPB) which can be responsible for losses of 40-80% of crops⁷ depending on the action that farmers take in response to an outbreak. In addition to destroying crops CPB leads to undeveloped, flat and clumpy beans of poor consistency.⁸ Other diseases include the *Phytophthora Palmivora* and vascular streak dieback (VSD) disease.⁹ 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 their prospects will improve by doing so. Productivity has dwindled from 900 kg/ha in 1998 to 440 kg/ha in 2017.¹⁰

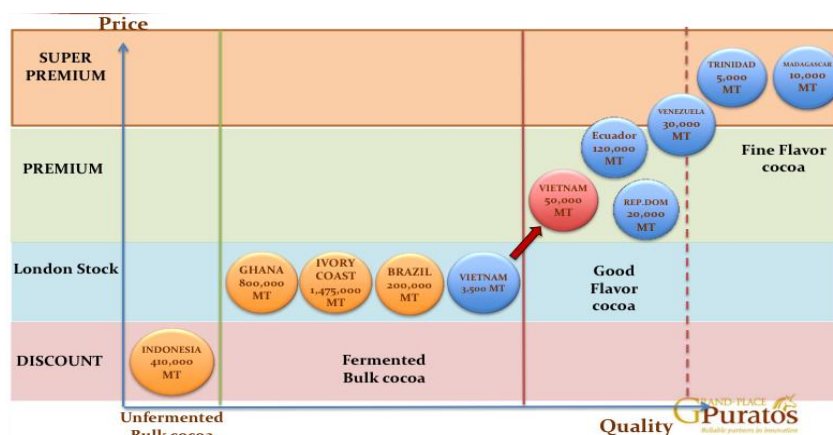
¹ The **Buginese people** are an ethnic group - the most numerous of the three major linguistic and ethnic groups of South Sulawesi, in the southwestern province of Sulawesi, third largest island of Indonesia (Michael G. Peletz, *Gender pluralism: southeast Asia since early modern times*. Routledge, 2009. [ISBN](#) 0-415-93161-4)

To reverse the decline in cocoa production there is a need for a shift in the approach taken by smallholder farmers 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 whereby farmers become more active in managing their plantations employing strategies such as appropriate silvicultural practices, pest and disease management and replacing 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 by practices such as agroforestry and intercropping and appropriate fertilizer dosing.¹¹

In addition to being closely linked to poverty reduction, cocoa farming can also play a role in Natural Resource Management (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.¹²

Farmers may lack the knowledge and resources and therefore require support to shift from an expansionist to intensification approach to cocoa farming. This has been the focus of Government and development partner interventions in the Indonesian cocoa sector as detailed under Annex 1. Until recently the Indonesian cocoa market has been relatively liberalized. There are no price controls as there are in West Africa. In 1996, the Government of Indonesia (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 price for cocoa 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 the pricing is competitive.¹³ 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 in spite of the fact that there are many middlemen or *tengkulak* along the cocoa chain from farm-gate to export.¹⁴

Cocoa from Sulawesi is sold for a discount price on the world market due to the low quality and consistency of the beans¹⁵ caused by high levels of pests and diseases. In addition, the majority of cocoa beans produced in Indonesia are unfermented.¹⁶ 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 the cocoa beans sold into the 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.¹⁷ Figure 1 shows the 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 of Indonesian Cocoa Industry	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 is failing now	Smallholders can shift to professional farming approach based on intensification and active plantation management and increase their income	Cocoa farming becomes unviable when farmers continue their laid-back approach due poor yields and quality because of pest and disease burden and aging trees
High pest and disease burden	Opportunity for smallholders to applying 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 be poor. Farmers may shift to a different crop, reducing national cocoa output
Increases in cocoa production in recent decades based on expansion of land area rather than intensification	Farmers can shift to intensification through GAP and GEP and improve their income	Farmers may expand their cocoa plantations into forest areas causing soil erosion, loss of bio-diversity and increased carbon emissions

Indonesian cocoa is sold as bulk unfermented cocoa at a discount price	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 market 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 processes of cocoa (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 to make	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

2.2 Objectives of This Report

This report outlines the Cocoa Sector evaluation design and implementation to be undertaken in Indonesia 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.

3 OVERVIEW OF COMPACT AND INTERVENTIONS

3.1 Overview of Project and Implementation

3.1.1 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 a partnership 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 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. Sustainable Cocoa Partnership Grants will achieve these objectives by:

- i) Leveraging significant private sector resources and access to marketing channels of partners 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 proponents and MCA-Indonesia work together to distribute investment for project implementation. 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:

- 1) The Pertanian Lestari Berau (Sustainable Agriculture of Berau) project is promoting sustainable agriculture and conservation in Berau, East Kalimantan. The project is proposed by a consortium of Sahabat Cipta (lead partner) and Koperasi Wanita Al Barokah, a Berau based women cooperative. The project focuses increasing productivity and quality of cocoa and pepper through good agricultural practices and improved access to markets and post-harvest treatment and improving implementation of environmentally friendly agricultural practices. Project beneficiaries include 3000 farmers (including women and vulnerable people). This project spans from July 2016 to December 2017 in the amount of USD \$1,208,617.

- 2) The Increased Revenue of Cocoa Farmer with Gender Equity through Strengthening of LEMS Capacity project is operating in Southeast Sulawesi. The project is proposed by a consortium of SINTESA (lead partner), The Community Welfare Economic Institute and Yayasan Mitra Indonesia Timur. The project aims to improve the productivity of cocoa farmers, especially their economic status and independence of cocoa farmers who are members of Prosperous Economic Institution (LEMS), while promoting gender equity and environmental insight. The main activities of this project are the administration and capacity building of institutional and individual management of LEMS organization, knowledge and skills in cocoa beans primary (fermentation) and secondary processing, organic fertilizer manufacture (UPPO) for cocoa plants, and assistance for cocoa processing facilities. Project beneficiaries include 392 farmers of which 30% are women. This project spans from July 2016 to December 2017 in the amount of USD \$536,399.

Under Window 1, three grantees have undertaken activities to improve productivity, inclusion and quality of cocoa farming in Indonesia since 2015. While the evaluation team recognizes the presence of all five cocoa grants, SI and MCC have decided that the evaluation work to be undertaken and the evaluation design presented in this report will focus on the evaluation of the three grants in the Window 1 Cocoa Sector portfolio:

The **GP-Sustainable Cocoa Production Program (SCPP)** is implemented by Swisscontact. SCPP is implemented in the heart of cocoa production in Indonesia and spreads across 14 districts in South Sulawesi, Southeast Sulawesi, West Sulawesi, and East Nusa Tenggara Provinces. As a large public-private partnership, the program works together with various private sector partners and the GoI to foster the productivity and the profitability of cocoa farming in Indonesia with a focus on delivery of professional farmer packages (agro-inputs, planting material, and knowledge), improved access to capital services and products, fostering enterprise development, and establishment of a platform for policy dialogue and information exchange in the sector. The overall objectives of the project are to improve rural community development, good farm management and access to financial products and services, contribute to the professionalization of MSMEs and farmer organizations, encourage farmers to adopt climate-smart agriculture and support local communities to enhance their living standards. SCPP aims to strengthen the skills and knowledge of 2,000 farmer groups - consisting of 58,000 cocoa farmers benefitting also women and vulnerable groups - in environmentally friendly cocoa farming, improved nutrition practices, and application of prudent financial practices. The program also works with national and local governments, the Cocoa Sustainability Partnership (CSP), and regional cocoa forums to ensure strategic alignment and promoting knowledge management in the sector.

Environmental sustainability is integrated into the SCPP design 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, sustainability is measured by increases in productivity, nutritional status, access to finance, non-encroachment on forests, and increased collaboration across the sector, which all lead to improved livelihoods for farmers and their families. GP-SCPP promotes certified cocoa as a business model that can potentially lead to sustainable project benefits by ensuring farmers' products are internationally competitive and serve as quality products on the market.

The SCPP approach takes 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 vulnerable groups in the cocoa sector in Indonesia. The programmatic approach to gender inclusion focuses on promoting women in leadership roles in farmer organizations and commercial activities, enabling participation by ethnic minorities, and supporting women-owned cooperatives. This project is in effect from April 1, 2015 to March 30, 2018, with a budget of US \$16.3 million. Precursor projects include: Peningkatan Ekonomi Kakao Aceh (PEKA) 2008 – 2012, SCPP (2012-2015).

Cocoa Revolution (CR), implemented by Rainforest Alliance, focuses on supporting the development of high-yielding climate-smart cocoa farms by providing training and other support for 8,000 cocoa smallholder farmers in two districts, North Kolaka of Southeast Sulawesi and North Luwu of South Sulawesi province. The Cocoa Revolution project is 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 the market demand, the project indirectly has commercial support from the major buyer of sustainable cocoa, Blommer Chocolate Company, as the firm and Olam Indonesia signed a market partnership agreement under the GrowCocoa program. The Cocoa Revolution project specifically focuses 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 livelihoods of the smallholder farmers through technical assistance, the project also aims to strengthen linkages by supporting value add activities particularly among the smallholder farmers.

The support for smallholders (technical assistance from PT Olam, RA Certification and sale of cocoa to Bloomer Chocolate) is an integrated part of an ongoing commercial partnership for economic sustainability. Thus, sustainability is built into the model by providing an incentive payment to farmers for implementation of GAP/GEP and post-harvest practices to motivate practice adoption and lead to improved performance, and reduced poverty and greenhouse gas (GHG) emissions. Like SCPP, cocoa certification is lauded under CR as a means to improve sustainability of farmer's quality outputs 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 is embedded fully into the climate-smart cocoa value chain. Farmers also benefit from training of trainers in sustainable land management and membership in stakeholder forums to encourage ongoing learning and shared practices over time.

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

The Cocoa Revolution project conducted a gender analysis early in project implementation and 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 promoting cocoa farming as a family business by including integrated farming activities such as shading tree business and agro-inputs business. The total cost of the project is US \$8.5 million with 49% of the cost supported by Olam Indonesian and GrowCocoa. The project is in effect from July 1, 2015 to March 31, 2018.¹⁸

EQSI (Economic, Quality and Sustainability Improvement)- Yayasan Kalla, as a consortium leader, is working with other two members of consortiums: PT. Kalla Kakao Industri (Kalla Kakao) and Lembaga Ekonomi Masyarakat Sejahtera (LEMS). The project aims to improve farmer livelihoods for 2,085 farmers and make cocoa farming sustainable and achieve poverty reduction by providing support for cocoa production, post-harvesting, marketing and reforestation. EQSI aims 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 assists farmers in Southeast Sulawesi to enhance their capacity and knowledge in improving yields by introducing good agricultural practices, shading for reducing the full-sun monoculture system and cocoa agroforestry to provide farmers with alternative incomes. In relation to post-harvest processing, EQSI aims to improve cocoa quality and value by encouraging farmers to ferment beans. The EQSI Project links farmers with a new market chain (a fermented cocoa chain) by building farmers' capacity in fermenting beans in order to produce a high-quality bean. To improve natural resource management and more specifically to sequester carbon, the project aims to reforest degraded land of around 7,000 ha.

