4C MONITORING AND EVALUATION PUBLIC SYSTEM REPORT

Submitted to ISEAL Alliance and shared with the public in compliance with the ISEAL Impacts code
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As part of continued compliance with the ISEAL Impacts code
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M & E Manager

Disclaimer: This report was prepared by the 4C Association as at December 2015. Since publication the system is further developing as the association is committed to continued learning. Significant changes will be updated on the public report at least annually.
# Table of Contents

1. Scope and Boundaries of the M&E System ........................................... 3
2. Roles and Responsibilities ....................................................................... 3
3. Defining the Intended Change ................................................................. 4
4. Performance Monitoring ........................................................................ 4
5. Outcome and impact evaluation ................................................................ 5
6. Improving the Effectiveness of the M&E system .................................... 5
7. Opportunities for engagement .................................................................. 6
1. Scope and Boundaries of the M&E System

Currently the 4C Association has identified 3 key roles in its new business model which are:

1. Defining and maintaining the Baseline Standard and Verification System for sustainable coffee production and sourcing;
2. Actively promoting sustainability standards and initiatives in the market to create supply and demand of verified and certified coffee;
3. Addressing the critical overarching issues in a multi-stakeholder coffee platform.

Of these 3 key roles, 4C Association has decided to limit the scope of the M&E program to the first role which is mainly the standard system and its application by all members globally. This also covers activities conducted by members as part of implementation of the 4C Code of Conduct.

The broader picture will still be monitored but as an additional and not in the main M&E program, with room for future inclusion into the program. This will help in step wise learning while concentrating on the baseline standard.

The M&E programme also monitors organisational performance with 10 KPI’s and annual targets of the 4C Association’s Secretariat which is tasked with providing core services to members to enable them comply with the standard. Annual surveys evaluate the satisfaction of members on the services provided by the association.

Focusing on code maintenance and implementation covers the desired outcomes of the standard since the other 2 roles support the standard in ensuring a better condition for coffee chain actors as influencing factors to the intended change. Where there is overlap between this influencing factors and code maintenance and implementation, in most cases they are included in the system.

2. Roles and Responsibilities

The overall design and implementation of the M&E programme is the responsibility of the M&E team. This team works in close collaboration with the Verification, Management and Executive team. The M&E team is headed by the Monitoring and Evaluation Manager.

After a human resource assessment and approval by the Council the team has increased from 0.5 FTE in Jan 2013 to 1.5 FTE in Dec 2015.

<table>
<thead>
<tr>
<th>Title</th>
<th>FTE</th>
<th>Function</th>
</tr>
</thead>
<tbody>
<tr>
<td>Monitoring &amp; Evaluation Manager</td>
<td>1</td>
<td>Managing and strengthening the M&amp;E function in the 4C Association.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Overseeing continuous monitoring, member survey and organizational performance monitoring.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Managing and commissioning studies to evaluate 4C contribution to improved livelihood of coffee actors.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Integrating M&amp;E results to internal learning.</td>
</tr>
<tr>
<td>Monitoring Officer Verification</td>
<td>0.5</td>
<td>Working at the interface of the verification operations and the Monitoring &amp; Evaluation system. In addition to monitoring and evaluating continuous improvement of verified 4C Units, he is also researching and analyzing progress, challenges and opportunities of the 4C baseline standard and its verification system in key coffee growing countries as part of the M&amp;E system.</td>
</tr>
<tr>
<td></td>
<td>other half shared with verification</td>
<td></td>
</tr>
</tbody>
</table>

Consultants are also used on need basis to help support the system. At least 5 key institutions have been used in the past to support the system.

On a governance level the 4C governing Council has constituted a Monitoring and Evaluation Committee (MEC) of the Council since 2013 to advise the council on strategic issues in relation to monitoring and evaluation.

The main contact person for the stakeholders and general public in relation to the overall 4C Association Monitoring & Evaluation program is:
3. Defining the Intended Change

A first version of the associations Theory of Change, was approved by the 4C Council for publishing. The standard compliance pathways are clearly defined however the other 2 pathways which form part of the key influencing factors to achievement of desired results, are improved with future versions of the theory for continuous learning these are:

(1) Actively promoting sustainability standards and initiatives in the market to create supply and demand of verified and certified coffee; and

(2) Addressing the broader coffee sustainability agenda in a multi-stakeholder coffee platform.

The long term goals of the 4C Association are higher efficiency, cost reduction, quality improvement and increased productivity and profitability in coffee production. Through this “4C is aiming at creating a beneficial situation for coffee producers, workers engaged in the coffee sector, rural communities, trade & industry, consumers and the environment”.

4C aims at making this difference through:

- Stimulating access to good agricultural and management practices especially for small-scale producers
- Ensuring elimination of bad labour practices, destruction of primary protected forests and use of internationally banned inputs.
- Establishing a global and open learning network for the exchange of coffee expertise and knowledge
- Improving producers’ ability of self-organization
- Increasing the transparency, relationships and traceability along the coffee supply chain
- Providing a basis for further activities towards sustainable coffee production.

A copy of the latest version of this theory of change is available here [http://www.4c-coffeeassociation.org/about/impact](http://www.4c-coffeeassociation.org/about/impact).

4. Performance Monitoring

The first round of indicator development in a participatory approach included stakeholder consultations in Vietnam, Brazil and Uganda and was accompanied by a working group of the 4C Technical Committee. In 2012, we did a critical review of the indicators in relation to our intended change. This did not change very much apart from introducing new ones on influencing and unintended factors as well as confirming and improving some on reach and short term outcomes. Finally there was a comparison with the common core of ISEAL members and in instances where they differed there was either a justification in relation to the theory of change or an adaption of the common core indicator. The current list has most in line with the common core and are used by other members.

