



Final Report

FORMATIVE EVALUATION OF INTERNATIONAL COCOA INITIATIVE'S INFLUENCING WORK

May 2021



Executive Summary

This document is the final report of the formative evaluation of the influencing work of the International Cocoa Initiative (ICI) from 2015–2020. The evaluation was commissioned by ICI and carried out by Christophe Lecureuil of CLC Consultant and Glenn O’Neil of Owl RE. The evaluation was carried out from February to April 2021. It included a desk review, an online survey of 19 ICI Board members and partners and interviews with 24 stakeholders across the cocoa sector.

Findings

Effectiveness: The integration of evidence-based good practices to tackle child labour within standards and codes of conduct (and recognition of ICI as a standard setter) was assessed as an area of high success for ICI. This was complemented by ICI’s work with national cocoa sustainability platforms in Europe to establish common definitions and requirements for Child Labour Monitoring and Remediation Systems (CLMRS) within their frameworks. The introduction of consistent language and criteria across standards and codes was thought to have long-term benefits across the sector when they will be applied and used. Another recent initiative in this area is ICI’s participation in the European Union’s (EU) multi-stakeholder dialogue for sustainable cocoa (“Cocoa Talks”) in which ICI was already well positioned.

Building a more nuanced understanding of child labour amongst influencers such as media and civil society was also seen as a successful area for ICI. Stakeholders interviewed highlighted the work of ICI with civil society organisations and non-governmental organisations to develop a more nuanced understanding of child labour. Progress was also seen in the recognition of CLMRS by civil society as an important tool for addressing child labour.

Interview and survey results indicated that that ICI had contributed significantly to the mobilization of action, investment and alignment by the cocoa industry. The success seen was due to ICI’s two-pronged approach; 1) direct implementation of CLMRS and community development approaches in cocoa-producing and 2) research and evidence they were able to produce or input into. Stakeholders interviewed confirmed that ICI, using these approaches, was successful in aligning the major cocoa-producing companies with CLMRS or comparable systems, as seen in the published

policies and statements of the major cocoa producers and the industry body, the World Cocoa Foundation.

Supporting the development of policies in cocoa-consuming countries that promote human rights due diligence (HRDD) and responsible business conduct was an area of work that was less mentioned by stakeholders interviewed, with some making the link to the above-mentioned Cocoa Talks but not all.

Influencing national policy and improving awareness among government stakeholders in Ghana and Côte d'Ivoire was seen as a lower area of success for ICI. However, stakeholders interviewed working in Ghana and Côte d'Ivoire, including national authorities, confirmed that ICI was a trusted partner and ally for the countries and was working on improving awareness in the countries.

Efficiency: According to the interview and survey results, the most successful activities for advocacy and influencing were the research and data reports followed by implementation of CLMRS and the technical review of policies/standards.

Several advocacy and influencing approaches were highlighted that stakeholders thought needed reinforcing, including: the ability of ICI to build coalitions and use its convening possibilities; the need to go beyond technical advocacy and discuss broader issues; further fostering collaboration with cocoa-producing governments and multilateral organisations; and expanding advocacy and influence to a ICI team effort. Tackling the perception that ICI is advocating on CLMRS only and explaining the service delivery versus the best practices role of ICI were areas that needed clarifying according to stakeholders.

Conclusions and recommendations

This evaluation concludes that ICI has been a key influence in aligning stakeholders towards a common approach to combatting child labour in cocoa, notably with the CLMRS, and driving the adoption and scale-up of that approach, most prominently by industry, to reach an estimated 450,000 farming households by end-2020 according to ICI's figures.

Feedback from the survey and interviews proposed that the key future priorities for ICI's technical advocacy and influencing in 2021–2026 should be: promoting coordination and coherent multi-stakeholder action;

supporting national policies and programmes, and supporting European and other international policies and programmes.

Recommendations:

- Finding a balance between advocating for upscaling an inclusive CLMRS and other elements that prevent and address child labour;
- Advocating for coherent multi-stakeholder coordination and action;
- Strengthening ICI's advocacy with producing country governments through further collaboration and engagement;
- Reinforcing the standards and advocacy on the forthcoming EU framework on cocoa;
- Building a solid advocacy plan for ICI comprised of a strategy, action plan, defined roles and responsibilities, timeline, key messages, staff training and a research agenda.

Glossary of Terms

CLMRS	Child labour monitoring and remediation system
CSO	Civil society organisation
EU	European Union
HRDD	Human rights due diligence
ICI	International Cocoa Initiative
ILO	International Labour Organisation
MoU	Memorandum of Understanding
NGO	Non-governmental organisation