EQSI promotes both environmental and economic sustainability in an integrated manner. By promoting agroforestry, the program enhances bio-diversity and promotes carbon storage while concurrently improving cocoa yields and potential income from shade trees. Economic sustainability is designed by integrating farmers, cooperatives and private buyers into a new, fermented cocoa value chain. At the farmer level the project supports increases in farmer income through training to improve yields. At the buyer level the project builds the commitment from the private sector to source their fermented beans from target farmers. In this way, the market linkages, and application of technology and knowledge can aid the farmer in buying after the end of the project.¹⁹

Gender and social inclusion are mainstreamed into the EQSI program by requiring farmer group membership to include women in group activities and group decision making, including content on gender issues in training materials. EQSI encourages women's participation in training, especially for tree nurseries, agroforestry and financial literacy.²⁰ The project is in effect from December 18, 2015 to March 31, 2018 with a budget of US \$6 million.

3.1.2 Project Stakeholders, Beneficiaries and Implementers

As public private partnerships involving international donors, international and national market intermediaries, international and national cocoa associations, Government, individual farmers and farmer associations, the cocoa grants have stakeholders at international, national, provincial, district and village levels as detailed in Table 3 below:

Table 3: GP Cocoa Portfolio Stakeholders

Level	Stakeholders		
	SCPP	Cocoa Revolution	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, Guitard, 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, 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),
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

3.1.2.1 Beneficiary selection

The process by which beneficiaries are selected is of interest to the PE, particularly in relation to the level at which selection occurs (e.g. village or household level) and the training already received by farmers. Each grant targets beneficiaries similarly, taking into consideration farmers' commitment to cocoa farming, farm size and land ownership, proximity to forest land, and importance of cocoa to household livelihoods. To further the success of the next generation of cocoa farmers, the programs also aim to include young male and female adults as participants.

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 CSP Roadmap, SCPP aims to adopt a fair and transparent farmer selection process to identify farmers that are willing to invest time and resources in their farm to improve productivity. Farmers are expected to demonstrate continuing interest and commitment as a condition of their ongoing participation. It is stated in the project design that by requiring that farmers demonstrate their commitment, this is a departure from the normal system of involving all farmers within a selected locality. Other factors to be considered are the size of the farm, 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. Farmers are selected based on group interviews and data collection in the villages.

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

Cocoa Revolution beneficiary selection

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

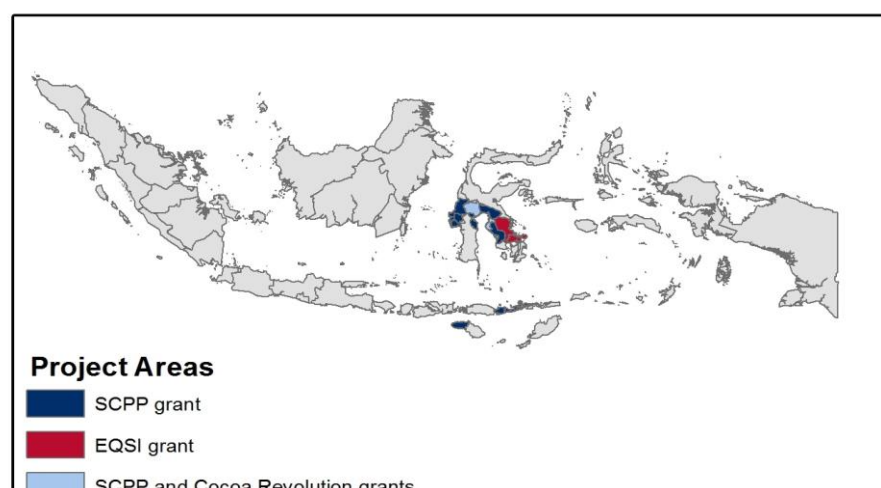
EQSI beneficiary selection

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

3.1.3 Geographic Coverage

The GP Project identified and selected 13 provinces which were eligible for the GP Facility grants. Additionally, 24 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 grant conducts activities in four districts in East Nusa Tenggara, two districts in Southeast Sulawesi, two districts in South Sulawesi, two districts in West Sumatra and four districts in West Sulawesi. Cocoa Revolution conducts activities in one district in Southeast Sulawesi and one district in South Sulawesi, where it overlaps activity areas with SCPP. EQSI manages activities in three districts of Southeast Sulawesi, and does not overlap with either of the other grants.

Figure 2: Cocoa Grant Geographic coverage



*Map does not include West Sumatra, where activities have only been in the last 6 months

3.1.4 Description of Implementation To-Date

The ET will receive more current 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 and MIS data provided by both MCC and the grantees.

For the **SCPP** project, progress has been made on all activities. Table 4 shows progress in meeting both beneficiary targets and output targets.

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%
# m2 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 7 report ending March 2017

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.²¹ Measurement of the carbon footprint of participating cocoa farms and reducing deforestation is ongoing. To date the project has established 84 solar dryers, 35 demonstration plots and 39 nurseries. Linking climate-smart agriculture practices, the project 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%

*End March 2017

EQSI has five major project components under which activity occurs: 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 are progressing but 1, 4 & 5 remain in preparation phase. Component 1 - Reforestation faces challenges as the proposed 7,000 ha degraded land is 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 project has secured a provider for tree planting, established 20 farmer's groups and trained 115 farmers (no women). Under Component 2 - Community/Farmer training, the project has collected data and conducted limited training on the topics of financial and good agricultural practices. Under Component 3 - Agroforestry, the project has built 20 tree nurseries with a capacity of 2,000 to 2,200 seedlings. The project has also has 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 has been a disagreement between the project 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 has resulted in an amendment of the MoU in which Yayasan Kalla agreed to fund the Component 4 and 5 of the project. For Component 5 for Yeast Provision, EQSI has identified a source for the yeast and a manual has been drafted for using the yeast. Table 6 shows EQSI Progress on key outcomes.

