

# Evaluation framework

## *Independent evaluation of cocoa gender assessments and action plans*

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**Version 5 (final)**

### **Purpose and status of this document**

This document presents the full evaluation framework used by the independent evaluator to assess the cocoa gender assessment and action plans published by Mars, Mondelez International and Nestlé in Summer 2014<sup>1</sup>. This document was initially produced as an internal working paper, but can be shared with relevant brands and other interested parties.

## Introduction

### **Overview of criteria**

The evaluation framework consists of four sets of criteria, two sets relating to the evaluation of the gender assessments (GAs) and two relating to the action plans (APs):

- Criteria C-1-1 to C-1.6 assess the strength of the research methodology used for the GAs
- Criteria C-2.1 to C-2.6 evaluate the extent to which the GAs cover the range of gender constraints known to affect women in cocoa supply chains
- Criteria C-3.1 to C-3.6 evaluate the extent to which the AP addresses the key gender concerns identified by the GA
- Criteria C-4.1 to C-4.7 assess the overall quality and comprehensiveness of the AP

### **The specific indicators**

For each criterion, there is a set of specific indicators covering the range of relevant issues to be considered when assessing compliance against each criterion. The inclusion of specific, concrete indicators helped ensure that the process of scoring each GA and AP was rigorous, objective and fair.

### **Scoring system**

Reflecting the scoring system used for the Behind the Brands (BtB) Scorecard, each criterion was given a score of 1 to 10 (10 being the best), with different sub-scores allocated for each specific indicator. Performance levels against each criterion were classified as follows:

- A score of between 0 to 3 was classified as “needs strengthening” (colour code: red)
- A score of between 3.5 to 6.5 was classified as “fair” (colour code: amber)
- A score of between 7 to 10 was classified as “strong” (colour code: green)<sup>2</sup>.

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<sup>1</sup> For the background, key findings and recommendations from the evaluation, see Chan, M-K. (2014) *Independent evaluation of Mars, Mondelez International and Nestlé gender assessments and action plans for their cocoa supply chains in Côte d'Ivoire and Ghana*. Commissioned by Oxfam Behind the Brands Initiative.

<sup>2</sup> Note however that the **performance classification** system differs from that used in the main BtB Scorecard.

## How the evaluation criteria and indicators were developed

The criteria and indicators used in this evaluation framework have been identified from a review of relevant reference documents, including the **Behind the Brands Scorecard “Women” Indicators** and the **UN Women Empower Principles**. The full list of references reviewed is provided at the end of this document. To aid comparison, where the evaluation criteria or indicators used relate directly to either of the above frameworks, the relevant BtB Scorecard Indicators (“BtB”) and/or UN Principles (“WEP”) are referenced in [square brackets]. Criteria C-2.1 – C-2.6 and C-3.1 – C-3.6 are intended to cover the main gender concerns that are commonly found in export cocoa supply chains, particularly in Côte d’Ivoire and/or Ghana.

## 1. Gender assessment: methodological criteria

### Criterion C-1.1: Experience, skills and qualities of research team

#### *Explanation of criterion*

C-1.1 assesses the extent to which the GA research team had the relevant experience, skills and qualities required to do the assessment. In assessing this criterion, consideration was given to how the relevant skills/experience were distributed within the team (eg, a GA was scored more highly against this criterion if the main researcher doing most of the actual field research was highly experienced in gender issues, compared to a GA which only drew on gender expert(s) as peripheral advisers to the core research team).

#### *Specific indicators*

The GA’s compliance with this criterion was assessed based on the extent to which the research team had the following characteristics:

- **Indicator I-1.1.1:** Independence from the target Brand. Where the assessment included a review of the Brand’s past or current programme/project activities in the focus country, the researcher should also have been independent of any partner organisations involved in designing and/or implementing these activities **{Maximum sub-score: 2}**. [BtB WOM 2.2.2.2]
- **I-1.1.2:** Expertise in gender and social development issues, including field experience of these issues **{Maximum sub-score: 2}**.
- **I-1.1.3:** Field experience in the smallholder agriculture sector **{Maximum sub-score: 1.5}**.
- **I-1.1.4:** Knowledge and experience of global agricultural supply chains (and ideally cocoa supply chains) **{Maximum sub-score: 1.5}**.
- **I-1.1.5:** Experience of direct engagement with most of the following stakeholder groups: women smallholders, female agricultural workers, female community leaders, managers and field staff of global corporations, national level women’s NGOs and related CSOs, and relevant government officials. **{Maximum sub-score: 1.5}**.
- **I-1.1.6:** Experience/expertise in international labour standards and supply chain labour conditions, and awareness of key conditions and constraints faced by unpaid female family labour **{Maximum sub-score: 1.5}**.

## **Criterion C-1.2: Data collection methods used**

### ***Explanation of criterion***

C-1.2 assesses the extent to which the data collection methods used were appropriate and reliable. Note that the extent to which specific stakeholder groups were directly consulted is addressed separately under C-1.3.