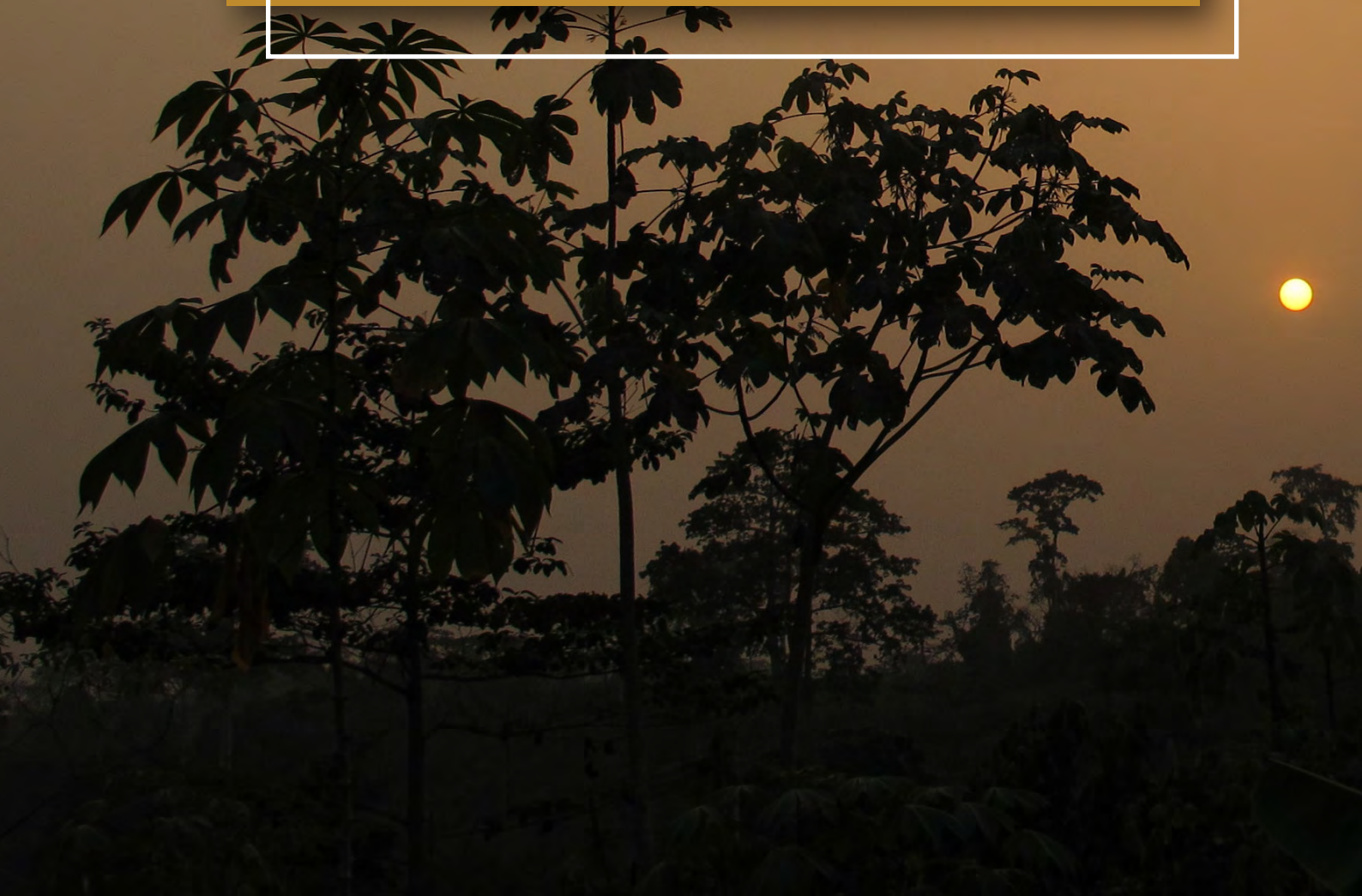






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1. Introduction

This document is the final report of the formative evaluation of the influencing work of the International Cocoa Initiative (ICI). The evaluation was commissioned by ICI and carried out by Christophe Lecureuil of CLC Consultant and Glenn O'Neil of Owl RE. The evaluation was carried from February to April 2021.

2. Aim, scope and use

Aim: The aim of the evaluation was to help ICI understand how its advocacy and influencing work in the past five years has contributed to changes in policies and practices related to child labour in the cocoa sector; which approaches have been more and less effective; and how this understanding can inform its future advocacy and influencing work as part of its new 2021–2026 Strategy. This aim is operationalised into three questions as detailed in the evaluation Matrix (see annex 1).

Scope: The evaluation covered the time period of 1 January 2015 to 31 December 2020 with the main reference point being the ICI Strategy 2015–2020 and the accompanying Influencing Strategy.

Use and audience: The primary intended audience for the evaluation is ICI's management team and board. This report will also be shared with ICI's members and made publicly available. It is intended that the results of the evaluation will inform the influencing and advocacy approaches of ICI from 2021–2026.

3. Definitions

The Terms of Reference (see annex 6) referred to “Technical Advocacy” which is the focus of this evaluation and “*seeks specifically to disseminate emerging evidence, knowledge and learning; to drive the development of enabling policies and standards; to develop and promote shared objectives among multiple stakeholders; to develop partnerships and mobilise donors*”. For the purpose of this evaluation, advocacy and influencing was defined

as: *“An intervention intended to catalyse, stimulate or otherwise seed some form of change.”*¹

Advocacy and influencing includes different approaches such as changing policy and/or behaviour; direct and/or indirect, insider (private) and/or outsider (public), formal and/or informal.

Advocacy and influencing aims to contribute to changes in policies and practices. In addition to formal written policies and guidance of organisations (governments, companies, non-governmental organisations (NGOs), etc.), this evaluation considered policies and practices to include decisions on resource allocation and the steps of the policy-making process, such as identifying the issues, initial formative discussions, stakeholder consultation, policy drafting and implementation². ICI is carrying out advocacy and influencing activities towards national governments in cocoa-producing and consuming countries, the cocoa and chocolate industry, certification organisations, non-government organisations, campaign groups, and development donors. Further, the steps towards influencing were of interest to this evaluation, such as building an evidence-base, awareness-raising, agenda-setting and positioning ICI and the issues it champions, as found within the above definition of technical advocacy.

4. Evaluation methodology

The evaluation methodology used a combination of qualitative and quantitative methods drawing from primary and secondary research. The evaluation equally drew on relevant information and sources at the country- and global-levels. The following methods were used:

- A desk review of all relevant internal and external documents including reports, strategies, policies, guidelines and other documentation. The main documents consulted can be found in annex 3.
- An online survey of ICI Board members and partners that received 19 responses.

1 ODI (2014), Monitoring and evaluation of policy influence and advocacy, p. 5: <https://www.odi.org/sites/odi.org.uk/files/odi-assets/publications-opinion-files/8928.pdf>

2 ODI (2020): ROMA: a guide to policy engagement and influence, p. 1: <https://odi.org/en/publications/roma-a-guide-to-policy-engagement-and-influence/>

- Interviews with 34 key stakeholders from across the cocoa sector. The list of those interviewed is found in annex 2.

The evaluation commenced with an online inception workshop with ICI's involved staff in February 2021. Within this workshop, they mapped out visually the possible pathways from influencing activities to outcomes and impact. A result of this workshop was the definition of four outcome areas with 17 specific outcomes where ICI's advocacy and influencing work were anticipated to have produced results (see annex 4 for a list of the outcome areas). These outcome areas provided guidance for the focus of the evaluation. The data and information collected was compiled and analysed with the results forming the findings of this report. The contribution analysis method³ was used to estimate the contribution of ICI to the outcomes identified; the results are found in annex 5.

The preliminary findings of the evaluation were presented to ICI staff in April 2021 and following their input, the findings were further modified and presented to the ICI Board in May 2021.

During the inception phase, a small number of potential limitations were identified. These limitations did not prove to be major obstacles for the evaluation as explained in the following table.

Potential limitation	Mitigation measures
The current situation with COVID-19 could limit potential in-person interaction with stakeholders and beneficiaries.	Research was carried out completely remotely. Different research methods were combined to obtain the data and information needed.
Access to a wide range of key stakeholders may be compromised due to the relatively short timeframe of the evaluation.	The ICI staff provided the evaluation team with introductions to stakeholders, facilitating the contact and all main groups were reached.
Low number of survey responses due to "survey fatigue".	The number of survey questions was limited to encourage responses; the responses received (19) was sufficient to draw findings.

3 For further information on this method, see: https://www.betterevaluation.org/en/plan/approach/contribution_analysis

Potential limitation	Mitigation measures
The number of potential outcomes (35 identified during inception phase) could imply difficulties to carry out a thorough analysis of all; these were consequently consolidated into 17 specific outcomes by the ICI team.	The evaluation team aimed to cover all 17 outcomes; naturally some were covered in more detail than others, most notably salience played a role; the most recent outcomes were more present than those of several years ago.
The recall of stakeholders will be biased towards the most recent policy and sector developments.	This was a limitation seen in that many stakeholders cited examples of policy and sector developments that occurred in 2020–2021 (such as the EU Cocoa Talks). When possible, the evaluation team queried with stakeholders about earlier development but this bias still remains in the findings to some extent.