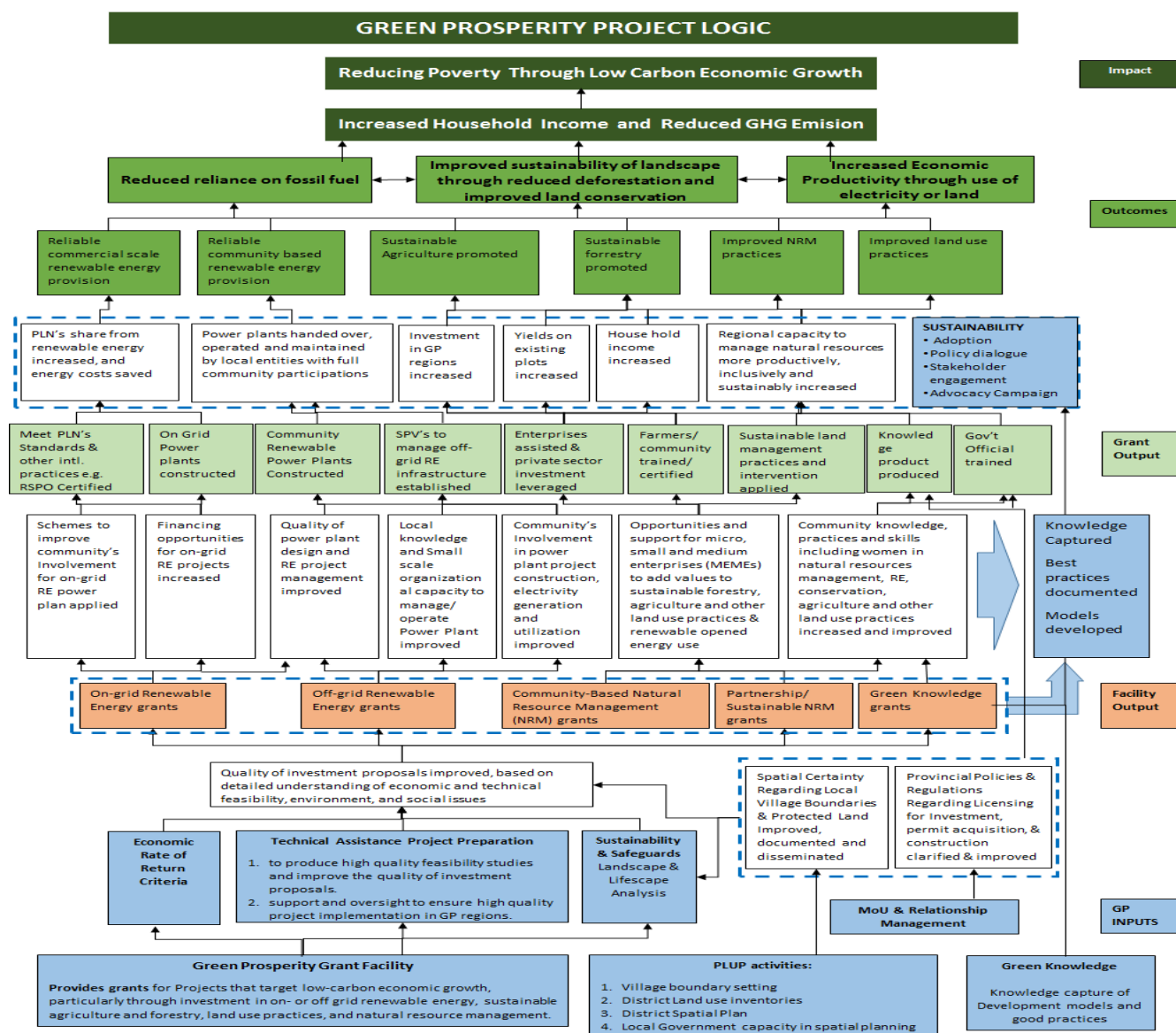
Table 6: EQSI progress against outputs

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%

3.2 Theory of Change

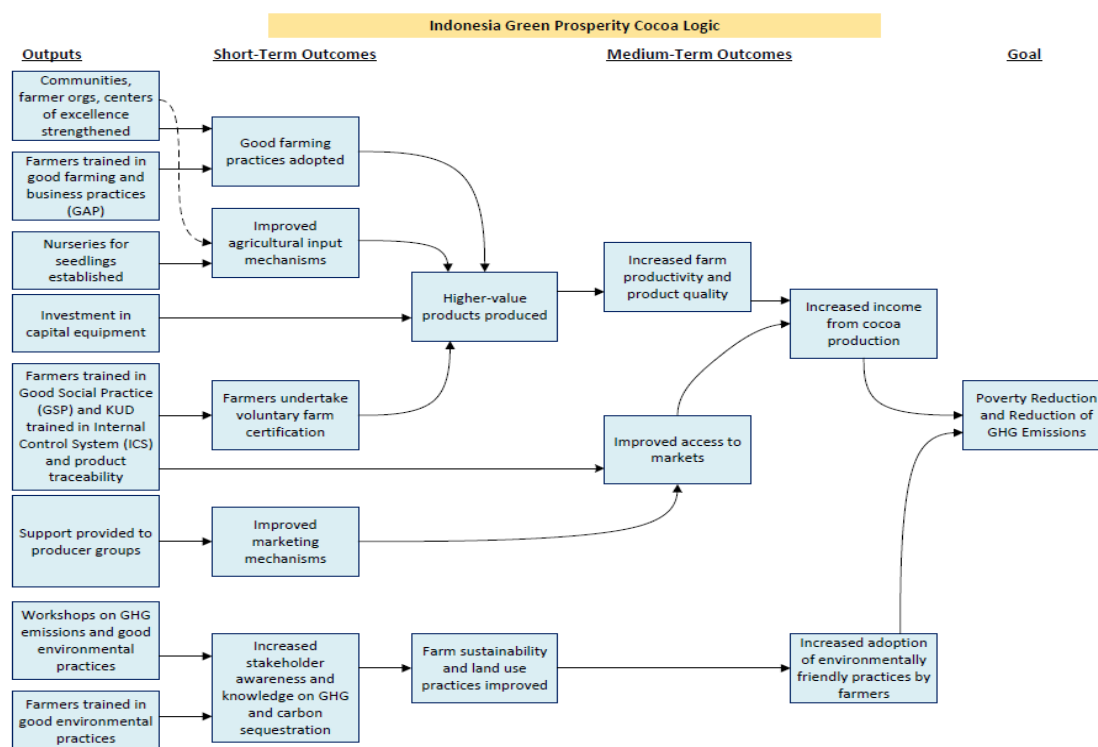
The GP Project aims to promote environmentally sustainable, low carbon economic growth as set forth in the Government of Indonesia's medium- to long-term development plans. The logical framework presented below outlines the hypothesized linkages between GP inputs and higher-order impacts, addressing some of the most critical Indonesian development priorities, including increasing access to clean and reliable energy and improving the stewardship of natural assets.²²

Figure 3. Green Prosperity Project Logical Framework²³



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 2 for the logic models of the three grants). Each grant has 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 has a focus on private sector partners and also a component on nutrition. Cocoa Revolution focuses on improved management and market practices and EQSI focuses 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.

3.3 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 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, Cocoa Revolution 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 Cocoa Revolution, 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 evaluation team 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. This evaluation will seek to collect qualitative data to measure progress on farmer training, uptake of GAP/GEP, perceptions in income change, perceptions in market access, and feedback on certification and fermentation approaches. It is not the intention of this 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. Validation of all outputs will be prioritized for the Phase 2 endline study.

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

3.4 Literature Review

It was estimated that more than 150 million USD²⁴ has been invested in the Indonesian cocoa sector in recent years. See Annex 1 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.

3.4.1 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.²⁵

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.²⁶

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.²⁷

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.²⁸

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.²⁹

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 CPB enabling them to more effectively apply pesticides.³⁰

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.³¹

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 sold 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.³²

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 rewarded for their effort to invest in the processing.³³

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.

3.4.2 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.³⁴³⁵

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.³⁶

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.³⁷ 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.³⁸

3.4.3 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 standards³⁹.

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.⁴⁰ 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* program² and Nestle has a focus on women's participation in *Nestle Cocoa Plan*⁴¹. 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.

3.4.4 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.⁴²

4 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 and the Millennium Challenge Account – Indonesia (MCA-I) have contracted Social Impact to conduct a pre-post qualitative performance evaluation (PE) of the Cocoa sector grants under Window 1, by specifically assessing three grants in this Window as led by Social Impact Inc. This evaluation design report (EDR) outlines the implementation of the Cocoa performance evaluation in phase 1 (described below). The PE's primary purpose is to identify the project results (outputs and outcomes) and assess program implementation to-date. This will enable MCC and MCA-I to capture lessons learned and inform future cocoa grant project design or similar value chain design under the GP project.

The evaluation design includes two phases of data collection: Phase 1 will identify immediate realized outputs and outcomes of the three Window 1 cocoa grants, and identify lessons learned in each grant as the projects come into their last few months of implementation. Phase 2 will capture changes in cocoa grant outcomes over an extended period of time, accounting for long-term effects not readily materialized by the time project activities have concluded (March of 2018). Phase 1 of data collection will take place 6 months prior to the completion of project activities and will explore the progress made to date in each grant portfolio in training and knowledge and adoption of best practices. Phase 2 data collection will be informed by the results from Phase 1 data collection, will occur two years after Phase 1 data collection in 2019, and will explore long-term outcomes such as reduction in greenhouse gas emissions and improved livelihoods through income and knowledge increases, assessing contribution associated with each of the grant approaches. The phasing of data collection activities is intended to both identify immediate lessons learned in each of the grants to date in their implementation to-date as well as capture changes in cocoa programming outcomes over an extended period of time. The primary purpose of this evaluation in Phase 1 of data collection will be to evaluate each of the three Window 1 Cocoa Grants' outcomes and progress to date. Phase 2 of data collection will identify 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 the long-term outcomes or overall goal.

The evaluation design presented here attempts to address short-term and medium-term primary outcome areas of the select Cocoa grants:

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 (assessed at Phase 1), while medium-term outcomes are those outcomes/results realized and achieved beyond one year after completion of the project (initially assessed at Phase 1 and again at Phase 2). These longitudinal definitions are relative and will be refined further with MCC and MCA-I regarding their

expectations for the realization of results. The evaluation questions and proposed sub-questions are detailed in the following section.

4.1 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 and value chain integration towards achieving overall goals. 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. 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

Table 7: Cocoa PE Evaluation Questions

#	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?	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?
2	<u>Validation of the Theory of Change</u> How has each grant progressed in achieving its short and medium-	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?

	term outcomes (phase 1) and long-term outcomes (phase 2)?	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)? e. What challenges or limitations exist in timely verification/documentation, validity, and confounding factors for monitoring data?
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?	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?	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?

4.2 Evaluation Methodology

The evaluation methodology described below refers to Phase 1 of data collection. Detailed methodology for Phase 2 will be elaborated in an inception report prior to data collection in 2019. The ET's approach to the evaluation is to combine a range of methods in order to answer the evaluation questions in the most adequate way based on the information available. SI worked with MCC, MCA-I and some of the grantees to explore the feasibility of an impact evaluation. However, in those discussions it became apparent that in the targeted areas, nearly all smallholder cocoa farmers would be targeted, had participated in previous projects, or would likely be targeted by other donor initiatives. Accordingly, developing a similar comparison group was deemed impractical. Accordingly, we present a performance evaluation that incorporates both qualitative and quantitative elements.

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 quantitative data analysis is necessary and will include analysis of existing MIS data and a mini survey.

Although the study is a qualitative led performance evaluation, the focus will be on identifying changes that have occurred over the duration of implementation of the grants and the extent to which these changes can be attributed to the project. 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.

4.2.1 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 8 provides a list of key documents that will be analyzed by the ET.

Table 8: 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		

- 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 EQ 1 on training efficacy. Quantitative data on inputs will assist in addressing EQ 2 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.

The ET will also collect data from the projects' databases pertaining to the actions of the grants toward the GP-Cocoa Portfolio goal of reducing GHGs. This will include data relating to fertilizer use, changes in tree cover, land conversion, encroachment on forests and nature reserves and organic soil enrichment processes.

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.

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 6. 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)

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 they 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.

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 9) shows the data sources and data collection methods identified for each evaluation question and sub-questions.

Table 9: Data Sources and Evaluation Design Matrix

Evaluation Question	Expected Outcomes	Analysis Plan	Data source	Data type
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?				
<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>
<i>d. What are enabling or constraining factors to training efficacy?</i>		<i>Content and trend analysis of KII and FGD findings</i>	<i>Progress reports Project staff</i>	<i>Document review KIIs FGDs Survey</i>

			Private sector/ Government reps Beneficiary farmers	
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?				
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
b. What are perceptions in & documented changes in access to supplies/land, markets and knowledge?	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 Farmer beneficiaries	Document review KIIs FGDs Survey Direct observation
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?	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	Content and trend analysis of KII and FGD findings Frequency analysis Mini survey	MIS Project reports Project staff Farmer beneficiaries	Document review KIIs FGDs Survey

	<i>reduction in greenhouses gases as a result of the project (RA)</i>	<i>Disaggregation of responses</i>		<i>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>
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?				
<i>a. What are the exit strategies for each grant?</i>	<i>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)</i>	<i>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</i>	<i>Reports Project staff Private sector/ Government reps Farmer beneficiaries</i>	<i>Document review KIIs FGDs Survey</i>
<i>b. What role do global market trends or priorities play in considering sustainability?</i>	<i>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)</i>	<i>Content and trend analysis of KII and FGD findings and project documents</i>	<i>Reports Literature Review Project staff Private sector/ Government reps Farmer beneficiaries</i>	<i>Document review KII FGDs</i>

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
4. Lessons Learned What aspects of the GP Cocoa grant approaches have proven to be most relevant in meeting the needs of the Indonesian cocoa sector?				
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	Content and trend analysis of KII and FGD findings and project documents Frequency analysis mini survey and	Project staff Local government reps Farmer beneficiaries	KIIs FGDs Survey

	<i>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)</i>	<i>disaggregation of responses by project, locations, sex, age</i>		
<i>c. To what extent can M&E practices/systems provide useful data for future programming or activity assessments?</i>		<i>Analysis of project documents and MIS</i>	<i>MIS Project staff</i>	<i>Document review KIIs</i>
<i>d. To what extent do inclusion in organizations, KUD, etc. affect farmer learning and earning outcomes?</i>		<i>Content analysis of KII and FGD findings Frequency analysis mini survey and disaggregation of responses by project, locations, sex, age</i>	<i>Project staff Private sector/ Government reps Farmer beneficiaries</i>	<i>KIIs FGDs Survey</i>
<i>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?</i>	<i>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)</i>	<i>Content analysis of KII and FGD findings</i>	<i>Project staff Private sector/ Government reps Farmer beneficiaries</i>	<i>KIIs Survey</i>

4.2.2 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 10 below:

Table 10: 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	-	-
NTT	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 full list of site visit locations is available in Annex 4, the Field Study Plan.