### ***Specific indicators***

The GA's compliance with this criterion was assessed based on the extent to which the assessment methodology involved:

- **I-1.2.1:** Inclusion of a reasonably comprehensive review of relevant literature **{Maximum sub-score: 2}**
- **I-1.2.2:** Use of a range of appropriate participatory research methods **{Maximum sub-score: 2}**
- **I-1.2.3:** Ensuring that interviews with cocoa farmers and workers were conducted in situations that were considered safe and confidential by the respondents [BtB Media Briefing Feb 2013<sup>3</sup>] **{Maximum sub-score: 2}**
- **I-1.2.4:** Collection of relevant quantitative data that would allow a reasonable assessment of the scale, distribution and relative importance of the key issues identified through the qualitative (participatory) research **{Maximum sub-score: 2}**
- **I-1.2.5:** Ensuring that the qualitative and quantitative data collected would provide a reasonable set of “baseline” data against which future progress could be measured **{Maximum sub-score: 2}**

## **Criterion C-1.3: Range of respondents/stakeholder views consulted**

### ***Explanation of criterion***

C-1.3 assesses the extent to which the GA involved direct consultation with different types of women and men cocoa farmers and with other relevant stakeholders.

### ***Specific indicators***

The GA's compliance with this criterion was assessed based on the extent to which the assessment involved:

- **I-1.3.1: Consultation with female direct suppliers** (ie, women cocoa farmers who are direct [registered] suppliers to the Brand's cocoa supply chain). Did the assessment include direct consultation with a substantial number of women in this category, including a reasonable cross-section in terms of age, wealth/social status, and marital status? [BtB WOM 2.2.2.4] **Maximum sub-score: 2}**
- **I-1.3.2: Consultation with female unpaid family labour.** Did the assessment include direct consultation with a substantial number of women in this category, including a reasonable cross-section in terms of age, wealth/social status, and marital status? [BtB WOM 2.2.2.4] **{Maximum sub-score: 2}**
- **I-1.3.3: Consultation with female waged labour (where relevant).** Did the assessment include direct consultation with a substantial number of women in this category, including a

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<sup>3</sup> The Media Briefing specifies that interviews should be “off-site”, but this specification has been adapted in the relevant indicator above to take into account the differing context of women working on family/smallholder farms as opposed to women working on commercial farms/plantations.

reasonable cross-section in terms of job type and employment status (including casual, temporary and seasonal workers, and third party contracted workers)? [BtB WOM 2.2.2.4]

**{Maximum sub-score: 1}**

- **I-1.3.4: Consultation with female community leaders/representatives.** eg, female leaders/representatives of primary level farmers' co-operatives or groups, leaders/members of other community-level women's groups (eg, savings and credit groups) [BtB WOM 2.2.2.4] **{Maximum sub-score: 1}**
- **I-1.3.5: Consultation with male direct suppliers, unpaid family workers, waged workers and community leaders.** Whilst the main emphasis of the assessment should have been on women, it is also important that the views of men in each of these categories should have been sought and considered **{Maximum sub-score: 1}**
- **I-1.3.6: Consultation with relevant CSOs (beyond community-level groups).** eg, women's rights groups, relevant development NGOs, workers' organisations (including trade unions where relevant) [BtB WOM 1.1.6] **{Maximum sub-score: 1}**
- **I-1.3.7: Consultation with Brand representatives and other key private sector/supply chain actors.** ie, relevant Brand representatives on the ground and at HQ level (eg, sourcing managers and technicians/outreach staff), input/service providers, producer group managers and staff **{Maximum sub-score: 1}**
- **I-1.3.8: Consultation with other relevant institutional stakeholders,** including representatives of relevant government departments and services/schemes **{Maximum sub-score: 1}**

#### **Criterion C-1.4: Strength of analytical framework and presentation of findings**

##### ***Explanation of criterion***

C-1.4 assesses the extent to which the analysis and presentation of findings were based on a comprehensive and appropriate conceptual framework.

##### ***Specific indicators***

The GA's compliance against this criterion was assessed based on the extent to which the analytical framework being used was:

- **I-1.4.1:** Appropriate to the issues being assessed, ie, gender concerns in the context of smallholder farming and rural livelihoods? **{Maximum sub-score: 2.5}**
- **I-1.4.2:** Comprehensive, ie, allowed investigation of the range of gender concerns that were likely to be existent in the focus location(s) **{Maximum sub-score: 2.5}**

**I-1.4.3:** The GA will be assessed on how clearly the collected data/findings were presented, and the extent to which the presentation was consistent with the analytical framework used **{Maximum sub-score: 5}**.

#### **Criterion C-1.5: Geographical scope of assessment**

##### ***Explanation of criterion***

C-1.5 assesses the geographical scope of the GA, and the extent to which the scope meets the BtB Scorecard stipulations in this regard.