5. Findings

5.1. Effectiveness

To what extent has ICI's advocacy and influencing work contributed to changes in policies and practices?

The evaluation assessed the extent to which ICI's advocacy and influencing work had contributed to changes in policies and practices across the four main areas and 17 specific outcomes identified in the inception phase (see annex 4). An overview is provided of the four main areas with a more detailed contribution analysis on each of the 17 specific outcomes found at annex 5.

Integration of evidence-based good practices to tackle child labour within standards and codes of conduct and recognition of ICI as a standard setter (survey score: 81%⁴)

4 Average of responses on a five-point scale to the survey question: "How would you assess ICI's success from 2015–2020 in influencing policies and practices in the following areas? Very poor(1), poor(2), satisfactory(3), good(4), excellent(5)".

Surveyed ICI Board members and partners assessed this area as seeing the highest success of ICI in influencing policy and practices. This was also supported by the individuals interviewed who believed ICI had considerable influence in integrating good practices to tackle child labour within cocoa-related standards and codes including the ISO 34101 series of standards on sustainable and traceable cocoa, the African Regional Standard and the standards/codes of conduct of Fairtrade, Rainforest Alliance and UTZ.

This was complemented by ICI's work with national cocoa sustainability platforms in Europe (GISCO, SWISSCO, Beyond Chocolate, DISCO and more recently FRISCO) to establish common definitions and Child Labour Monitoring and Remediation Systems (CLMRS) requirements within their frameworks. In total, the introduction of consistent language and criteria across standards and codes is expected to have long-term benefits across the sector, as this stakeholder explained:

"ICI have worked hard to ensure that standards are aligned and they have been successful and key in making all of these initiatives coherent, that will benefit this sector and beyond"—National platform

Another recent initiative in this area is ICI's participation in the European Union's (EU) multi-stakeholder dialogue for sustainable cocoa ("Cocoa Talks"). ICI gave a presentation in the introductory session in 2020 on child labour and stakeholders confirmed that ICI was well positioned in the Cocoa Talks. The potential of the Cocoa Talks was high in terms of possible EU-wide legislation and funding for cocoa-producing countries, as one stakeholder suggested it could be *"possibly the biggest game changer for cocoa—if it goes well."* For this reason, several stakeholders familiar with the Cocoa Talks suggested that ICI needs to stay as closely engaged as possible.

Improving knowledge around child labour, its root causes and practices to address it and building a more nuanced understanding of child labour with influencers (survey score: 80%)

Surveyed ICI board members and partners assessed this area as the second highest success of ICI in influencing policy and practices. Stakeholders interviewed highlighted the work of ICI with civil society organisations (CSOs) and NGOs to develop a more nuanced understanding of child labour, which was also supported by the multi-stakeholder nature of ICI. The development of a more nuanced understanding was confirmed by CSOs and NGOs interviewed as this stakeholder commented:

“ICI has had a positive influence on civil society; it helps us to understand the perspective of the cocoa industry, we have learnt from them and seen that we can work with them [industry] for solutions”—CSO

Progress was also seen in the recognition of CLMRS by civil society as an important tool for addressing child labour according to stakeholders interviewed. The ability of ICI to show through research and evidence the concrete benefits and impacts of the CLMRS was persuasive for civil society as one CSO commented:

“The ICI have the data that shows that CLMRS works—that’s powerful even to activists”—CSO

The profile of CLMRS in the 2020 Cocoa Barometer of the VOICE Network, the leading CSO, NGO and trade union coalition for sustainability in cocoa is also a good example of the progress seen and the perceived integrity of ICI and its work; it presents a balanced and nuanced position on CLMRS.⁵

As explained by stakeholders interviewed, CSOs and NGOs represent a broad range of views on cocoa and child labour, and there were areas where some thought ICI could do more on influencing, such as addressing root causes, as discussed further below (see “Efficiency”).

Mobilization of action, investment and alignment by industry (survey score: 75%)

Surveyed ICI board and partners assessed this area as the third highest success of ICI in influencing policy and practices and there was a strong consensus among stakeholders interviewed that ICI had contributed significantly to progress in this area. The success seen was due to ICI’s two-pronged approach; 1) direct implementation of CLMRS in cocoa-producing countries that gave them credibility and legitimacy to speak of solutions and 2) research and evidence they were able to produce (or input into) on the benefits of the CLMRS implementation through this experience. Both were rated in the survey as the top two most successful approaches/activities to technical advocacy (see figure 1 below).

Stakeholders interviewed confirmed that ICI, using these approaches, was successful in aligning the major cocoa-producing companies with CLMRS

⁵ Cocoa Barometer 2020, p. 62: <https://www.voicenetwork.eu/wp-content/uploads/2021/03/2020-Cocoa-Barometer-EN.pdf>

or comparable systems, as seen in the published policies and statements of Hershey, Cargill, Nestlé, Barry Callebaut, Mondelez, Tony's Chocolonely and the industry body, the World Cocoa Foundation (see annex 5 for further details). This role was explained by a stakeholder as *"They [ICI] have been guiding/steering the private sector quite successfully"*—Cocoa Industry.

Although there was a strong consensus on the positive progress seen in the alignment of the cocoa industry, there were some stakeholders, both within and outside the industry, that thought ICI could adapt its approach or do more, as discussed below (see "Efficiency").

Supporting the development of policies in cocoa-consuming countries that promote human rights due diligence (HRDD) and responsible business conduct (71%)

Surveyed ICI board members and partners assessed this area as the fourth and second lowest area of success for ICI influencing. Stakeholders interviewed did comment on this, but in general were less informed about this area of work with some making the link to the above-mentioned Cocoa Talks but not all (some focused on the possibility of the funding it could imply for cocoa-producing countries).

Influencing national policy and improving awareness within government stakeholders in Ghana and Côte d'Ivoire (68%)

Surveyed ICI board members and partners assessed this area as the fifth and lowest area of success of ICI in influencing policy and practices. However, stakeholders interviewed working in Ghana and Côte d'Ivoire, including national authorities, confirmed that ICI was a trusted partner and ally for the countries and was working on improving awareness in the countries. The presence in the countries and collaboration with the authorities also positioned ICI positively:

"ICI has managed to position itself as one of the most prominent actors as they operate within the communities"—Cocoa-producing government

Stakeholders and documentation (action plans) confirmed that ICI had worked successfully with the national authorities to underline the importance of private sector actions (such as CLMRS) in the Côte d'Ivoire and Ghana national action plans against child labour, in addition to securing reference to

its tools and approaches within other policies/approaches of the authorities (see annex 5 for further details).