Table 11: Sample District Selection overview

Project	Province	District	Sub District	Company/Cluster
EQSI	Southeast Sulawesi	South Konawe	Parema Subur, Allengge Agung	Kalla
		Konawe	Beselutu, Lambuya	--
CR	Southeast Sulawesi	North Kolaka	Rantenagin, Batu Putih	Olam, Cargill Mars
	South Sulawesi	North Luwu	Sabbang Sukamaju	Olam, Mars, Ecom

SCPP	Southeast Sulawesi	East Kolaka	Lambandia, Dangia	Cargill, Ecom (cluster)
	South Sulawesi	North Luwu	Sukamaju, Malangke	Olam, Ecom, Mars, Barry Callebaut (cluster)
	West Sulawesi	Mamuju	Papalang, Sampaga	Ecom (cluster)
		Majene	Malunda, Tubo Sendana	Barry Callebaut (cluster)
	West Sumatra	Padang Pariaman	Sungai Garingging	Not yet established (expected cluster JB Cocoa)
		Pasaman Barat	Pasaman	

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.

Table 12: 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

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. See Annex 3: Field Study Plan for details. The sample size is not large enough to draw statistical inferences so the mini survey will be conducted to identify trends only.

4.2.3 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. See Annex 3: Field Study and Travel Plan for more details of the field plan and team travel schedule.

4.2.3.1 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 piloted in Makassar prior to field travel to check for comprehensibility for beneficiaries, logical flow and time required. Based on the testing, adjustments will be made accordingly.

4.2.3.2 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. KIIs 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 (EQ1). 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 (EQ2). The ET will also look at how the different stakeholders perceive the likelihoods of sustainability (EQ3) and what are the key innovations and ways of operating that can constitute lessons learned from each projects (EQ4). Several data analysis methods that may be used are listed below:

1. **Content Analysis**– Content analysis will entail the ET’s intensive review of KII 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 KIIs, 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 KIIs 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 for Phase 2 data will specifically look to address broader long-term outcomes of grant approaches as noted in EQ2, 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 farmer type (i.e. newly trained vs. formerly trained farmers), 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.

4.2.3.3 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 the fact 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 important differences pertaining to factors such as private sector partner, ethnicity, location and socio-economic status and gender. This is in spite of 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. Although grantees have conducted before and after training assessments, they have indicated that they will not be able to provide data from these to the evaluation team. 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, 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.

5 ADMINISTRATIVE

5.1 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.

5.2 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, MCA-I, and other stakeholders as outlined in the Dissemination Plan included below.

5.3 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, MCA-I, 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 and to MCA-I in Indonesia 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 key stakeholders (MCA-I, 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 both MCA-I in Jakarta and MCC in Washington. This final presentation will be done remotely and include all final findings and conclusions from the evaluation draft report. At this meeting, SI management will set-up a 'tracer study' date 6 months after the conclusion of all evaluation activity at which SI will revisit the evaluation lessons learned with MCC and see how the client has utilized the results to inform programming in Indonesia.

5.4 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 serve as the day to day manager for the evaluation to ensure SI standards are met and deliverable are received. The Junior Analyst will also be the team point of contact with MCC. The international team lead has extensive experience working in Indonesia with government, private sector, NGOs and local communities. The cocoa sector specialist and the cocoa research assistance both have extensive experiences with research and programming work in the cocoa sector in Indonesia, with the GoI and key public and private stakeholders as well as with farmers and beneficiaries. All team members speak Indonesian language except for the SI home office Program Manager/Junior Analyst.

5.5 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 and cocoa grantees 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 (Please see Annex 3). The team will end in Jakarta to aggregate and analyze data, and to prepare for the presentation of initial findings to MCC/MCA-I 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 2016.

Table 13. Evaluation Timeline

Activity	Timeline
Evaluation Design Report- Draft 1 submitted	July 27, 2017
MCC review of draft Evaluation Design Report	July 28- August 15, 2017
Evaluation Design Report- Final Submission to MCC	August 31, 2017
In-Country In-briefing with MCC and MCA-I	September 15, 2017
Evaluation field data collection	September 18- October 6, 2017
Data Analysis	October 7-14, 2017
Outbriefing with MCA-I	October 20, 2017
Data collection Trip Report submitted to MCC	October 30, 2017
Final Evaluation Report – Draft 1 submitted	November 30, 2017
MCC review of draft Final Evaluation Report	November 30- January 5, 2018
Presentation of final results to MCA-I (Indonesia)	January 24, 2018
Presentation of final results to MCC (Washington)	January 26, 2018
Final Evaluation Report Submitted	February 9, 2018
Data and analysis file prep and submission	February 26, 2018

6 ANNEXES

6.1 Annex 1: 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 Assembly, Executive Board, CSP Secretariat.	General CSP	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.			

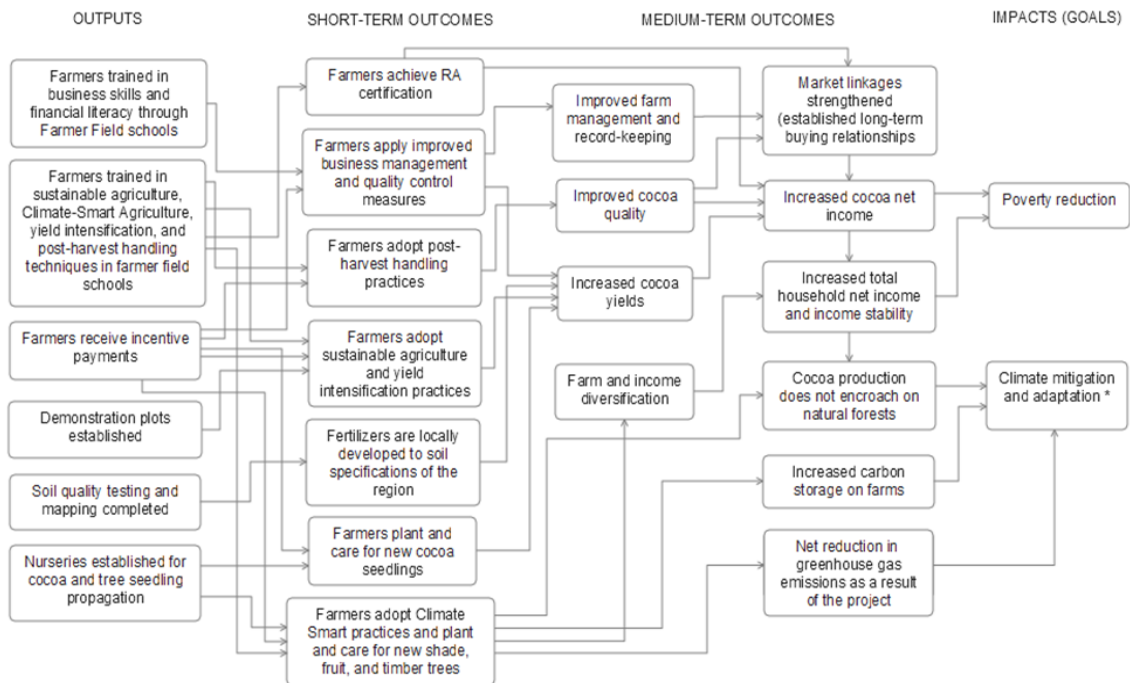
2010-2012	Swisscontact	Improvement of quality, production and post-harvest management; intensification; and rehabilitation of smallholder cocoa farms. 12,500 farmers received training on good crop husbandry practices, farm rehabilitation and cocoa farmer community strengthening.		SECO, IDH, Embassy of 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