##### ***Specific indicators***

The GA's compliance with this criterion was assessed against the following indicators:

- **I-1.5.1:** Is the focus country of the GA a Top 3 cocoa sourcing country and/or assessed by the Brand as high risk (in terms of prevalence and gravity of gender rights violations)? [BtB WOM 2.2.2.3] **{Maximum sub-score: 3}**
- **I-1.5.2:** Did the GA cover a significant *number of farmers* representing a significant proportion of the Brand's total cocoa supply chain within the focus country? **{Maximum sub-score: 2}**
- **I-1.5.3:** Did the GA cover a significant *cross-section* of communities and production regions representative of the Brand's total cocoa supply chain within the focus country? **{Maximum sub-score: 2}**
- **I-1.5.4:** Specifically, did the GA cover a significant number and range of cocoa farmers and parts of the supply chain that are *not* directly involved in the Brand's community development interventions? **{Maximum sub-score: 3}**

#### **Criterion C-1.6: Where assessment relates to an on-going programme, is the assessment of the programme's progress/achievements sufficiently robust?**

##### ***Explanation of criterion***

C-1.6 assesses the robustness and objectivity of any assessment of the Brand's existing initiatives to engage/support women cocoa farmers in the focus country. BtB commitments do not refer specifically to providing a critical assessment of achievements and limitations of the Brand's gender-related programme activities to date. However, to the extent that the GA does include a review of such activities, it is expected that this review should be balanced and robust.

##### ***Specific indicators***

Where relevant, the GA's compliance with this criterion was assessed based on the extent to which it:

- **I-1.6.1:** Assessed gaps and limitations in the scope of on-going and planned activities regarding their coverage of key gender issues **{Maximum sub-score: 4}**
- **I-1.6.2:** Attempted to identify at least some of the positive and negative outcomes or impacts of gender-related programme activities to date **{Maximum sub-score: 3}**
- **I-1.6.3:** Identified appropriate recommendations aimed at overcoming existing gaps and limitations in gender coverage **{Maximum sub-score: 3}**.

## **2. Gender assessment: issues criteria**

#### **Criterion C-2.1: Underlying gender inequalities**

##### ***Explanation of criterion***

C-2.1 assesses the extent to which the GA explores the existence and nature of underlying gender inequalities that affect women's access to the benefits and opportunities arising from the Brand's commercial and community development activities.

##### ***Specific indicators***

The Brand's compliance with this criterion was assessed based on whether the GA explored gender differences in the following characteristics:

- **I-2.1.1:** Access to land, land use and land tenure, including specific differences in access to land for growing tree (perennial) crops<sup>4</sup> [BtB WOM 1.1.2] **{Maximum sub-score: 1.5}**
- **I-2.1.2:** Access to education, and hence gender differences in literacy and qualification levels **{Maximum sub-score: 1.5}**
- **I-2.1.3:** Decision-making roles and negotiating power at household, community and local/national institutional level [BtB WOM 1.1.4] **{Maximum sub-score: 1.5}**
- **I-2.1.4:** Responsibilities for reproductive work, and hence gender differences in time poverty [BtB WOM 1.1.7] **{Maximum sub-score: 1.5}**
- **I-2.1.5:** Employment status on smallholder cocoa farms, ie, proportion of women vs. men engaged as (a) farm owner-managers, (b) unpaid family labour, and/or (c) waged (hired labour) [BtB WOM 2.1.2] **{Maximum sub-score: 1}**
- **I-2.1.6:** Food security, including nutritional status and diversity of food and income sources [BtB WOM 1.1.5] **{Maximum sub-score: 1}**

**I-2.1.7:** Under this criterion, the Brand was also assessed on the extent to which the GA explored the underlying patriarchal attitudes and practices that underpin all of the above inequalities **{Maximum sub-score: 2}**.

## **Criterion C-2.2: Women's lower participation as direct cocoa suppliers**

### ***Explanation of criterion***

C-2.2 assesses the extent to which the GA explored the gender differences in participation as direct suppliers in the Brand's cocoa supply chain. By "direct suppliers" is meant cocoa farmers who are recognised as the named supplier by the direct cocoa buyer (eg, cocoa processing or trading company, farmer co-operative).

### ***Specific indicators***

The Brand's compliance with this criterion was assessed based on the extent to which the GA explored the following characteristics:

- **I-2.2.1:** The proportion of direct cocoa suppliers who are women [BtB WOM 2.1.1] **{Maximum sub-score: 2}**
- **I-2.2.2:** Where sourcing is via producer groups or co-operatives, the proportion of group members who are women **{Maximum sub-score: 2}**
- **I-2.2.3:** The degree of women's representation in leadership/governance structures of these groups (where relevant) **{Maximum sub-score: 2}**
- **I-2.2.4:** The key constraints preventing women from becoming group members/registered suppliers (eg, poor access to land, credit and other agricultural inputs; inappropriate group membership criteria; women's greater reproductive responsibilities; cultural constraints) **{Maximum sub-score: 2}**
- **I-2.2.5:** Where relevant, additional constraints preventing women from taking up leadership positions within producer groups (eg, discriminatory cultural beliefs/practices, women's lower education and literacy levels, women's greater household responsibilities) **{Maximum sub-score: 2}**.