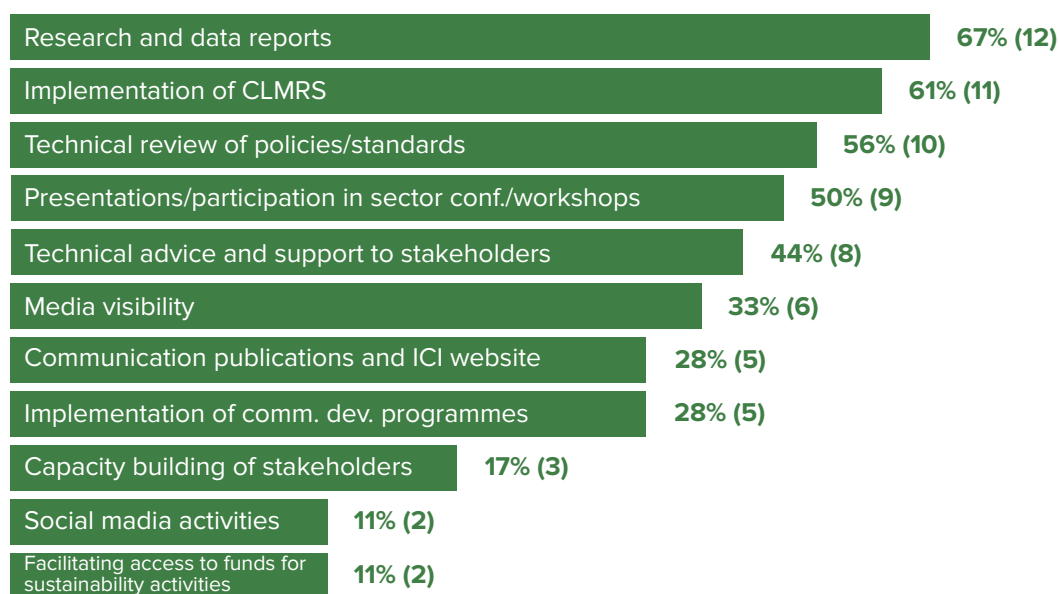
The mixed assessment of ICI's work in influencing national policies and authorities was also thought to be due to the complex and challenging environments of the cocoa-producing countries. As stakeholders explained, it was at the country-level where the different priorities and approaches to combating child labour in cocoa come together, creating challenges for all parties in finding a common and agreed way forward as discussed further below (see "Efficiency").

5.2. Efficiency

Which approaches to ICI's advocacy and influencing have proven successful or have failed, and why?

Successful approaches: Surveyed ICI members and partners provided an assessment of what they thought were the most successful activities for advocacy and influencing, with "Research and data reports" ranked first followed by "Implementation of CLMRS" and "Technical review of policies/standards" as seen in the graph below. Stakeholders interviewed provided a similar assessment.

Figure 1: Most successful activities for advocacy and influencing (Survey question "Which of the following ICI activities and approaches do you think were key in achieving advocacy and influencing successes? Please select maximum five") (18 responses)



Further feedback is provided on the most successful approaches:

- **Research and data reports:** The ability for ICI to base its influencing and advocacy on research and data reports was seen as a very successful approach, as seen above in the use of evidence and data to advance its agenda with both industry and civil society. The fact that ICI was also seen to be providing advice and technical support to the preparation and dissemination of external research, for example the 2018-19 NORC sector-wide survey of child labour prevalence in Côte d'Ivoire and Ghana, also illustrated that ICI was supporting an evidence-based approach across the sector.
- **Implementation of CLMRS:** Implementing CLMRS in the cocoa-producing countries provided ICI with credibility and legitimacy to advocate as described above. Direct implementation also provided ICI with access to data that could then be used for influencing and advocacy purposes.
- **Technical review and advice:** Both activities were highlighted by stakeholders interviewed as being important ways to ensure the adoption of common language and criteria, but also to influence the cocoa sector. ICI's expertise in this regard was often stressed by stakeholders.
- **Presentation/participation in sector conferences:** ICI was seen as being present in the key sector and industry conferences and events, most recently as seen with the EU Cocoa Talks as described above. The consistent messaging through this presence was important to reinforce ICI's influencing and advocacy according to stakeholders interviewed.
- **Communication, media and social media:** Although rated lower than the above activities, these activities were seen as important in providing support to the influencing and advocacy priorities of ICI. The availability of ICI's data and research and the promotion of key issues through social media were also highlighted by stakeholders.

The other activities of **implementation of community development programming, capacity building of stakeholders** and **facilitating access to funds for sustainability activities** were rated as less important by the ICI board and partners surveyed. However, this could also be a reflection of their interests and focus. These three activities were also highlighted by national authorities in Ghana and Côte d'Ivoire as being very important for them.

Approaches requiring reinforcement: The evaluation did not identify activities or approaches that “failed”. Rather several points were highlighted by stakeholders (in interviews and the survey) that they thought needed reinforcing or clarifying:

- **Coalition-building and convening:** ICI was seen as less successful in its ability to build coalitions and use its convening abilities across the cocoa sector. This was also indicated as the top priority for the future advocacy and influencing strategy (see “Conclusions and recommendations”). Although not all stakeholders could articulate what they meant by further coalition building and convening, some referred to the potential role of ICI in developing a common partnership, commitments and agenda across the sector, as this stakeholder commented:

“What we are missing are sector wide commitment and priorities. We are lacking sector-wide leadership—ICI could change this”—CSO

- **Going beyond technical advocacy:** ICI was seen as very proficient in providing technical advice and support focused on eliminating child labour from the cocoa supply chain that has produced considerable results as described above. Some stakeholders perceived ICI as focusing less on tackling the broader issues associated with child labour in cocoa such as poverty, living income, human rights and environmental protection. The ICI team commented that they were mentioning these issues in their advocacy messaging but perhaps not as prominently as some stakeholders would want, further highlighting that the added value of ICI was perhaps in the technical advocacy on child labour rather than on the broader issues that others may be better placed to advocate on. This was also highlighted in interviews as this stakeholder commented:

“ICI puts too much emphasis on the supply chain. We need a holistic approach to child labour as it is a development issue”—Cocoa-producing government

- **Tackling perceived single-issue advocacy:** With the success seen in advocating for CLMRS, some stakeholders perceived ICI as advocating only for this one approach. For these stakeholders this was also a potential conflict of interests, given that it was remunerated for implementing CLMRS (in addition to community development approaches) on the ground (see next point). The ICI team highlighted that they do aim to present a balanced view of all possible systems, which is evident, for example in the ICI presentation during the 2021 EU Cocoa Talks where six systems were presented.⁶
- **Explaining service delivery verses best practices role:** The ICI has a dual role in both advocating for best practices to eliminate child labour

⁶ See EU (2021), *Cocoa Talks, Summary report of Meeting 3A on Traceability, Transparency and Accountability with regards to Child Labour*, p. 3: https://ec.europa.eu/international-partnerships/system/files/meeting-3-sessionasummaryreporttraceability_en.pdf

in cocoa and carrying out services to implement CLMRS and community development approaches on behalf of companies. Some stakeholders thought that this was not clear and a potential conflict of interest, particularly when advocating for CLMRS as mentioned above. There were many advantages of the service delivery role (such as legitimacy, credibility and access to data) and it was thought that this dual role needed to be better explained (rather than abandoned).