6.2 Annex 2: Cocoa Grants Logical Framework Models

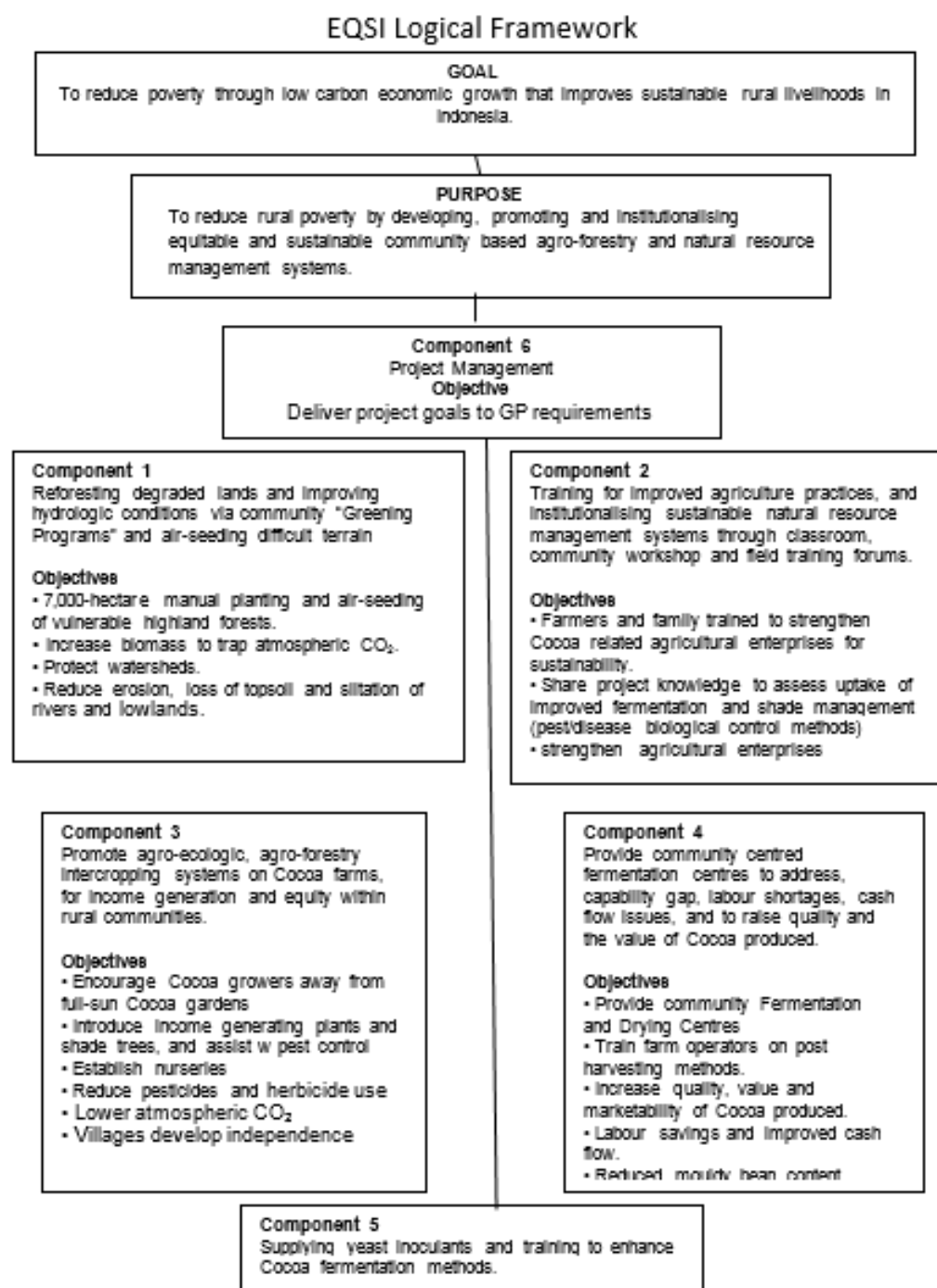
6.2.1 GP-SCPP Results Chain



6.2.2 Cocoa Revolution Logical Framework



6.2.3 EQSI Logical Framework



6.3 Annex 3. Field Travel Schedule

DAYS	LOCATION	INFORMANTS	Project		DATA COLLECTION METHODS	EV. TEAM	TIME SPENT (days)
Day 1	Jakarta	MCA-I	MCA-I		In-brief	All team	
Day 2		Team Leader AFF	SCPP		KIIS	Team 1	0.25
Day 3		Technical director cocoa	SCPP		KIIS	Team 2	0.25
Day 4	Traveling Jakarta - Makassar (Flying around 2 hours)						0.5
	Makassar	Team Briefing					0.5
Day 5	Makassar	Program Director	SCPP		KIIS	Team 1	0.5
		Senior Content and Research Manager	SCPP		KIIS	Team 2	0.5
		Project manager	CR		KIIS	Team 1	0.5
		Private sector and consortium partner	CR		KIIS	Team 2	0.5
Day 6		Project Partner PT Agritech (by phone)	CR			Team 2	0.25
		Project Partner ICCRI (by phone)	CR			Team 1	0.25
	Team 1: Traveling Makassar to Mamuju (Flying around 1 hour)						0.5
	Team 2: Traveling Makassar to West Sumatra (flying 5 hours)						
Day 7	Kota Mamuju	Regional Manager	SCPP		KIIS	Team 1	0.25
		Private sector and consortium partner	SCPP		KIIS	Team 12	0.25
		Private buying station	SCPP		KIIS	Team 1	0.25
		Cocoa service provider	SCPP		KIIS	Team 12	0.25
		Bappeda	SCPP		KIIS	Team 1	0.25
		Dept of Agriculture	SCPP		KIIS	Team 12	0.25

Day 8	Mamuju	Farmers	SCPP		FGD/Mini Survey	Team 1	0.5
	Mamuju	Farmers	SCPP		FGD/Mini Survey	Team 2	0.5
	Mamuju	Farmers	SCPP		Direct Observation	Team 1	.25
	Mamuju	Farmers	SCPP		Direct Observation	Team 2	.25
	Mamuju	Community Leader	SCPP		KII	Team 1All team	0.25
Day 9	Traveling from Mamuju to Majene (On road 3 hours)						0.5
	Kota Majene	Regional Manager	SCPP		KIIS	Team 1	0.25
		Private sector and consortium partner	SCPP		KIIS	Team 2	0.25
	Kota Majene	Private buying station	SCPP		KIIS	Team 1	0.25
		Cocoa service provider	SCPP		KIIS	Team 2	0.25
Day 10		Bappeda	SCPP		KIIS	Team 1	0.25
		Dept of Agriculture	SCPP		KIIS	Team2	0.25
Day 11	BREAK						1
Day 12	Majene	Farmers	SCPP		FGD/Mini Survey	Team 1	0.5
	Majene	Farmers	SCPP		FGD/Mini Survey	Team 2	0.5
	Majene	Farmers	SCPP		Direct Observation	Team 1	0.25
	Majene	Farmers	SCPP		Direct Observation	Team 2	0.25
	Majene	Community leader	SCPP		KII	Team 1	0.25
Day 13	Traveling from Majene to Luwu Utara, On road 8-10 hours)					All Team	1
	Team 2						
Day 8	West Sumatra				FGD/Mini Survey	Team 2	
		Bappeda			KII	Team 2	
		Community Leader			KII	Team 2	
						Team 2	
		Field Facilitator	SCPP		KII	Team 2	
Day 9			SCPP		Direct Observation	Team 2	

		Buying Station	SCPP		KII	Team 2	
		Field Facilitator	SCPP		KII	Team 2	
Day 10			SCPP		FGD/Mini Survey	Team 2	
		Regional Manager	SCPP		KII	Team 2	
Day 11		Fly West Sumatra to Makassar to Luwu Utara				Team 2	
		<i>Team rejoins in Luwu Utara on Day 12</i>					
Day 12	Kota Masamba	Regional Manager	SCPP		KIIS	Team 2	0.25
		Private sector and consortium partner	SCPP		KIIS	Team 1	0.25
		Private buying station	SCPP		KIIS	Team 2	0.25
		Cocoa service provider	SCPP		KIIS	Team 1	0.25
		Bappeda	SCPP		KIIS	Team 2	0.25
		Dept of Agriculture	SCPP		KIIS	Team 1	0.25
Day 13	Luwu Utara	Farmers	SCPP		FGD/Mini Survey	Team 1	0.5
	Luwu Utara	Farmers	SCPP		FGD/Mini Survey	Team 2	0.5
	Luwu Utara	Farmers	SCPP		Direct Observation	Team 1	0.25
	Luwu Utara	Farmers	SCPP		Direct Observation	Team 2	0.25
	Luwu Utara	Community Leader	SCPP		KIIS	Team 1	0.25
Day 14	Luwu Utara	Farmers	CR		Direct Observation	Team 1	0.25
	Luwu Utara	Community Leader	CR		KIIS	Team 2	0.25
	Luwu Utara	Farmers	CR		FGD/Mini Survey	Team 1	0.5
	Luwu Utara	Farmers	CR		FGD/Mini Survey	Team 2	0.5
	Kota Masamba	Field Staff or Master trainer	CR		KIIS	All Team	0.25
Day 15	Traveling from Masamba (Luwu Utara) to Kolaka Utara on road, around 3-4 hours/ Break					All Team	1
Day 16	Kolaka Utara	Farmers	CR	1 0	FGD/Mini Survey	Team 1	0.5

	Kolaka Utara	Farmers	CR		FGD/Mini Survey	Team 2	0.5
	Kolaka Utara	Farmers	CR		Direct Observation	Team 1	.25
	Kolaka Utara	Community Leader			KII	Team 1	.25
	Lasusua	Field Staff or Master trainer	CR		KIIS	All Team	0.25
Day 17	Traveling from Lasusua (Kolaka Utara) to Kolaka Timur, on road around 3 hours						0.75
	Tirawuta	Regional Manager	SCPP		KIIS	Team 1	0.25
		Private sector and consortium partner	SCPP		KIIS	Team 2	0.25
Day 18		Private buying station	SCPP		KIIS	Team 1	0.25
		Cocoa service provider	SCPP		KIIS	Team 2	0.25
		Bappeda	SCPP		KIIS	Team 1	0.25
		Dept of Agriculture	SCPP		KIIS	Team 2	0.25
	Kolaka Timur	Farmers	SCPP		FGD/Mini Survey	Team 1	0.5
	Kolaka Timur	Farmers	SCPP		FGD/Mini Survey	Team 2	0.5
	Kolaka Timur	Farmers	SCPP		Direct Observation	Team 1	.25
	Kolaka Timur	Community Leader	SCPP		KII	Team 2	.25
Day 19	Selatan	Farmers	EQSI		FGD/Mini Survey	Team 1	0.5
	Konawe Selatan	Farmers	EQSI		FGD/Mini Survey	Team 2	0.5
	Konawe Selatan	Farmers	EQSI		Direct Observation	Team 1	.25
	Konawe Selatan	Community Leader	EQSI		KII	Team 2	.25
Day 20	Traveling from Tirawuta (Kolaka Timur) to Konawe, on road around 3 hours/BREAK						1
	Konawe	Farmers	EQSI		FGD/Mini Survey	Team 1	0.5
	Konawe	Farmers	EQSI		FGD/Mini Survey	Team 2	0.5
	Konawe	Farmers	EQSI		Direct Observation	Team 1	0.25
	Konawe	Community Leader	EQSI		KII	Team 2	0.25
Day 21	BREAK						1

Day 22	Traveling from Konawe to Kendari, on road around 3 hours						
	Kendari	Project coordinator	CR		KII	Team 1	0.25
		Project Partner, Olam Buying Unit	CR		KII	Team 2	0.25
		Bappeda Province	CR/EQSI		KII	Team 2	0.25
		Dinas Pertanian	CR/EQSI		KII	All Team	0.25
Day 23	Kendari	Project director	EQSI		KII	Team 1	0.25
		Regional Manager for Kolaka Timur	EQSI		KII	Team 2	0.25
		Regional Manager for Konawe	EQSI		KII	Team 1	0.25
		Technical Specialist	EQSI		KII	Team 2	0.25
		Kalla Kakao Manager	EQSI		KII	Team 1	0.25
		LEMS	EQSI		KII	Team 2	0.25
		Field Staff Kolaka Timur	EQSI		KII	Team 1	0.25
		Field Staff Konawe	EQSI		KII	Team 2	0.25
Day 24	From Kendari to Makassar (Flying) around 1 hour						
Day 25	Makassar	Field Study Analysis and outbrief /reporting planning				All Team	1
		Field Study Analysis and outbrief /reporting planning					
Day 26	Depart back to Jakarta						

6.4 Annex 4. GANTT Chart of Evaluation Timeline and Deliverables

			BASELINE ONLY: March 2017 - April 2018															
			2017												2018			
Phase	Task	Deliverable	M	A	M	J	J	A	S	O	N	D	J	F	M	A		
Phase 1 (Evaluation Design)	Task 1. Develop Evaluation Design Report	Document Review																
		Work Plan with expected deliverables and deadlines		D														
		Draft Evaluation Design Report					D											
		Obtain local Stakeholder feedback w/response						D										
		Obtain MCC feedback with response							D									
		Final Evaluation Design Report								D								
Phase 2 (Evaluation Implementation, Reporting, and Dissemination)	Task 2. Obtain/Develop Evaluation Data	Draft English questionnaires					D											
		Travel SOW for data collection trip																
		Final English & translated questionnaires						D										
		Final approval of IRB Package (+ re-submission of final instruments)				D		(D)										
		Data Collection Trip (4 working weeks)																
		Data collection Trip Report									D							
	Task 3. Develop Final Evaluation Report	Draft Evaluation Report (Analysis & Reporting)										D						
		Local Stakeholder Feedback with response												D				
		MCC feedback with response													D			
		Final Evaluation Report and Public Statement															D	
	Task 4. Conduct Dissemination and prepare DRB submission	Data and analysis file prep & submission per MCC guidelines															D	
		Presentation of final results to MCA-I (Indonesia)																
		Presentation of final results to MCC (Washington)																
		Final submission of PPTs for presentation																
All Phases	Reporting	Monthly Progress Reporting	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M

	Task active
D	Submission of Deliverable
M	Monthly Progress Report

* Deliverables will be due at various points throughout sub-contract eval team LOE for review and approval of various deliverables

6.5 Annex 5. Study Protocols

6.5.1 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 Yayasan Kalla's Economic Quality and Sustainability Improvement program. The objective of this research is to improve the performance of projects like GP-SCPP/EQSI/Cocoa Revolution. The information may be used by other organizations as well. There is no direct benefit to MCC for your participation in this study. The purpose is only to help us improve the services of projects like this one. This information will be used in a final report for MCC that will be publicly available.