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<sup>4</sup> Women's access to land to grow cocoa and other tree crops can often be even more restricted than their access to land to grow annual food crops. Due to the perennial nature of tree crops, male community leaders/family heads responsible for allocating land are often particularly reluctant to allocate land to women for growing tree crops, since it means effectively giving them the right to use the land for multiple years.

### **Criterion C-2.3: Female direct suppliers' poorer access to production inputs**

#### ***Explanation of criterion***

C-2.3 assesses the extent to which the GA explored gender differences in access to training, extension services, credit and agricultural inputs (eg, fertilisers and pesticides).

#### ***Specific indicators***

The GA's compliance with this criterion was assessed based on the extent to which it explored the following issues:

- **I-2.3.1:** Differential access by male and female farmers to labour, training, extension, credit and agricultural inputs (including those services/inputs provided by the Brand and/or its supply chain partners, eg, cocoa traders, processors, and also those services/inputs provided by others, eg, government, local/private input suppliers, local NGOs) **{Maximum sub-score: 4}**
- **I-2.3.2:** The key underlying constraints preventing women farmers from accessing training and extension (eg, women's greater domestic responsibilities, women's lower education levels, predominance of male trainers/extension staff) **{Maximum sub-score: 2}**
- **I-2.3.3:** The key underlying constraints preventing female farmers from accessing credit and other inputs (eg, lack of collateral, poorer access to pesticide application equipment) **{Maximum sub-score: 2}**
- **I-2.3.4:** The key underlying constraints that restrict women's access to labour (own labour – eg, time poverty due to reproductive and subsistence farming responsibilities; family labour – eg, lower status within household and extended family/community; waged labour – eg, less monetary income/savings) **{Maximum sub-score: 2}**

### **Criterion C-2.4 Unpaid female family labour: predominance of women as unpaid family workers and their unequal share of costs/benefits from cocoa farming**

#### ***Explanation of criterion***

C-2.4 assesses the extent to which the GA identifies/explores: (a) the proportion of women involved as unpaid family workers on cocoa farms; and (b) the distribution of costs and benefits from cocoa farming between (male) farmer-owners and (female) unpaid family labour working on these farms.

#### ***Specific indicators***

The GA's compliance with this criterion was assessed based on the extent to which it explored the following specific issues:

- **I-2.4.1:** How many women working on cocoa farms are primarily working as: (a) unpaid family labour, (b) waged labour, and (c) farmer-owners (direct suppliers)? **{Maximum sub-score: 2}**
- **I-2.4.2:** How much labour do unpaid female family workers contribute to cocoa farms? What tasks are they involved in, and how does their overall labour input compare to that of male cocoa farmers? **{Maximum sub-score: 2}**
- **I-2.4.3:** What other costs of cocoa production do unpaid female family workers bear? (including opportunity costs – eg, to what extent does the time spent working on male-controlled cocoa farms prevent women from spending time on their own income-generating activities?) **{Maximum sub-score: 2}**

- **I-2.4.4:** What proportion of the income from cocoa sales is given directly to unpaid female family workers? What other benefits/rewards do they receive for their labour? **{Maximum sub-score: 2}**
- **I-2.4.5:** To the extent that cocoa income remains in the control of male farmer-owners, to what extent do unpaid female family workers have a say in decision-making over how that income is spent? **{Maximum sub-score: 2}**

#### **Criterion C-2.5 Female waged labour: discriminatory employment practices**

##### ***Explanation of criterion***

C-2.5 assesses the extent to which the GA explores: (a) the prevalence and characteristics of female waged labour on/in cocoa farms, plantations and producer co-operatives/groups; and (b) the existence and nature of gender discrimination experienced by these workers.

##### ***Specific indicators***

The GA's compliance with this criterion was assessed based on the extent to which it explored the following specific issues:

- **I-2.5.1:** The number of women working as waged labour in/on smallholder cocoa farms, cocoa plantations (where relevant), and cocoa producer groups/co-operatives **{Maximum sub-score: 1.5}**
- **I-2.5.2:** Their employment status (eg, casual versus permanent) **{Maximum sub-score: 1.5}**
- **I-2.5.3:** Gender discrimination in pay and conditions, including whether women and men receive the same wage/piece rate for the same work, and the extent of horizontal and vertical occupational segregation by gender **{Maximum sub-score: 1.5}**
- **I-2.5.4:** Whether women workers are paid directly, or indirectly via a male family member or other arrangement **{Maximum sub-score: 1.5}**
- **I-2.5.5:** The prevalence of sexual harassment and abuse in the workplace **{Maximum sub-score: 1.5}**
- **I-2.5.6:** The nature of any health and safety concerns that specifically affect women workers **{Maximum sub-score: 1.5}**
- **I-2.5.7:** Any other key gender-related concerns **{Maximum sub-score: 1}**.