The summary of the high level ones approved in 2009 and improvements in 2013 are publicly available on page 4 of the public description of intended change [here](#).

In addition for each indicator we have also laid down the type of data that will be collected. For consistency we have used the headings below given as an example in the Impacts Code.

<table>
<thead>
<tr>
<th>Indicator</th>
<th>Unit of measure</th>
<th>Source of data</th>
<th>Data collection method</th>
<th>Responsible party</th>
<th>Frequency</th>
<th>Special references</th>
</tr>
</thead>
</table>

The main data sources included in the system are:

- The verification process,
- Self-assessments and Annual updates
- Commercial reporting
- Member satisfaction survey
- Outcome Surveys of producers
5. Outcome and impact evaluation

The frequency for conducting, outcome and impact evaluations had been proposed at 2 years when the first 4C commissioned study was done. After critical review of the 2010 study and reactions to it by stakeholders and in relation to the improved system and other sources of learning. It was agreed to change the frequency of 4C commissioned studies to change this to 3 to 6 years to match the 4C verification cycle. The impact studies take a multi-annual perspective and with the next study expected in the next year and a half, efforts are already under way to determine research questions based on our theory, requirement for base line data and what we would want to know in detail from other activities like monitoring and analysis of verification data or inferences from other party commissioned studies.

4C Association uses outcome and impact evaluation results to determine the progress we are making towards our desired outcomes as well as contribution to change and long term impacts. The association utilizes in addition to internal expertise, the services of consultants mainly researchers to improve the research methodology and question. Comments and feedback on the previous study as well as our internal learning on the same is also included.

The first study was done in 2010, the expertise needed for this was obtained through consulting Kuit Consultancy.

The last report was published in December 2010 and a public summary this is available here http://www.4c-coffeeassociation.org/resources/impact-assesment-outcome-summary

The public report and our management response are available here and here respectively.

Information of ongoing studies can be found on our website and on the. Sustainability Impacts Learning Platform http://www.iscalalliance.org/our-work/improving-impacts/impacts-reports-and-studies/Sustainability-impacts-learning-platform

6. Improving the Effectiveness of the M&E system

4C Association intends to use results of all studies it commissions for learning, and as such this results will be analyzed and discussed with the council through its M and E subcommittee, as well as shared with members in webinars for further feedback. Suggestions from these discussions will be included in the management response and action plan from this review.

A critical review if the 2010 report was done in May 2013 with a view to use the learning to improve the system. 3 major recommendations came out of this review that are being fed into the code revision process and improvement of the M&E System.

1. Change the frequency of 4C Association commissioned third party evaluations from 2 to 3 years to 3 to 6 years in line with the 4C Association Verification cycle.
2. Carry out a country specific evaluation of 4C verification reports since 2007 to capture the trends and also determine aspects to be included in in-depth third party surveys. This process started in
3. In between 4C commissioned studies, collaborate with independent organisations carrying out studies on 4C farmers to get reports on some specific indicators from the data they have from their independent study.

The results have also been used to improve the standard by suggestions of control points that need to be improved which resulted in improved indicators for unacceptable practices.

Greater emphasis has also been put in code scoring on internal management systems to encourage farmers to collect relevant data and keep records.

The current country learning studies based on data from verification was used in the code revision process to show how farmers have been performing on each control point over time and questioning further some control point that seem to be problematic for some countries but not others this giving insight into the ability of farmers to comply or understand the current code.
7. Opportunities for engagement

Being a membership organization the biggest stakeholder is the Members who are users of the code; these are usually represented by the Council. The first round of indicator development in a participatory approach included stakeholder consultations in Vietnam, Brazil and Uganda and was accompanied by a working group of the 4C Technical Committee.

Members see list: [http://www.4c-coffeeassociation.org/members/our-members.html#2](http://www.4c-coffeeassociation.org/members/our-members.html#2)

The opportunities for involvement of members are as follows:

- Internal meeting with senior staff and internal working teams facilitated by M&E Manager
- A technical Working Group composed of members in discussions of the indicators
- Quarterly 4C Council meetings
- Tripartite M&E Committee (MEC) to guide the Council and members on strategic issues in the system
- Webinars with members
- Bi- to tri annual General Assembly of 4C Association Members

Key aspects of the procedure for engagement of stakeholders are as follows:

- Members are involved in strategy and indicator definition.
- Results of surveys will be presented to target group and members before final publishing for consultation.
- Public summaries of reports are shared in the 4C website together with a contact for the public to access and even react. The summaries will include key conclusions as the researcher will propose to pass the sentiments of the entire report. For third party reports, the third part will decide for impartiality.
- For the key stakeholders then meetings, webinars and even email surveys will be used to get feedback on the study. Results of this consultations will be included in communication to key stakeholders or as an annex to management response for public.
- The M&E team will avail time where practically possible to respond to as many as practically possible queries on externally commissioned reports and the system in general. We will also make management responses to those that have significant information on 4C Association public.

4C Association proactively seeks consultation with the Key Stakeholders that is members but is open to receive external and respond to feedback from other parties where resources allow.

In 2012, the 4C M&E system was discussed by members in 2 Council meetings and the General Assembly of members in September. 2 webinars in 2012 and 2 in 2013 were also held to update members on the developments and definition of intended change. The current Theory of Change was confirmed for publishing by the 4C Council in their meeting in June 2013.

In 2013 the team practically engaged 3 major institutions on our 2010 self-commissioned third party study. We capture the public interaction with our reports by requesting that all who download the reports leave their address and interest before they receive the reports for more interaction.

The impact web page will be the primary information center for the general public. As well as the Monitoring & Evaluation Manager as contact in the association.