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 questions if you do not feel comfortable doing so. As your participation is entirely voluntary, you may choose not to be recorded, refrain from answering any question and end the interview at any time. If you chose not to participate, it will not impact you negatively, and we will not disclose it to anyone. If you decide to take part, your responses will be kept strictly confidential. If you agree, this session will be recorded but names will not be put into the transcriptions and the audio files will be encrypted. Moreover, Frances, Leah, Duman or Hiswaty 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).

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

6.5.2 KII Guide – MCC & MCA-I staff

Interview date and location:

Interviewer:

Title(s):

Name(s):

Sex:

EQ 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?

1. Do you have any comments about the training that has been provided to participants through the grants? Do you think it has been effective? Do you have a perspective on levels of adoption of the training? Is there any particular aspect of the training that you would like the Evaluation Team to explore?
2. Do you have any views on the grantees' selection of beneficiaries? Do you think there have been sufficient new participants in the program? Have grantees done enough to ensure sufficient numbers of women participate in the training and benefit fully from the program? Do you think the poor and disadvantaged are included in the program? Are there any strategies to ensure they benefit fully from the program?

EQ 2: How has each grant progressed in achieving its short and medium-term outcomes, and what is the likelihood of achieving long-term outcomes?

1. Value chain strengthening programs are generally focused on building new or strengthening existing business practices and relationships along the value chain. 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*)
2. In what way have these business relationships helped farmers? Are the new/improved business relationships or practices likely to be sustained in the longer term? Why or why not?
3. What has the program achieved in terms of environmental management and reducing GHGs? Do you think the model that due to capacity building and other support from the grants, farmers will reduce fertilizer use and refrain from land expansion has been implemented in reality on the project? To what extent do you think participating farmers changed their GHG producing behavior now compared with in 2015 when the program started? What have been the strengths and weaknesses of the approach? What are the opportunities and risks moving forward?
4. What external factors do you see currently affecting cocoa farmers and how might these affect the outcomes of the program? (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)?

For gender and social inclusion MCA-I expert only:

5. 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? Can you talk about

the program's achievements in gender and social inclusion? What are the key issues, strategies employed, achievements and remaining challenges? What do you see as the challenges and opportunities facing women, ethnic minorities and other vulnerable groups moving forward?

EQ 3: 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. To what extent do you think the benefits of the project will be ongoing for beneficiary farmers? What might be the pathway through which benefits could be maintained?
2. How do you see the future of cocoa farming in Indonesia and in the various regions (e.g. Sulawesi, NTT)?

EQ 4: What aspects of the GP Cocoa grant approaches have proven to be most relevant in meeting the needs of the Indonesian cocoa sector?

1. How do the grants fit within the Government's program to strengthen the cocoa sector and support cocoa farmers to achieve improved income? Is the program compatible with the Government's support? Why or why not?
2. What do you think are the differences in implementing in different regional areas? How have these differences affected progress on the program?
3. Is there anything that you have learned from this program that you would be able to share with us that might be applicable for other similar programs in the future? Are there particular issues that you would like us to explore lessons learned in relation to?

Grant specific questions

SCPP specific question

What do you think of the different certification schemes that SCPP is working with? What are the strengths and weaknesses of different schemes in terms of costs and benefits to farmers? How do you see the trajectory of the various schemes in Indonesia? Do you think the number of farmers who will join will continue to grow? Why or why not? (EQ2)

CR specific questions

What is your opinion of SAN certification as it is being implemented under the CR program? Has it worked well for farmers? Do you think the incentive payments compensate for the extra work required for SAN certification? How about the cocoa price? (EQ2)

Do you have any comments about the solar dryer program? Has it worked well for farmers? Do you think the increased price farmers receive for using solar dryers is worth the effort involved?

Do you have a view on the implementation of climate smart agriculture under CR? What are the enabling and constraining factors to adoption? Do you think it's been effective in reducing tree cover loss or increasing tree cover? (EQ2)

EQSI specific question

How do you view progress on the EQSI fermentation program? (EQ2)

Do you have any views on the EQSI agroforestry program? What challenges for farmers of adopting cocoa agroforestry and what are the benefits? What is the likelihood of cocoa monoculture vs cocoa agroforestry among project beneficiaries?

6.5.3 KII Guide – Grantee Central Program Director, Program Managers, Regional Program Managers

Interview date and location:

Interviewer:

Title(s):

Name(s):

Sex:

EQ 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?

1. What are you trying to achieve through the GAP/GEP training that you provide to farmers? How do you determine what is important for farmers to be trained on?
2. How are farmers targeted for participation? What were your criteria for selecting farmers to participate in the program? Were you able to adhere to these criteria? Why/why not?
3. How do you anticipate that the training will change farmer behavior and practices?
4. Is the content provided through the training new to the majority of selected farmers? Which aspects are new to farmers and which aspects are already familiar to them?
5. What, if anything, has been challenging about providing the training? (Probe- attendance, farmer skill level, literacy, timing, etc.) If you have had challenges, how have you overcome them?
6. 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 so far about farmer's adoption of training content?
7. Are there any strategies to ensure sufficient numbers of women participate in the training? Are there any strategies to ensure they benefit fully from the program? If so, how effective have they been?
8. Are there any strategies to ensure the poor and disadvantaged are included in the program? Are there any strategies to ensure they benefit fully from the program? If so, how effective have they been?

EQ 2: How has each grant progressed in achieving its short and medium-term outcomes, and what is the likelihood of achieving long-term outcomes?

1. Have you experienced any new or improved business relationships or practices with farmers under this program? (*Probe- input markets, financial services, post-harvest processing and marketing arrangements*) If no, why do you think this is?
 - a. If so, please give an example of these relationships or practices and explain the benefits. In what way are these business practices different now to how they were at the commencement of the program in 2015?
2. In what way do these business relationships help farmers? Have they resulted in increased income for farmers? Why and why not? Are the new/improved business relationships or practices likely to be sustained in the longer term? Why or why not?

3. What methods are used to verify and document the number of participants trained, number of hectares of sustainable product, fertilizer use and farm yields? How reliable do you think these methods are?
4. What has the program achieved in terms of environmental management and reducing GHGs? How have participating farmers changed their GHG producing behavior now compared with in 2015 when the program started? What have been the strengths and weaknesses of your approach? What are the opportunities and risks moving forward?
5. Are there independent external factors that affect cocoa farmer income that the program is not able to influence?
 - a. What are they and how do they affect farmers' ability to maintain benefits from the program in the longer term? What changes have there been in the implementing context since the program commenced that may affect outcomes (*probe economy, weather, market*)?
6. Are there specific challenges that women in cocoa farming face (*prompt: transportation, workload, training inclusion, role in production and post-harvest*)?
 - a. Do you think the program has helped women to address some of these challenges? Can you talk about the program's achievements in gender and social inclusion? (*probe: key issues, strategies employed, achievements and remaining challenges*)?
 - b. What do you see as the challenges and opportunities facing women, ethnic minorities and other vulnerable groups moving forward?

EQ 3: 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 plan to continue working with these farmers after the close of the MCA grant and if so, how so? If not, what is your strategy to ensure the sustainability of their work?
2. Which actors are key to ensure the benefits are sustained beyond grant funding? What do they need to do to maximize the likelihood of sustainability after the conclusion of the program?
3. Are there independent external factors that affect cocoa farmer income that the program is not able to influence? What are they and how do they affect farmers' ability to maintain benefits from the program in the longer term?
4. How do you see the future of cocoa farming in Indonesia and in the various regions (e.g. Sulawesi, NTT)?

EQ 4: What aspects of the GP Cocoa grant approaches have proven to be most relevant in meeting the needs of the Indonesian cocoa sector?

1. How does the program fit within the Government's program to strengthen the cocoa sector and support cocoa farmers to achieve improved income? Is the program compatible with the Government's support? Why or why not?
2. Have grantees received any feedback from companies, farmer associations, co-ops and GOI? What is done with this feedback?

3. Do you find differences in implementing in different regional areas? How have these differences affected progress on the program?
4. To what extent does participating in organizations help farmers to earn and learn? Are there any negative effects?
5. Is there anything that you have learned from this program that you would be able to share with us that might be applicable for other similar programs in the future?

Grant specific questions

SCPP specific question

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

CR specific questions

How has implementation of the SAN Certification incentive payments been going? Has it worked well for farmers? Do you think the incentive payments compensate for the extra work required for SAN certification? How about the cocoa price? (EQ2)

How has the implementation of the solar dryer program been going? Has it worked well for farmers? Do you think the increased price farmers receive for using solar dryers is worth the effort involved?

How has the implementation of climate smart agriculture been going? Are farmers ~~they~~ responsive to the content? What are the enabling and constraining factors to adoption? Are you able to effectively monitor tree cover with the OFES system? Have you been able to reduce tree cover loss or increase tree cover? (EQ2)

EQSI specific question

Where do you source your fermented beans? What do you think are the challenges of doing fermentation by farmers? How to address those generally and by this project? What do you think of the prices you pay for fermented beans comparing with ordinary beans? Does the price you receive for fermented beans justify the investment? Do you have any specific grading system? What are they? Do you think that your existing supply would continue? Why? (EQ2)

How is the agroforestry program going? What are the challenges for farmers of adopting cocoa agroforestry and what are the benefits? What is the likelihood of cocoa monoculture vs cocoa agroforestry among project beneficiaries?

6.5.4 KII Guide – Program Technical Specialists

Interview date and location:

Interviewer:

Title(s):

Name(s):

Sex:

EQ 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?

1. What are you trying to achieve through the GAP/GEP training that you provide to farmers? How do you determine what is important for farmers to be trained on?
2. How are farmers targeted for participation?
3. How do you anticipate that the training will change farmer behavior and practices? Which modules/components do you think are most useful to farmers? Which modules/components are less useful? Are there any areas that you think should be included in the curriculum that are not? What areas of the training should benefit farmers in the short term? What about the long-term?
4. 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?
5. What, if anything, has been challenging about providing the training? (Probe- attendance, farmer skill level, literacy, timing, etc.) If you have had challenges, how have you overcome them?
6. 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 so far about farmer's adoption of training content?

EQ 2: How has each grant progressed in achieving its short and medium-term outcomes, and what is the likelihood of achieving long-term outcomes?