- **ICI staff capacity for advocacy and influencing:** ICI's efforts in advocacy and influencing were mainly led by the Executive Director and the Director of Strategy and Operations. The perception of some stakeholders interviewed was that advocacy and influencing relied too heavily on these two individuals rather than being a team effort. At the same time, the important role of ICI staff in Ghana and Côte d'Ivoire was recognised by stakeholders interviewed.
- **Fostering further collaboration beyond industry with cocoa-producing governments and multilateral organisations:** The ICI has been successful in its collaboration with the cocoa industry and civil society as described above. Although progress has been seen with the cocoa-producing governments, it has proven challenging. Related to the above point on coalition-building, some stakeholders thought that ICI needed to work even further on fostering collaboration with the multilateral organisations that are active in the sector, such as the World Bank, UNICEF and the International Labour Organisation (ILO), as this stakeholder commented:

"ICI is working with the companies on what are the broader menu of solutions—but we need a multi-stakeholder partnership - and they need to manage these [broader] relations"—Industry

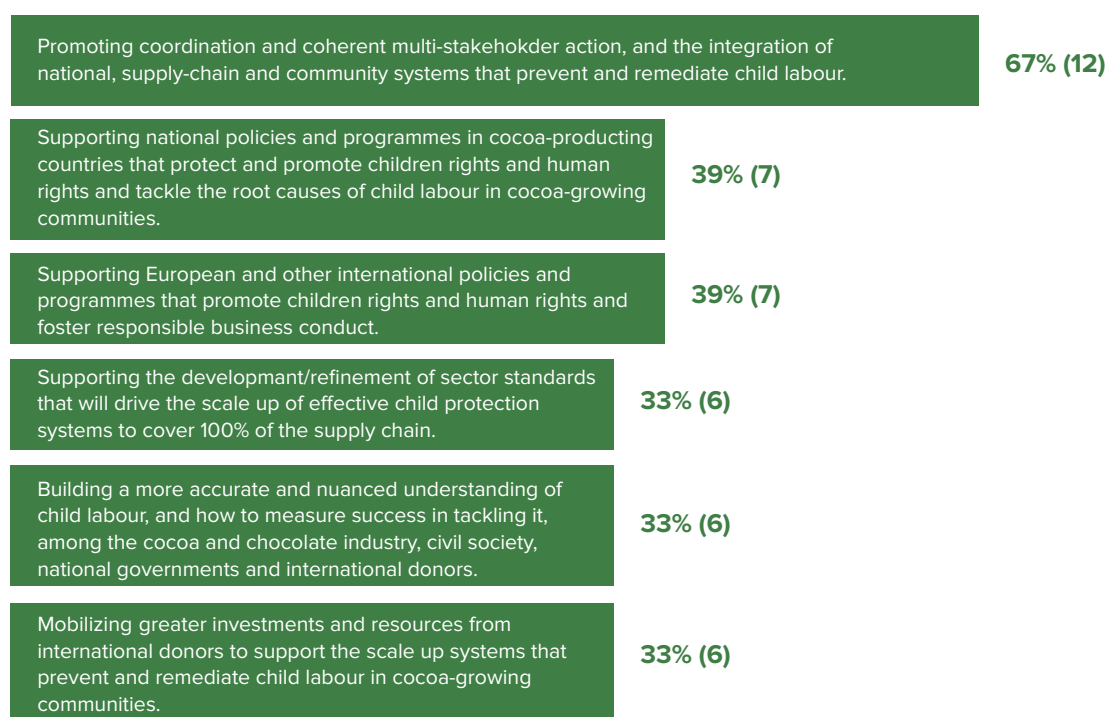
6. Conclusions and recommendations

This evaluation concludes that ICI has been a key influence in aligning stakeholders towards a common approach to combatting child labour in cocoa, notably with the CLMRS, and driving the adoption and scale-up of that approach, most prominently by industry, to reach an estimated 450,000 farming households in Côte d'Ivoire and Ghana by end-2020, according to ICI's figures.

What should ICI do to improve its current and future work on advocacy and influencing to support the realisation of its new 2021–2026 strategy?

Surveyed ICI members and partners selected what they thought should be the key future priorities for ICI's technical advocacy and influencing in 2021–2026 as seen in the graph below. Stakeholders interviewed also provided a similar assessment. The feedback indicated that stakeholders thought that the top three priorities should be: **promoting coordination and coherent multi-stakeholder action; supporting national policies and programmes, and supporting European and other international policies and programmes.** These results are reflected in the recommendations section below.

Figure 2: Key future priorities for advocacy and influencing (Survey question “Looking to the future, which of the following areas do you think should be the key priorities for ICI’s technical advocacy and influencing in 2021–2026? Please select maximum four” (18 responses) (top four responses)



Surveyed ICI members and partners were also asked to indicate who should be the priority target audiences for influencing and advocacy, resulting in the following ranking:

1. Policy makers, government representatives and regulators
2. The cocoa and chocolate industry
3. Farmer groups and cocoa-growing communities
4. Civil society organizations
5. International donors

6. Standard setters and certifiers
7. The media
8. Campaign groups
9. Consumers
10. Investors

6.1. Recommendations

The findings above set out the successes of ICI's influencing and advocacy work since 2015, in addition to areas for reinforcement. For ICI to build on the solid foundation it has created through influencing and advocacy, the following recommendations are proposed for consideration as key priorities for ICI's technical advocacy and influencing in 2021–2026.

Finding a balance between advocating for upscaling CLMRS and other effective approaches to prevent and address child labour: ICI's new strategy 2021–2026 prioritises effective and sustainable child protection/HRDD systems that prevent and address child labour (implying upscaling of CLMRS). The advocacy and influencing work can clearly provide support in this respect, building on the progress to date. At the same time, ICI has to ensure that its advocacy increasingly underlines that CLMRS is one of many systems that must work in synergy⁷. In addition, ICI should be increasingly advocating on the root causes of child labour such as poverty, living income, human rights and environmental protection (including through multi-stakeholder actions—see next recommendation). The key would be to find a balance and not lose sight of the upscaling of CLMRS.