#### **Criterion C-2.6: Lack of gender mainstreaming in community development interventions**

##### ***Explanation of criterion***

C-2.6 assesses the extent to which the GA explored: (a) the degree of gender mainstreaming within community development programmes/activities supported by the Brand; and (b) the extent to which women's strategic priorities are addressed by these programmes.

##### ***Specific indicators***

The GA's compliance with this criterion was assessed based on the extent to which it analysed the following aspects of the Brand's existing community development programmes/activities:

- **I-2.6.1:** Extent to which gender concerns are mainstreamed in the design of interventions (eg, whether women are effectively consulted in initial needs assessment [WEP Principle 6], whether appropriate targets are set for gender participation in all relevant activities [WEP Principle 1]) **{Maximum sub-score: 2.5}**

- **I-2.6.2:** What efforts are made to ensure effective implementation of “on-paper” gender components (eg, recruitment of gender experts, provision of gender training to all key project staff, ensuring project committees/governance structures have strong female representation, adequate financial resourcing of gender components, gender disaggregation of project monitoring data) **{Maximum sub-score: 2.5}**
- **I-2.6.3:** Extent to which women’s own priorities, including their longer term strategic needs, are being addressed by these programmes? **{Maximum sub-score: 2.5}**
- **I-2.6.4:** The extent to which women have actually participated in and benefited from the Brand’s community development interventions to date **{Maximum sub-score: 2.5}**.

### 3. Action plan (AP): issues criteria

#### Introduction

For Criteria C-3.1 to C-3.6, the Brand received points for a specific indicator *either* if: (a) the current gender action plan (AP) includes activities that address the indicator in question; *or if* (b) the relevant activities are already being implemented or are planned as part of a pre-existing work programme or action plan.

#### Criterion C-3.1: Addressing underlying gender inequalities

##### **Explanation of criterion**

C-3.1 assesses the extent to which the AP addresses the underlying gender inequalities identified in the GA, and any additional underlying gender inequalities likely to be present in the focus country/supply chain (see Criterion 2.1).

##### **Specific indicators**

The AP was assessed based on whether it includes the following types of activities to address identified or likely<sup>5</sup> gender inequalities:

- **I-3.1.1:** Sensitisation/awareness-raising/training with male family heads, husbands, and male community leaders on the key underlying gender inequalities and the benefits of reducing these inequalities **{Maximum sub-score: 2}**
- **I-3.1.2:** Training for women themselves on women’s discrimination and empowerment [BtB Media Briefing Feb 2013] **{Maximum sub-score: 2}**
- **I-3.1.3:** Specific measures to increase women’s access to land, including eg, support for land registration/documentation where women have *de facto* ownership or access to the land they farm **{Maximum sub-score: 2}**
- **I-3.1.4:** Initiatives to increase women’s literacy rates and improve girls’ access to and participation in education **{Maximum sub-score: 2}**
- **I-3.1.5:** Encouraging or requiring the Brand’s key supply chain partners (ie, cocoa traders and processors) to adopt and implement policies and principles that support the reduction of underlying gender inequalities [BtB Media Briefing Feb 2013]

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<sup>5</sup> For all criteria under Section 3, APs were assessed not only on whether the proposed actions address gender concerns identified in the corresponding GA. To compensate for weaknesses or gaps in coverage of the GAs, the APs were also assessed on whether they address gender concerns that are known to be widespread in the cocoa sector in the focus country and/or globally (*unless* there is specific evidence from the GA or external sources that indicate these concerns are not relevant to the Brand’s supply chain).

- **I-3.1.6:** Working with key sector initiatives and sustainability certification schemes to better mainstream gender into core standards/policies and implement gender-specific programmes [BtB Media Briefing Feb 2013]
- **I-3.1.7:** Other relevant advocacy work to reduce underlying gender inequalities within cocoa sourcing communities and at district, regional and national institutional levels [WEP Principle 6] **{A sub-score of 2 will be awarded if any one of I-3.1.5, 6 or 7 is addressed}**.

### **Criterion C-3.2: Improving women's participation as direct cocoa suppliers**

#### ***Explanation of criterion***

C-3.2 assesses the extent to which the AP addresses the key constraints to (a) women's participation as direct suppliers in the Brand's cocoa supply chain, and (b) women's representation in governance structures of producer groups (where relevant) (see Criterion 2.2).