1. Have you experienced any new or improved business relationships or practices with farmers under this program? (*Probe- input markets, financial services, post-harvest processing and marketing arrangements*) If no, why do you think this is?
 - a. If so, please give an example of these relationships or practices and explain the benefits. In what way are these business practices different now to how they were at the commencement of the program in 2015?
2. In what way do these business relationships help farmers? Have they resulted in increased income for farmers? Why and why not? Are the new/improved business relationships or practices likely to be sustained in the longer term? Why or why not?
3. What methods are used to verify and document the number of participants trained, number of hectares of sustainable product, fertilizer use and farm yields? How reliable do you think these methods are?

4. What has the program achieved in terms of environmental management and reducing GHGs? What have been the strengths and weaknesses of your approach? What are the opportunities and risks moving forward?
5. Are there independent external factors that affect cocoa farmer income that the program is not able to influence? What are they and how do they affect farmers' ability to maintain benefits from the program in the longer term? What changes have there been in the implementing context since the program commenced that may affect outcomes (probe economy, weather, market)?
6. 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? Can you talk about the program's achievements in gender and social inclusion? What are the key issues, strategies employed, achievements and remaining challenges? What do you see as the challenges and opportunities facing women, ethnic minorities and other vulnerable groups moving forward?

EQ 3: 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. Have program stakeholders done anything to ensure sustainability of program achievements for farmers following the end of the program? If so, please give examples. If not, why do you think this is?
2. Do you think these relationships are likely to continue after the program ends? In the medium term? In the long term? What factors might make this more or less likely?
3. Who are the key actors or organizations that will be able to help to ensure benefits are sustainable? What do they need to do to maximize the likelihood of sustainability?
4. What do you see as the likely future trends in the global cocoa market? How do you envision this will affect (i) farmers' ability to continue improved cocoa farming? (ii) and farmers' income?
5. How do you see the future of cocoa farming in Indonesia and in the various regions (e.g. Sulawesi, NTT)?

EQ 4: What aspects of the GP Cocoa grant approaches have proven to be most relevant in meeting the needs of the Indonesian cocoa sector?

1. Is there anything that you have learned from this program that you would be able to share with us that might be applicable for other similar programs in the future?

Grant specific questions

SCPP specific question

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

CR specific questions

How has implementation of the SAN Certification incentive payments been going? Has it worked well for farmers? Do you think the incentive payments compensate for the extra work required for SAN certification? How about the cocoa price? (EQ2)

How has the implementation of climate smart agriculture been going? Are beneficiaries responsive to the content? What are the enabling and constraining factors to adoption? Are you able to effectively monitor tree cover with the OFES system? Have you been able to reduce tree cover loss or increase tree cover? (EQ2)

How has the implementation of the solar dryer program been going? Has it worked well for farmers? Do you think the increased price farmers receive for using solar dryers is worth the effort involved?

EQSI specific question

Are the prices you receive you have any specific grading system? What are they? Do you think that your existing supply would continue? Why? (EQ2)

How is the agroforestry program going? What challenges for farmers of adopting cocoa agroforestry and what are the benefits? What is the likelihood of cocoa monoculture vs cocoa agroforestry among project beneficiaries?

6.5.5 KII Guide – Private Sector Representatives (Consortium Partners)

Interview date and location:

Interviewer:

Title(s):

Name(s):

Sex:

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

1. What role does your company play in the delivery of training?
2. What is your opinion of the approach to training on this project, including the content and the training method? Does it suit the needs of the farmers?
3. Which modules/components do you think are most useful to farmers? Which modules/components are less useful?
4. 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?
5. Do you have suggestions that you think may improve the training?

EQ 2: How has each grant progressed in achieving its short and medium-term outcomes, and what is the likelihood of achieving long-term outcomes?

EQ 3: 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. What role does your company play in helping farmers (as part of the program)?
 - i. access to financial services
 - ii. access to collateral
 - iii. access to inputs such as planting material and fertilizer
 - iv. access to markets and better prices
 - v. additional income streams or other livelihood benefits?
2. Have you experienced any new or improved business relationships or practices with farmers under this program? (*Probe- input markets, financial services, post-harvest processing and marketing arrangements*) If no, why do you think this is? If so, please give an example of these relationships or practices and explain the benefit. In what way are these business practices different now to how they were at the commencement of the program in 2015?
3. In what way do these business relationships impact farmers? Have they resulted in increased income for farmers? Why and why not?
4. Do you think these new/strengthened practices and relationships are likely to continue after the program ends? Why or why not? What needs to be done to maximize the chances of these relationships being sustained?

5. Are there independent external factors that affect cocoa farmer income that the program is not able to influence? What are they and how do they affect farmers' ability to maintain benefits from the program in the longer term? What changes have there been in the implementing context since the program commenced that may affect outcomes (probe economy, weather, market)?
6. 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?
7. What is your company's approach to addressing gender and social inclusion in your cocoa business? What are the key challenges facing women in cocoa? Can you identify any achievements you have made in terms of promoting women in leadership roles in farmer organizations, protecting ethnic minorities and vulnerable group? What do you see as the challenges and opportunities facing women, ethnic minorities and other vulnerable groups moving forward?
8. What do you think is the future of cocoa in this area? What do you see as the likely future trends in the global cocoa market? How do you envision this will affect farmers' income and the income of your company?
9. What support will you continue to provide after the program ends? What areas do you think are most important to uphold? If you do not plan to provide continued support, why?

EQ 4: What aspects of the GP Cocoa grant approaches have proven to be most relevant in meeting the needs of the Indonesian cocoa sector?

1. Do you find differences in implementing in different regional areas? If so, how have these differences affected progress on the program? Is there anything that could resolve regional challenges?
2. To what extent does participating in organizations help farmers to earn and learn? Are there any negative effects?
3. Is there anything that you have learned from this program that you would be able to share with us that might be applicable for other similar programs in the future?

Grant specific questions

SCPP specific question

What different certification schemes does your company employ? Why did you select that particular scheme? What do you think are the strengths and weaknesses of the scheme you have chosen in terms of costs and benefits to farmers? How do you see the trajectory of the various 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 has implementation of the SAN Certification incentive payments been going? Has it worked well for farmers? Do you think the incentive payments compensate for the extra work required for SAN certification? How about the cocoa price? (EQ2)

How has the implementation of climate smart agriculture been going? Are they responsive to the content? What are the enabling and constraining factors to adoption? Are you able to effectively monitor tree cover with the OFES system? Have you been able to reduce tree cover loss or increase tree cover? (EQ2)

EQSI specific question

What proportion of your suppliers are fermenting beans? What challenges are there for farmers in fermenting beans? How can these challenges be addressed? How does the project address those challenges? What did work and what did not? What is the ideal conditions (price, support, etc.) so that all your members would do fermentation? In the future do you think that many of your members will ferment their cocoa? Why or why not? (EQ2)

6.5.6 KII Guide – Government Representatives (BAPPEDA, Department of Plantations)

Interview date and location:

Interviewer:

Title(s):

Name(s):

Sex:

EQ 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?

1. What is your opinion of the approach to training on this project, including the content and the training method? Does it 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 so far about farmer's adoption of training content?
3. Which modules/components do you think are most useful to farmers? Which modules/components are less useful? Are there any areas that you think should be included in the curriculum that are not?
4. 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?
5. How does the training under the Cocoa grants differ from previous government training?

EQ 2: How has each grant progressed in achieving its short and medium-term outcomes, and what is the likelihood of achieving long-term outcomes? and EQ 3: 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. Can you tell me a bit about the Government's strategy for cocoa development? Nationally? In this district?
2. How does each grant fit within the Government's program to strengthen the cocoa sector and support cocoa farmers to achieve improved income? Is the program compatible with the Government's support? Why or why not?
3. Have the grants helped business models or relationships to provide support in input markets, post-harvest processing and product marketing? 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?
4. What has the program achieved in terms of environmental management and reducing GHGs? 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?

5. What is the exit strategy for the grants? What needs to be done to ensure that successful models are maintained?
6. Are there independent external factors that affect cocoa farmer income that the program is not able to influence? What are they and how do they affect farmers' ability to maintain benefits from the program in the longer term? What changes have there been in the implementing context since the program commenced that may affect outcomes (probe economy, weather, market)?
7. 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?

EQ 3: 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. In regard to the improved:
 - i. access to financial services
 - ii. access to collateral
 - iii. access to inputs
 - iv. access to markets and better prices
 - v. additional income streams or other livelihood benefits?

To what extent do you think farmers will continue to reap these benefits after the program ends? In the medium term? In the long term? What factors might make this more or less likely?

2. What do you see as the likely future trends in the global cocoa market? How do you envision this will affect (i) farmers' ability to continue improved cocoa farming? (ii) and farmers' income?
3. Who are the key actors or organizations that will be able to help to ensure benefits are sustainable? What do they need to do to maximize the likelihood of sustainability?

EQ 4: What aspects of the GP Cocoa grant approaches have proven to be most relevant in meeting the needs of the Indonesian cocoa sector?

1. Are there any challenges related to the cocoa sector that are specific to your region and different to other regions? If so, how have these differences affected progress on the program? How could these challenges be addressed?
2. To what extent does participating in organizations help farmers to earn and learn? Are there any negative effects?
3. Is there anything that you have learned from this program that you would be able to share with us that might be applicable for other similar programs in the future? Are there lessons from this program that the Government may apply to other programs?

Grant specific questions

SCPP specific question

What are the strengths and weaknesses of different certification schemes supported by GP-SCPP in terms of costs and benefits to farmers? How do you see the trajectory of the various

schemes in Indonesia? Do you think the number of farmers who will join will continue to grow? Why or why not?

CR specific questions

What is your view of the SAN Certification incentive payments? Has the system worked well for farmers? Do you think the incentive payments compensate for the extra work required for SAN certification? How about the cocoa price?

What are your views on the implementation of climate smart agriculture on the CR project?

What are your views on the implementation of the solar dryer program on the CR project?

EQSI specific questions

How do you see the state of fermentation in your area? Do you think the EQSI program's efforts to support fermentation have been effective? Do you see it as having a future? Why or why not?

What is your opinion about the agroforestry program supported by Yayasan Kalla in your district? What are the challenges for farmers of adopting cocoa agroforestry and what are the benefits?