Advocating for coherent multi-stakeholder coordination and action: As seen above, the ICI members and partners suggested a greater focus in this area and this already features prominently in the new strategy 2021–2026. However, it remains to be determined in what form and level (country, regional or global) should the coordination and action take place, in addition to what would be the role of the ICI, in terms of advocating for coordination and/or taking a central convening role.

Further strengthening ICI's advocacy with producing country governments through further collaboration and engagement: A large number of surveyed

⁷ For example national CLMS, community child protection systems, national child protection and social welfare services, national law enforcement and systems and services, national labour inspection services. Source; EU (2021), *Cocoa Talks*, p.3–ICI presentation.

and interviewed stakeholders, including national authorities, underlined the need for further communication and engagement with producing country governments to ensure mutual understanding, strengthened cooperation and concrete actions with national authorities. These authorities emphasized that ICI's continued support would be welcome in advocating for a coherent sector-wide approach, greater funding for sustainability activities and further community development programming. Support was also needed beyond advocacy such as in capacity building and technical assistance.

Reinforcing the standards and advocacy on the forthcoming EU framework on cocoa: Stakeholders interviewed and surveyed expressed the importance of ICI playing a role in shaping the upcoming EU policy/legislation, in cooperation with dedicated trade associations based in Brussels, in particular with a view to providing input on the questions of HRDD. There also could be a possibility for ICI to access EU funding through this framework in the future.

Building a solid advocacy plan for ICI comprised of a strategy, action plan, defined roles and responsibilities, timeline, key messages, staff training and a research agenda: Many ICI Board members and partners, as well as ICI staff, highlighted the need for a dedicated "Advocacy Strategy" which would encapsulate all of the elements mentioned above, providing a solid and systematic approach to influencing and advocacy.



Annex 1: Evaluation matrix

Evaluation questions	Indicators—what is the analysis/assessment based on?	Tools/ methods	Sources
Effectiveness			
1. To what extent has ICI's advocacy and influencing work contributed to changes in policies and practices?	<ul style="list-style-type: none">• Identification of outcome-level changes in policies and practices in line with the 2015–2020 ICI Strategy at national, regional and global level within industry, governments, regulatory frameworks, civil society and communities.• Identification of outcomes outside of the 2015-2020 ICI Strategy.• Estimation of the contribution of the ICI to the outcomes seen.	Document review Key Informant Interviews Partner survey Policy/practice mapping	ICI and external documentation Stakeholders Partners All data
Efficiency			
2. Which approaches to ICI's advocacy and influencing have proven successful or have failed, and why?	<ul style="list-style-type: none">• Identification of ICI approaches and matching to the outcomes seen and confirmed with high importance and contribution of ICI; ranking of approaches.	Document review Key Informant Interviews Partner survey	ICI and external documentation Stakeholders Partners
Forward looking			
3. What should ICI do to improve its current and future work on advocacy and influencing to support the realisation of its new 2021–2026 strategy?	<ul style="list-style-type: none">• Identification of improvements with possible options and alternatives.	Informed by all of the above.	Informed by all of the above.

Annex 2: List of stakeholders interviewed

- 8 individuals from the cocoa and chocolate industry
- 2 individuals from certification bodies
- 5 individuals from industry groups or national platforms
- 7 individuals from civil society groups
- 2 individuals from academia
- 2 individuals from producer country governments
- 2 independent consultants working extensively in the cocoa sustainability environment
- 6 individuals from ICI

Annex 3: Main documents reviewed

Following are the main documents consulted:

- Public and internal ICI documentation: strategies, plans and reports.
- Public policy statements and reports of cocoa-producing companies
- Public policy statements and reports of CSOs and NGOs
- Codes of conducts and/or standards related to cocoa

Côte d'Ivoire, Plan d'Action National 2019–2021 de lutte contre la traite, l'exploitation et le travail des enfants: http://www.travaildesenfants.org/sites/default/files/pdf_documents/PLAN%20D%27ACTION%20NATIONAL%20%28PAN%29%20%202019-2021%20PDF.pdf

Ghana National Plan of Action to Eliminate the Worst Forms of Child Labour (2017): <https://www.unicef.org/ghana/reports/national-plan-action-eliminate-worst-forms-child-labour>

NORC Final Report (2020): Assessing Progress in Reducing Child Labor in Cocoa Production in Cocoa Growing Areas of Côte d'Ivoire and Ghana: https://www.norc.org/PDFs/Cocoa%20Report/NORC%202020%20Cocoa%20Report_English.pdf

ODI (2014), Monitoring and evaluation of policy influence and advocacy: <https://www.odi.org/sites/odi.org.uk/files/odi-assets/publications-opinion-files/8928.pdf>

ODI (2020), ROMA: a guide to policy engagement and influence: <https://odi.org/en/publications/roma-a-guide-to-policy-engagement-and-influence/>

VOICE Network, Cocoa Barometer 2020: <https://www.voicenetwork.eu/wp-content/uploads/2021/03/2020-Cocoa-Barometer-EN.pdf>

EU (2021), Cocoa Talks, Summary report of Meeting 3A on Traceability, Transparency and Accountability with regards to Child Labour: https://ec.europa.eu/international-partnerships/system/files/meeting-3-session-summary-report-traceability_en.pdf

Annex 4: Four outcome areas

1. Improving knowledge around child labour, its root causes and practices to address it and building a more nuanced understanding of child labour with influencers (media, campaign groups and donors)
 - Influenced major NGOs (including Voice network, Stop the Traffick, Be Slavery Free, Green America, International Labour Rights Forum, Mighty Earth etc.) with a more nuanced understanding of child labour and recognition of CLMRS (and its coverage) as an important tool
 - Media coverage of child labour and forced labour becoming more nuanced
 - Latest sector wide survey of child labour (NORC study and sub-study) presents a fair view of child labour situation and ways forward
 - Supported several donors in revision of their cocoa strategy and actions with financial support for CLMRS (including GiZ, USDOL, RVO)
2. Integration of evidence-based good practices to tackle child labour within standards and codes of conduct and recognition of ICI as a standard setter in the sector
 - Provided support to the development of Rainforest Alliance and FairTrade codes of conduct including CLMRS requirements
 - Involved in the development of the ISO/CEN and ARS (African Regional Standard) including CLMRS requirements
 - Influenced all European cocoa sustainability initiatives (GISCO, SWISSCO, Beyond Chocolate, FRISCO and DISCO with the inclusion of CLMRS requirements and development of harmonized reporting framework based on ICI definitions
 - Invited to take part in EU multi-stakeholder dialogue providing future opportunities to shape EU policy when related to cocoa sustainability
3. Mobilization of action, investment and alignment by industry
 - Companies using CLMRS and committing to scale CLMRS up to cover more of their supply chains
 - CocoaAction community development package (WCF companies) incorporates CLMRS and the relevant elements of ICI's community development approach
 - Companies see CLMRS as a way of fulfilling HRDD obligations