#### ***Specific indicators***

The AP's compliance against this criterion was assessed based on the extent to which the Brand plans to work with key supply chain partners in the focus country (ie, cocoa traders and processors) to implement the following types of activities:

- **I-3.2.1:** Proactively sourcing from producer co-operatives or groups where women make up a high proportion of membership and/or are well represented in leadership positions/roles [BtB WOM 1.2.2; WEP Principle 5] **{Maximum sub-score: 1}**
- **I-3.2.2:** Ensuring women are well-represented in relevant management positions within relevant supply chain partner companies, in particular within those companies who buy cocoa directly from farmers and/or farmers' groups [WEP Principle 2] **{Maximum sub-score: 1}**
- **I-3.2.3:** Ensuring that the eligibility criteria for becoming a direct cocoa supplier and/or producer group member (where relevant) offer equal opportunities for women and men **{Maximum sub-score: 3}**
- **I-3.2.4:** Encouraging men to give a share of their land or cocoa trees to their wives, so that women can become direct suppliers and/or members of cocoa producer groups in their own right **{Maximum sub-score: 2}**
- **I-3.2.5:** Where cocoa is purchased from producer co-operatives or groups, encouraging more women to take up leadership or management positions within these groups by, eg, introducing quotas for women's representation on relevant committees or boards, explaining the importance and benefits of women's representation to men [BtB Media Briefing Feb 2013] **{Maximum sub-score: 3}**.

### **Criterion C-3.3: Improving female direct suppliers' access to production inputs**

#### ***Explanation of criterion***

C-3.3 assesses the extent to which the AP includes activities to address the key constraints preventing women farmers from accessing key production inputs (see Criterion 2.3).

#### ***Specific indicators***

The AP's compliance with this criterion was assessed based on the extent to which it includes the following types of activities:

- **I-3.3.1:** Supporting and facilitating women farmers' access to relevant training, extension, credit and input provision schemes run by national/local institutions, including relevant government departments, NGOs and educational institutions **{Maximum sub-score: 1.5}**
- **I-3.3.2:** Building the capacity of relevant government and NGO training etc. programmes to improve the gender awareness of staff, gender sensitivity of delivery mechanisms etc. **{Maximum sub-score: 1.5}**

**WITH RESPECT TO COCOA-RELATED TRAINING AND EXTENSION DIRECTLY PROVIDED BY THE BRAND:**

- **I-3.3.3:** Introduction of quotas/specific targets for female participation rates in training sessions **{Maximum sub-score: 1}**
- **I-3.3.4:** Ensuring that the training methods used are appropriate for women as well as men **{Maximum sub-score: 1}**
- **I-3.3.5:** Recruiting female extension officers where possible and appropriate, and ensuring that an appropriate proportion of farmer-trainers (where used) are female **{Maximum sub-score: 1}**

**WITH RESPECT TO CREDIT AND INPUT PROVISION SCHEMES DIRECTLY SUPPORTED BY THE BRAND:**

[BtB WOM 3.3.3 and 3.3.4; WEP Principle 5]

- **I-3.3.6:** Introduction of quotas/specific targets for female participation rates in credit and input provision schemes **{Maximum sub-score: 2}**
- **I-3.3.7:** Ensuring that entry and guarantee requirements for credit schemes are women-friendly **{Maximum sub-score: 1}**.
- **I-3.3.8:** Improving women's access to pesticide application equipment and personal protective equipment (PPE).
- **I-3.3.9:** Ensuring that information and training about pesticide application and health risks is provided directly and accessible to women
- **I-3.3.10:** Ensuring that pregnant and breast-feeding women are not exposed to pesticides
- **I-3.3.11:** Promoting alternative approaches to crop protection and soil improvement that are more affordable for women, and have less adverse health impacts **{Maximum sub-score of 1 for inclusion of activities relevant to any of the last 4 indicators}**.

**Criterion C-3.4: Improving the distribution of costs and benefits for unpaid female family workers**

***Explanation of criterion***

C-3.4 assesses the extent to which the AP includes activities to ensure that unpaid female family workers on cocoa farms receive a fairer share of the income and benefits from cocoa farming (see Criterion 2.4).

***Specific indicators***

The AP's compliance with this criterion was assessed based on its inclusion of the following types of activities:

- **I-3.4.1:** Women working as unpaid family labour on cocoa farms are directly and proactively invited to participate in Brand-supported cocoa training and extension activities (ie, these activities are not limited to direct suppliers/farmer owners) **{Maximum sub-score: 2}**

- **I-3.4.2:** Advocacy, training and awareness-raising activities under Criterion 3.1 include a focus on the unfair distribution of costs and benefits to unpaid female family labour, and highlight the advantages of sharing the benefits more equally **{Maximum sub-score: 3}**
- **I-3.4.3:** The Brand works with its key supply chain partners (eg, cocoa processors, traders and other companies buying directly from farmers) to encourage joint registration of contributing spouses alongside their farmer-owner husbands as direct suppliers to the Brand's cocoa supply chain (and/or joint membership of producer groups) **{Maximum sub-score: 2}**
- **I-3.4.4:** Any other relevant activities that promote more equitable distribution of income and benefits to unpaid female family workers **{Maximum sub-score: 3}**

### **Criterion C-3.5: Addressing gender discrimination experienced by waged workers**

#### ***Explanation of criterion***

C-3.5 assesses the extent to which the AP addresses gender discriminatory practices experienced by waged workers in/on smallholder cocoa farms, cocoa plantations and cocoa producer groups/co-operatives (see Criterion 2.5).