6.5.7 KII Guide – Buying Stations

Interview date and location:

Interviewer:

Title(s):

Name(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. Do you buy cocoa from farmers participating in the SCPP/CR/EQSI program?
3. Please describe the quality and standard of the cocoa you are currently receiving from farmers under this program. Does the product meet your needs?
4. What are the enabling and constraining factors for farmers to provide good quality cocoa? What factors specifically related to GEP/GAP?
5. Has farmers' involvement in the SCPP/CR/EQSI program resulted in them providing better quality cocoa? Why or why not?
6. What qualities of the cocoa product can affect the price that the farmers receive? How?
7. As far as your business is concerned, do you require cocoa to be fermented? If so, what are the benefits of this process for your business? If you do not require fermentation, why?
8. Has farmers' involvement in the program resulted in more of them producing fermented cocoa? Why or why not?
9. How does fermentation affect the price that farmers receive?
10. Do farmers ever have challenges reaching your buying station? If yes, what is the reason for this? What might make it easier for them to get there?
11. What do you expect will happen for your suppliers when projects like this one end? Will they still be able to continue providing the same quality and yield?
12. What support do you think is most critical for improving quality and yield for smallholder cocoa farmers?

6.5.8 KII Guide – Local Community Leaders

Interview date and location:

Interviewer:

Title(s):

Name(s):

Sex:

EQ 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?

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?

EQ 2: How has each grant progressed in achieving its short and medium-term outcomes, and what is the likelihood of achieving long-term outcomes? EQ 3: 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? EQ 4: What aspects of the GP Cocoa grant approaches have proven to be most relevant in meeting the needs of the Indonesian cocoa sector?

1. What is the role of cocoa farming for the local economy? What role does it play in household livelihoods?
2. Do you think the program has helped to strengthen the role of cocoa in the local economy and household livelihoods? Why or why not?
3. 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?
4. 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?
5. What has the program achieved in terms of environmental management and reducing GHGs? 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?

6. Do you think these new arrangements are better than what they had before the program commenced in 2015? Are they likely to continue after the program ends? Why or why not?
7. What changes have there been in the implementing context since the program commenced in 2015 that may affect outcomes (probe economy, weather, market)?
8. 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?
9. Are there any lessons that they think have come out of the program that you could share with the ET?

Grant specific questions

SCPP specific question

What are the strengths and weaknesses of different certification schemes supported by GP-SCPP in terms of costs and benefits to farmers? How do you see the trajectory of the various schemes in Indonesia? Do you think the number of farmers who will join will continue to grow? Why or why not?

CR specific questions

What is your view of the SAN Certification incentive payments? Has the system worked well for farmers? Do you think the incentive payments compensate for the extra work required for SAN certification? How about the cocoa price?

What are your views on the implementation of climate smart agriculture on the CR project?

What are your views on the implementation of the solar dryer program on the CR project?

EQSI specific questions

What are your views on the implementation of the fermentation program on the EQSI project?

How do you see the state of fermentation in your area? Do you see it as having a future? Why or why not?

6.5.9 KII Guide – Project Staff at Field-Level

Interview date and location:

Interviewer:

Title(s):

Name(s):

Sex:

EQ 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?

1. What is your opinion of the approach to training on this project, including the content and the training method? Does it suit the needs of the farmers? What are the strengths and weaknesses of the approach? How do you think it could be improved? 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?

EQ 2: How has each grant progressed in achieving its short and medium-term outcomes, and what is the likelihood of achieving long-term outcomes? EQ 3: 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? EQ 4: What aspects of the GP Cocoa grant approaches have proven to be most relevant in meeting the needs of the Indonesian cocoa sector?

1. What is the role of cocoa farming for the local economy? What role does it play in household livelihoods?
2. Do you think the program has helped to strengthen the role of cocoa in the local economy and household livelihoods? Why or why not?
3. What kind of support systems do you think are important to ensure farmers are successful? (Probe- farmer groups/organizations, family involvement, private sector/public sector, unions) Why?
4. Have you witnessed any changes in farmers' practices 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? What activities are likely to continue, and why? If not, why do you think there haven't been any changes?
5. What has the program achieved in terms of environmental management and reducing GHGs? How have participating farmers changed their GHG producing behavior now compared with in 2015 when the program started? What have been the strengths and weaknesses of the approach? What are the opportunities and risks moving forward?

6. 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?
7. Do you think new business relationships brought about by the program will continue into the medium and long term? Who are the key actors or organizations that will be able to help to ensure new and improved practices and relationships are sustainable? What do they need to do to maximize the likelihood of sustainability?
8. What changes have there been in the implementing context since the program commenced that may affect outcomes (probe economy, weather, market)?
9. What do you see as the future of cocoa farming in this area? What do you see as the likely future trends in the global cocoa market? How do you envision this will affect (i) farmers' ability to continue improved cocoa farming? (ii) and farmers' income? What about government policy? What role does this play?
10. Are there any lessons that they think have come out of the program that you could share with the ET?
11. Have you received any feedback from companies, farmer associations, co-ops and GOI? What is done with this feedback?
12. Is there anything that you have learned from this program that you would be able to share with us that might be applicable for other similar programs in the future?

Grant specific questions

SCPP specific question

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

CR specific questions

How has implementation of the SAN Certification incentive payments been going? Has it worked well for farmers? Do you think the incentive payments compensate for the extra work required for SAN certification? How about the cocoa price? (EQ2)

How has the implementation of climate smart agriculture been going? Are beneficiaries responsive to the content? What are the enabling and constraining factors to adoption? Are you able to effectively monitor tree cover with the OFES system? Have you been able to reduce tree cover loss or increase tree cover? (EQ2)

EQSI specific question

What do you think the challenges of doing fermentation by farmers? How do you think these address those generally and by this project? (EQ2)

6.5.10 FGD Guide - Project Beneficiaries

Interview date and location:

Interviewer:

Province/District/Village :

Total Participants (number):

Youth (number):

Sex (number): Males: Females:

EQ 1: To what extent have the GP Cocoa grants' (Cocoa Revolution, SSCP 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?
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?
3. 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?
4. How were you selected to join the cocoa training? Do you know how 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?
5. Have you made any changes to your techniques or approaches to farming since mid 2015 the 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?
6. Have you seen any differences in your farming? (*Probe- increases in production? Pest management? Fermentation, solar drying? Compost production? Fertilization? Planting?*) Are you doing different post-harvest practices now (e.g. fermentation, solar drying) than before you joined the program?

EQ 4: What aspects of the GP Cocoa grant approaches have proven to be most relevant in meeting the needs of the Indonesian cocoa sector?

1. Were you part of a farmer group 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?

2. Have you changed the amount of fertilizer you use because of the program (increased or decreased)? Why? Have you expanded your cocoa farm into forest land since you started participating in the program? Do you plan to in the future?

EQ 2: 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. Has the program helped with accessing inputs including fertilizer and improved seedlings/grafts?
2. Do you need financial services to purchase inputs? Has the program helped you to access financial services? Why or why not?
3. Has the program assisted you with marketing or selling your cocoa? In what ways? How did you market your cocoa before the program compared to now?
4. Have you noticed any changes in the price you get for your cocoa since the commencement of the program in 2015? What about the quality of the cocoa?
5. Overall has your cocoa crop income increased since joining the program? Why or why not?
6. What challenges do you still face in regard to marketing your cocoa crop?

EQ 3: 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?
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? How would you rate the achievements of the program in terms of promoting women in leadership roles in farmer organizations, protecting ethnic minorities and vulnerable groups and identifying business opportunities that meet social and gender inclusion objectives? What do you see as the challenges and opportunities facing women, ethnic minorities and other vulnerable groups moving forward?
5. Once this project concludes, do you believe you will face additional challenges as a cocoa farmer? If so, what?

Grant specific questions

SCPP specific question

Are you participating in a certification or traceability scheme?

If yes, which one? How does the scheme work? What is required to qualify for the scheme? Has it been difficult for you to qualify for participate in the scheme? What are the benefits?

What is the role of the farmer group/cooperative in managing the scheme? Is it working well? If not participating in a certification scheme, why not? Do you plan to participate in a certification scheme in the future? Why or why not?

CR specific questions

How has implementation of the SAN Certification incentive payments been going? Do you think the incentive payments compensate for the extra work required for SAN certification? How about the cocoa price received through the scheme?

How has the implementation of solar drying been going?

How has the implementation of climate smart agriculture been going? Do you find the content worthwhile to adopt? Have you been able to reduce tree cover loss or increase tree cover?

EQSI specific questions

How do you see the fermentation activity in general? What are the benefit (advantage) and disadvantages of doing fermentation? Under current conditions (price or incentives), would you keep fermenting your beans? Why?

What do you think about agroforestry training and tree nursery activities? Why would you adopt/not adopt agroforestry system in your cocoa farms? What are the costs and benefits associated with adopting agroforestry systems?

6.5.11 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/ Did Before training		Mekalukan setelah ikut pelatihan Swisscontact/Do after the training	
	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 platik UV? <i>/Do Solar drying?</i>				
r. Melakukan fermentasi kakao? <i>/Ferment cocoa?</i>				
s. Memilah-milah bijia 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?/Participate in group activities?				
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17. Days of drying

_____ Which type? _____ Bera pa hari anda menjemur kakao anda? <i>Before joining the Swisscontact training how many days did you take to dry your cocoa before training?</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:

6.5.12 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? (Old defines as more than 25 years old)		
2. Does the farmer do side and top grafting?		
3. Is there any variety of clones of the cocoa trees?		
4. Does he/she know where to access better clones?		
5. Does he/she plant new/improved seedlings?		
Notes:		
Farm Sanitation		
6. Are the trees pruned?		
7. Are cocoa pods buried?		
8. Are there black/infested cocoa pods simply leave in farm/on trees?		
9. Are chemical fertilisers safely stored		
10. Is there a place for safely cleaning equipment contaminated with pesticides?		
11. Has the area around trees been cleared and sanitised?		
Notes:		
12. Does the farmer do frequent harvesting (panen sering)?		
Notes:		
Shading trees (tanaman penangung) and intercropping		

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

Concluding Observations and Remarks:

Observer: _____

Date: _____

Direct Observation Instrument for Buying Station

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		
1. Does the buyer have the right equipment for bean count/100 gram?		
2. Does the buyer do cutting test?		
3. Does the buyer do moisture content testing?		
4. Does the buyer do moldy testing?		
5. Does the buyer have trusted scaling?		
6. Is there any other means for bean grading apart from mentioned above?		
7. Does the buyer accept beans from certified farmers, farmer groups, suppliers?		
8. Does the buying unit recognize certified farmers, FG, and suppliers?		
9. Does the buyer accept beans from non-certified farmers, farmer groups, suppliers?		
10. Is the warehouse sufficient to maintain good quality for storage?		
11. Is the warehouse separate certified and non-certified beans?		
Notes:		
Prices and documentation		
12. 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)		

13. Apart from quality related discount, any other discount?		
14. Apart from quality consideration, any other to increase price to farmer?		
15. Does the buyer accept and pay for low quality beans?		
16. Does the buyer provide receipts or any documentation for his/her purchase of beans from farmers?		
Notes:		
Services Provided by Buyer		
17. Does the buyer provide loan to farmer?		
18. Does the buyer provide solar dryers to farmer?		
19. 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: _____

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