4. Influencing national policy and improving awareness within government stakeholders in Ghana and CÔTE D'IVOIRE (focusing on public private cooperation)
- Improved awareness of child labour among national authorities for example the child labour select committee in Ghana
 - Influenced the design of national action plans against child labour in Côte d'Ivoire and Ghana including underlining the importance of private sector actions (including CLMRS)
 - Memorandum of understanding with the government of Côte d'Ivoire which includes a focus on public private collaboration featuring CLMRS
 - ICI recognized by the national authorities as a trusted ally (NORC feedback and review of the Ghana Child Labour Monitoring System)
 - ICI's training and awareness tools on child labor in cocoa adopted as the national reference tools in Côte d'Ivoire
 - ICI data collection tools influencing the review of SOSTECI (system for child labour monitoring in Côte d'Ivoire) data collection tools



Annex 5: Contribution analysis results

Intended outcome	Level of significance of change seen	Contribution of ICI	Strength of evidence	Main ICI activities used	Documented evidence	Explanations
Improving knowledge around child labour, its root causes and practices to address it and building a more nuanced understanding of child labour, with influencers						
Influenced major NGOs with a more nuanced understanding of child labour and recognition of CLMRS as an important tool	High	High	High	Media visibility Communications Sector presence Research	Voice cocoa barometer reports	Documentation and interviews indicate that ICI's influence was high and this has been a significant change.
Media coverage of child labour and forced labour becoming more nuanced	High	High	Medium	Media visibility Communications Sector presence Research	ICI news and media	Stakeholders interviewed indicated that media coverage has become more nuanced and the ICI has played a significant role in this respect

Intended outcome	Level of significance of change seen	Contribution of ICI	Strength of evidence	Main ICI activities used	Documented evidence	Explanations
						(the evaluation did not carry out a media coverage analysis but ICI's own monitoring supports these results).
Latest sector wide survey of child labour presents a fair view of child labour situation and ways forward	Medium	Medium	Medium	Technical review Research	NORC 2020 study	The 2020 NORC study presents a fair view of child labour situation and ways forward according to stakeholders interviewed who were aware of it. Its impact could be significant but is not yet fully known given it is a recent study (thus "medium" rating for significance).
Supported several donors in revision of their cocoa strategy and actions with financial support for CLMRS	Medium	Medium	Low	Technical review		The evaluation did not speak directly with donors so the evidence available on this outcome was rated as "low".

Intended outcome	Level of significance of change seen	Contribution of ICI	Strength of evidence	Main ICI activities used	Documented evidence	Explanations
Integration of evidence-based good practices to tackle child labour within standards and codes of conduct and recognition of ICI as a standard setter						
Provided support to the development of Rainforest Alliance and FairTrade codes of conduct including CLMRS requirements	High	High	High	Technical review Sector presence	Rainforest Alliance code of conduct; UTZ code of conduct; Fairtrade cocoa standard	The alignment of these standards and code of conduct to ICI criteria could be significant given their reach; ICI was seen as the main contributor to these changes.
Involved in the development of the ISO/ CEN and ARS (African Regional Standard) including CLMRS requirements	High	High	Medium	Technical review Sector presence	CEN/ISO standard; African Regional Standard	As for above, alignment could be significant given the global and potential regional reach of these standards.

Intended outcome	Level of significance of change seen	Contribution of ICI	Strength of evidence	Main ICI activities used	Documented evidence	Explanations
Influenced all European cocoa sustainability initiatives with the inclusion of CLMRS requirements and development of harmonized reporting framework	Medium	High	High	Technical review Sector presence Research	2021 benchmarking study	ICI had a key role in aligning these initiatives as confirmed by many stakeholders; although the potential impact of this alignment is not yet fully known (thus “medium” rating for significance).
Invited to take part in EU multi-stakeholder dialogue providing future opportunities to shape EU policy when related to cocoa sustainability	Medium	Medium	Medium	Sector presence Communications	EU Cocoa Talks summary report	The EU Cocoa Talks are potentially very significant, but they are at an initial stage (thus the “medium” rating across the three criteria).
Mobilization of action, investment and alignment by industry						

Intended outcome	Level of significance of change seen	Contribution of ICI	Strength of evidence	Main ICI activities used	Documented evidence	Explanations
Companies using CLMRS and committing to scale CLMRS up to cover more of their supply chains	High	High	High	CLMRS implementation Technical review Sector presence Research	Hershey, Cargill, Nestlé, Barry Callebaut, Mondelez, Tony's, WCF pathways	Stakeholders interviewed confirmed the significant contribution of ICI to this outcome, as supported by the available policies and statement of companies.
CocoaAction community development package (WCF companies) incorporates CLMRS and the relevant elements of ICI's community development approach	Medium	High	Medium	Technical review Sector presence	CocoaAction, CocoaAction Community Development Manual	CocoaAction was adopted by WCF members and is operational until 2020. ICI's concepts were incorporated into the CocoaAction package. Level of significance of change is rated as "medium" considering an independent assessment found CocoaAction's impact was moderate.

Intended outcome	Level of significance of change seen	Contribution of ICI	Strength of evidence	Main ICI activities used	Documented evidence	Explanations
Companies see CLMRS as a way of fulfilling HRDD obligations	Medium	Medium	Medium	Technical review Sector presence		Stakeholders interviewed spoke about due diligence less than the overall commitment of companies towards CLMRS (this could also be due to not interviewing those knowledgeable about the area – rather than an indication of its significance).
Influencing national policy and improving awareness within government stakeholders in Ghana and CÔTE D'IVOIRE						
Improved awareness of child labour among national authorities for example, the child labour select committee in Ghana	Medium	Medium	Medium	Technical review Sector presence Capacity building		Overall awareness of child labour was improving with ICI an important actor, although amongst others.

Intended outcome	Level of significance of change seen	Contribution of ICI	Strength of evidence	Main ICI activities used	Documented evidence	Explanations
Influenced the design of national action plans against child labour in Côte d'Ivoire and Ghana including underlining the importance of private sector actions	Medium	High	Medium	Technical review Sector presence Capacity building	Ghana action plan, Côte d'Ivoire action plan	The national plans include ICI's points; rated as "medium" for significance as impact of action plans not yet fully known/seen.
Memorandum of understanding (MoU) with the government of Côte d'Ivoire which includes a focus on public private collaboration featuring CLMRS	Medium	High	Medium	Technical review Sector presence Capacity building		As above; rated as "medium" for significance as impact of MoU not yet fully known.
ICI recognized by the national authorities as a trusted ally	Medium	High	High	Technical review Sector presence Capacity building Communications		Stakeholders interviewed confirmed that the ICI was recognised by national authorities in Ghana and CÔTE D'IVOIRE as a trusted ally.