#### ***Specific indicators***

The AP's compliance with this criterion was assessed based on the extent to which it includes the following types of activities:

- **I-3.5.1:** The Brand works with its key supply chain partners (eg, cocoa traders, processors and other companies buying directly from cocoa farmers) to encourage the adoption of equal opportunities and anti-sexual harassment policies by cocoa plantations and producer groups in the Brand's supply chain, and to provide training on these policies [BtB WOM 4.1.1, 4.1.4] **{Maximum sub-score: 2}**
- **I-3.5.2:** The Brand works with its supply chain partners to encourage the establishment of women's committees and women-accessible grievance mechanisms by cocoa plantations and producer groups in the Brand's supply chain [BtB WOM 4.1.2-3] **{Maximum sub-score: 2}**
- **I-3.5.3:** The Brand works with its supply chain partners to raise awareness of health and safety concerns specifically affecting women workers in cocoa plantations and farms [BtB WOM 4.2.1] **{Maximum sub-score: 2}**
- **I-3.5.4:** The Brand works with its supply chain partners to encourage cocoa plantations and producer groups to provide/improve childcare facilities for women workers [BtB WOM 4.2.2] **{Maximum sub-score: 2}**
- **I-3.5.5:** Any other relevant activities that address gender discrimination experienced by waged workers **{Maximum sub-score: 2}**

### **Criterion C-3.6: Mainstreaming gender in community development programmes**

#### ***Explanation of criterion***

C-3.6 assesses the extent to which the AP includes activities to improve the mainstreaming of gender priorities in the brand's community development programmes (see Criterion 2.6).

#### ***Specific indicators***

The AP's compliance with this criterion was based on assessing the extent to which it includes the following types of activities:

- **I-3.6.1:** Measures to improve the mainstreaming of gender priorities/concerns in project design (see Criterion 2.6) **{Maximum sub-score: 1.5}**
- **I-3.6.2:** Measures to improve the mainstreaming of gender priorities/concerns in project implementation (see Criterion 2.6) **{Maximum sub-score: 1.5}**
- **I-3.6.3:** Supporting the development of alternative income-generating opportunities for women **{Maximum sub-score: 1}**
- **I-3.6.4:** Providing business and marketing skills training for women (and men) **{Maximum sub-score: 1}**
- **I-3.6.5:** Providing basic services and infrastructure that help women free up time to invest in new income-generating activities **{Maximum sub-score: 1}**
- **I-3.6.6:** Supporting the development of appropriate financial services that help women better manage and leverage their savings and reduce financial risk **{Maximum sub-score: 1}**
- **I-3.6.7:** Facilitating women's access to relevant local government or NGO programmes, structures or schemes that provide relevant support to women **{Maximum sub-score: 1}**
- **I-3.6.8:** Any other relevant activities that support mainstreaming of gender priorities in community development interventions **{Maximum sub-score: 2}**

#### 4. Action plan: overall quality

##### **Criterion C-4.1: Does the AP address the GA's recommendations?**

###### ***Explanation of criterion***

C-4.1 assesses the extent to which the AP addresses any specific recommendations made by the GA researchers. (These recommendations should of course directly reflect findings from the GA; however in practice they were not always fully consistent with the research findings.)

###### ***Specific indicators***

The AP's compliance with this criterion was assessed based on the proportion of the researchers' specific recommendations that are appropriately addressed in the AP, with greater weight given to those recommendations that are perceived to be most critical in terms of improving gender equality. Where the researchers' recommendations are not addressed by the Brand's AP, consideration was also given to the credibility of any explanation given as to why these recommendations were not addressed **{Maximum score: 10}**.

##### **Criterion C-4.2: Does the AP include new or strengthened commitments/activities?**

###### ***Explanation of criterion***

C-4.2 assesses the extent to which the AP includes a commitment to initiate new activities, as opposed to simply reporting on what was already being done prior to the GA being conducted.

###### ***Specific indicators***

The AP's compliance with this criterion was assessed based on the proportion of the activities outlined in the AP that represent new or substantially strengthened activities which have been introduced in direct response to the GA's findings and/or recommendations **{Maximum score: 10}**.

### **Criterion C-4.3: Are individual actions robust, appropriate and sustainable?**

#### ***Explanation of criterion***

C-4.3 assesses the extent to which individual actions in the AP are robust, appropriate and sustainable.