Intended outcome	Level of significance of change seen	Contribution of ICI	Strength of evidence	Main ICI activities used	Documented evidence	Explanations
ICI's training and awareness tools on child labor in cocoa adopted as the national reference tools in Côte d'Ivoire	Medium	High	Low	Technical review Sector presence Capacity building		Only a few stakeholders interviewed commented on this outcome, although ICI's influence was thought to be high with the reference to ICI tools now in the Côte d'Ivoire system.
ICI data collection tools influencing the review of SOSTECI data collection tools	Medium	High	Low	Technical review Sector presence Capacity building		As above.

Rating scales were used for the following three factors and based on evaluative rubrics⁸:

Level of significance of change seen	Contribution of ICI	Strength of evidence
High: change is important and potential impact considerable. Medium: change is moderate with potential impact balanced. Low: change is limited as is potential impact.	High: ICI contributed alone or mostly alone to this change. Medium: ICI was an important contribution as were several other influences. Low: ICI was one of many actors and influences.	High: Evidence is strong and from multiple sources. Medium: Evidence is moderate and from limited sources. Low: Limited or no evidence exists.

8 Based on existing rubrics methods, see: <https://www.betterevaluation.org/resource/example/rubrics-oakden>



Annex 6: Terms of Reference

TERMS OF REFERENCE

Formative evaluation of ICI's influencing work



1 December 2020

BACKGROUND AND RATIONALE

ICI is a Swiss-based, non-profit foundation that works to ensure a better future for children in cocoa growing communities. It is a multi-stakeholder partnership advancing the elimination of child labour and forced labour, by uniting the forces of the cocoa and chocolate industry, civil society, farming communities, governments, international organizations and donors. ICI was created following a recommendation in the 2001 Harkin-Engel Protocol for the establishment of an independent foundation to oversee and sustain efforts to eliminate child labour in cocoa, including by implementing projects and serving as a clearinghouse for good practices.

In 2020, ICI adopted a [new five-year strategy](#), with the priority focus of scaling up effective action to cover all children at risk of child labour and all workers at risk of forced labour.

Under this strategy, ICI will work towards three strategic objectives:

1. **A responsible supply chain**, in which systems and services that prevent and address child labour and forced labour are strengthened and scaled up
2. **A supporting enabling environment**, in which national and international policies, capacities and systems are reinforced
3. **An integrated and coordinated response**, in which all actors and systems operate as part of an efficient, coherent and coordinated multi-stakeholder effort.

To realise these objectives, ICI will work in three areas: Learning and Innovation; Technical Advocacy and Capacity & System Strengthening.

The focus of this evaluation is the "Technical Advocacy" function, which seeks specifically to disseminate emerging evidence, knowledge and learning; to drive the development of enabling policies and standards; to develop and promote shared objectives among multiple stakeholders; to develop partnerships and mobilise donors.

ICI is commissioning a formative evaluation of its work to-date on influencing, particularly under its previous [2015-2020 Strategy](#). During this period, advocacy was part of Strategic Objective 3: *key stakeholders have improved awareness, knowledge, willingness and capacity to take appropriate and effective decisions that strengthen child protection and mitigate child labour in cocoa growing communities, and that fulfil their respective responsibilities*. In 2017, a mid-term evaluation noted that ICI was effective in direct implementation and its ability to act "as a technical catalyst amongst its primary stakeholders", but that it was weaker in its ability to influence a wider range of actors through broader policy/advocacy efforts.¹ As ICI transitions to its new strategy for 2021-26, which is much more ambitious in terms of scale, it is crucial that we strengthen our ability to influence others as well.

¹ <https://cocoainitiative.org/wp-content/uploads/2018/11/ICI-Strategy-MTR-Board-Approved-EXT.pdf>, refer to Annex A for an overview of ICI's influencing work, and Annex B for revised targets for 2019-20.

ASSIGNMENT

General objective	The aim of this assignment is to help ICI understand how its advocacy and influencing work in the past 5 years has contributed to changes in policies and practices related to child labour in the cocoa sector, which approaches have been more and less effective, and how this understanding can inform its future work.
Research questions	<p>This assignment will seek to answer the following questions:</p> <ul style="list-style-type: none"> - How has ICI's advocacy and influencing work contributed to the development and adoption of policies and regulatory frameworks (at stakeholder, national and international level) in relation to child labour in cocoa? - How has ICI's advocacy and influencing work contributed to the development and adoption of the practices of civil society, industry and government stakeholders in relation to child labour in cocoa? - Which approaches to ICI's advocacy and influencing have proven successful or have failed, and why? - Building on these learnings, what should ICI do to improve its current and future work on advocacy and influencing to support the realisation of its new 2021-2026 strategy?
Audience & use	The primary intended audience for this evaluation is ICI's management team and board. The report will also be shared with ICI's members and may also be made publicly available. ICI intends to use the results of this formative evaluation to inform the development and implementation of its influencing and advocacy strategy for the coming five-year period.
Information sources / stakeholders to be consulted	The consultant will be expected to work with and gather information from ICI staff, ICI members and other related stakeholders based in West Africa, Europe, the US. These may include governments of cocoa-producing and consuming countries; civil society organisations; cocoa and chocolate companies; supply-chain actors (such as certifying bodies); international organisations and development donors.
Methodology	<p>To be proposed by the consultant, to meet the following aims:</p> <ul style="list-style-type: none"> - Describe and categorize the different approaches taken by ICI in the past - Rate the outcomes of ICI influencing projects on a scale of effectiveness - Qualitatively evaluate the approaches taken by analyzing factors for success or failure in each instance - Analyse whether there are alternative approaches or influencing channels that ICI has not used, but that could be tested in the future - Draw conclusions and recommendations
Expected output(s)	<ul style="list-style-type: none"> - Presentation of key findings to ICI its board - Formative evaluation report, including recommendations
Location	Remote assignment
Timeframe	January 2020 - March 2021

REQUIREMENTS

The consultant should meet the following requirements:

- Proven experience of designing and conducting formative evaluations, including the use of appropriate methodologies, such as outcome harvesting
- A track record of successfully completed formative evaluations, ideally including similar evaluations of advocacy and influencing work
- Knowledge of smallholder agriculture in Sub-Saharan Africa, ideally including the cocoa supply chain
- Experience of working on advocacy and strategy development
- Background in human rights, child rights, and/or child protection, experience working on child labour an asset
- Proven experience working with a diverse range of stakeholders, including national authorities, civil society and industry
- Ability to work in English and French
- Be registered as a business or independent contractor

HOW TO APPLY

Interested candidates are requested to provide the following information:

- CV and cover letter, in English, setting out how they meet the requirements above and including links to examples of relevant work
- A short description of a proposed methodology and financial proposal (2 pages max.)

All applications should be submitted to: hr@cocoainitiative.org by 18 December 2020.

For any questions in relation to this vacancy, please contact Megan Passey
m.passey@cocoainitiative.org.