#### ***Specific indicators***

The AP's compliance with this criterion was assessed based on the extent to which actions included in the AP are:

- **I-4.3.1: Concrete, time-bound and achievable.** Are proposed activities discrete, with a clear indication of how, by whom and by when they will be implemented? Are activities likely to be achievable within the designated timeframe? **{Maximum sub-score: 2.5}**
- **I-4.3.2: Linked to specific results and targets.** Does the overall AP include a clear set of desired results and associated targets? Are individual activities linked directly to the achievement of these results and targets? **{Maximum sub-score: 2.5}**
- **I-4.3.3: Developmentally appropriate.** Are proposed activities likely to achieve the desired results and development impacts (ie, improved gender equality)? **{Maximum sub-score: 2.5}**
- **I-4.3.4: Sustainable.** Are the proposed actions and delivery mechanisms likely to help ensure the sustainability of the desired development results and impacts over time? **{Maximum sub-score: 2.5}**

### **Criterion C-4.4: Are adequate monitoring, evaluation and impact assessment mechanisms included?**

#### ***Explanation of criterion***

C-4.4 assesses the extent to which the AP includes activities, mechanisms and/or procedures to ensure that the outcomes and impacts of planned activities on women and men cocoa farmers are adequately monitored and reviewed on a regular basis [WEP Principle 7].

#### ***Specific indicators***

The AP's compliance with this criterion was assessed based on the extent to which it includes activities, mechanisms and/or procedures to:

- **I-4.4.1:** Ensure collection of adequate baseline data against which future progress and achievements can be measured **{Maximum sub-score: 2.5}**
- **I-4.4.2:** Ensure on-going collection of data relating to key gender-related performance indicators (KPIs) throughout the duration of intervention (eg, number/percentage of female and male members of cocoa producer groups, share of income and benefits from cocoa farming received by unpaid female family workers) **{Maximum sub-score: 2.5}**
- **I-4.4.3:** Ensure regular internal review of monitoring data, including a commitment to address any substantial failures to meet gender-related performance targets by making appropriate changes to activities **{Maximum sub-score: 2.5}**
- **I-4.4.4:** Provide for external and independent assessment of the outcomes and impacts of the AP at appropriate intervals **{Maximum sub-score: 2.5}**.

#### **Criterion C-4.5: Consultation with relevant external stakeholders**

##### ***Explanation of criterion***

C-4.5 assesses the extent to which: (a) relevant external stakeholders were consulted in the preparation of the AP; and (b) the AP includes measures to consult such stakeholders on an on-going basis throughout implementation of the plan [WEP Principle 1; BtB Media Briefing Feb 2013]

##### ***Specific indicators***

The AP's compliance with this criterion was assessed based on the extent to which the stakeholder groups listed under Criterion 1.3 have been or will be consulted:

- **I-4.5.1:** Prior to finalisation and implementation of the AP **{Maximum sub-score: 5}**
- **I-4.5.2:** On a regular basis throughout the duration of the intervention (eg, via establishment and adequate resourcing of a multi-stakeholder steering group) **{Maximum sub-score: 5}**

#### **Criterion C-4.6: Transparency and dissemination of gender-related learning**

##### ***Explanation of criterion***

C-4.6 assesses the extent to which the Brand commits to publicly sharing information about its activities, achievements, challenges and lessons arising from implementation of the gender AP.

##### ***Specific indicators***

The AP's compliance with the criterion was assessed based on the extent to which it commits to:

- **I-4.6.1: Transparency**, ie, publicly sharing information about its activities and progress against KPIs, including the results of internal and external project evaluations and impact assessments? [BtB Media Briefing Feb 2013] **{Maximum sub-score: 6}**
- **I-4.6.2: Gender advocacy**, ie, dissemination of good practice and lessons learnt with a view to promoting improved gender awareness and action amongst other brands, suppliers and other relevant stakeholder groups (within the focus country) **{Maximum sub-score: 4}**

#### **Criterion C-4.7: Proportion of cocoa supply chain covered by proposed interventions**

##### ***Explanation of criterion***

C-4.7 assesses: (a) the proportion of the Brand's overall cocoa supply chain in the focus country and other sourcing countries that is addressed by the AP; and (b) the extent to which the AP include commitments to mainstream gender equality policies and/or practices in the wider cocoa supply chain, beyond the target communities directly participating in the Brand's community development programmes.

##### ***Specific indicators***

There are two aspects of this criterion: (a) coverage of the supply chain in the focus country of the GA, and (b) gender mainstreaming in other cocoa sourcing countries. Compliance with (a) will be assessed based on:

- **I-4.7.1:** The proportion of the total cocoa supply chain in the focus country covered by planned gender interventions **{Maximum sub-score: 2.5}**

- **I-4.7.2:** Whether or not the AP includes specific efforts to extend the reach of interventions beyond the direct beneficiaries of the Brand's community development programmes  
**{Maximum sub-score: 2.5}**

**I-4.7.3:** Examples of the types of commitments/activities that would contribute to compliance with (b) include **{Maximum sub-score: 5 (1 point to be allocated per relevant activity)}**:

- Commitment to collect (and publish) gender disaggregated data on key performance/impact indicators across the Brand's cocoa supply chain (or at least in more than one sourcing country)
- Commitment to conduct GAs in other sourcing countries
- Activities to promote gender-related good practice and learning from the focus country with key stakeholders in other sourcing countries.

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