Ministry of Foreign Affairs

IOB Terms of Reference

Coherence of Dutch policy and effects on food security, water and climate in developing countries

IOB Terms of Reference - - IOB Terms of Reference - - IOB Terms of Reference

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Policy and Operations Evaluation Department
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Contents

Abbreviations and acronyms

BHOS   Foreign Trade and Development Cooperation
BIS   DGIS Staff Bureau [under MFA]
CBS   Central Bureau of Statistics
CSO   Civil Society Organisations
DAC   Development Assistance Committee
DAO   Department for Asia and Oceania [under MFA]
DCED   Donor Committee on Enterprise Development
DDE   Department of Economic Development [under MFA]
DEC   Department for Effectiveness and Coherence [under MFA]
DG BEB General Directorate for Foreign Trade and Economic Relations [under MFA]
DGIS   General Directorate for International Cooperation [under MFA]
DIE/EX Directorate European Integration / External policy
DMM   Department for multilateral organisations and human rights [under MFA]
DSH   Department for stability and humanitarian aid [under MFA]
DSO   Department for Social progress and Education [under MFA]
ECDPM   European Centre for Development Policy Management
EU   European Union
EZK   Ministry of Economic Affairs and Climate
FMO   Dutch entrepreneurial development bank
FS   Food security
ODA   Official development assistance
OECD   Organisation for Economic Co-operation and Development
I&W   Ministry for Infrastructure and Water management
IAK   Integral Consideration Framework [for new policies]
IGG   Inclusive Green Growth
IOB   Policy and Operations Evaluation Department [under MFA]
LNV   Ministry for Agriculture, Nature and Food Safety
MACS   Multi-Annual Country Strategy
MFA   Ministry of Foreign Affairs
NGO   Non-Governmental Organisation
PBL   Netherlands Environmental Assessment Agency
PCD   Policy coherence for development
PCSD   Policy coherence for sustainable development
RPE   Order on Periodic Evaluation
RVO   Netherlands Enterprise Agency
SCP   Netherlands Institute for Social Research
SDG   Sustainable Development Goal
SEA   Strategic Evaluation Agenda
TOC   Theory of change
TOR   Terms of reference
WB   World Bank

1 Introduction

1.1 Why evaluate policy coherence?

The policy areas of food security, water management (water) and climate change adaptation and mitigation (climate) are closely linked. The related environmental challenges and the desired transition to sustainable energy and green economies require a holistic, integrated, well-coordinated approach. Dutch development cooperation in these fields is led by the Inclusive Green Growth Department (IGG) at the Ministry of Foreign Affairs, but that department on its own cannot make a big difference for the developing countries where it allocates funding, let alone secure sustainable development by its efforts alone. Coherence among Dutch actions and policies is a prerequisite for sustainable results in development cooperation. Looking at three specific developing countries, we will try and identify how coherent Dutch policies, strategies and actions over the past few years have been and what results they achieved in the areas of food security, water and climate.

Why is this relevant today? Sustainable development, climate change, water management and food security have become ever more pressing global issues over the past decade, urging the previous (Rutte III) cabinet to prioritise national climate action and a transition towards cleaner energy. The new cabinet, that started near the end of 2021, will have to make choices about the policy priorities of its development cooperation, foreign policy and trade policy[1]. It will have to consider whether climate change, water and food security should be dealt with as separate or integrated policy areas in international cooperation – and what their relation with domestic policies should be. Policy coherence is a condition for effectiveness of such policies; and at the same time lack of coherence can be an obstacle to achieving development and climate objectives.

'Policy coherence *for development'* (PCD) aims to take into account the objectives of development co-operation in external and domestic policies in areas which are likely to affect developing countries.[2] This concept has been focussed mostly on *doing no harm*.

Following the 2030 Agenda for Sustainable Development, agreed in 2015, an integrated approach and policy coherence *for sustainable development* (PCSD) have been recognised as essential elements of development cooperation and for policies affecting developing countries more generally.[3] PCSD is associated with *doing good* and promoting long-term sustainability, guided by the Sustainable Development Goals (SDGs).

Since 2019, coherence is one of the OECD DAC's six evaluation criteria for assessing development cooperation policies and programmes. It distinguishes *internal* coherence, between different policies from the same institution/government, and *external* coherence, between policies from different institutions/governments. [4]

A background of international policy on coherence is presented in Annex 1.

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[1] The new policy note: 'Doing what the Netherlands it good at'. Strategy for Foreign Trade and Development Cooperation, June 2022. (MFA, June 2022) mentions the need for coherence between policies of different ministries to achieve the SDGs. The note announces that the Action Plan on Policy Coherence will be revised and pay more attention to reduce the Dutch footprint on climate, land and water; reduce illegal financial flows, and contribute to global human health.

[2] OECD, 2019. Recommendation of the Council on Policy Coherence for Sustainable Development, OECD/LEGAL/0381.

[3] Ibid. Policy coherence for sustainable development is defined as "an approach to integrate the dimensions of sustainable development throughout domestic and international policy-making" aimed at an integrated implementation of the 2030 Agenda.

[4] OECD DAC, 2019. Revised evaluation criteria. Definitions and principles for use.

Over the past two years, IOB has consulted with the Inclusive Green Growth department (IGG) about the need for evaluations and insight, with a view to the overall policy review that was planned on article 2 of the budget for Foreign Trade and Development Cooperation (BHOS), i.e. food security, water and climate, including energy.

First of all, policy makers felt a need for insight in the coherence among the three areas food security, water and climate, and how these could be best integrated.

Secondly, policy makers also felt the need to gain insight in the effects of coherence and incoherence of other Dutch policies (for instance, tax, trade and agricultural policies): do these other policies foster synergies or do they result in negative effects of poorly managed trade-offs, undermining the results in food security, water and climate in developing countries?

Thirdly, policy makers wondered whether IGG's relatively short-term development projects fit into long-term strategies for national-level system change[5] towards achieving the SDGs on these themes. Does the MFA make good use of long-term strategies, at national, regional or global level, that are based on evidence (e.g. IPCC reports) and some level of consensus (e.g. Paris Agreement)?

The overarching motive for this evaluation is learning, allowing policy makers to adjust and improve policies and activities, in particular development cooperation policies in the fields of water, food security and climate change (BHOS budget article 2) - but also other Dutch policies that have an effect on these areas in developing countries. Another motive is accountability, since our findings on effectiveness and efficiency will help account for expenditure under the relevant budget article and the report will thus serve as a periodic review thereof.

This evaluation will pertain to the period 2016-2021, taking into account the policy changes that were introduced following the 2030 Agenda on Sustainable Development and the Sustainable Development Goals as well as the Paris Agreement on climate change.

Starting from a country perspective based on three case studies (Bangladesh, Mozambique, plus one country that is still to be selected), the evaluation will focus on the following aspects:
- Dutch development and non-development policies (including EU policies: agriculture, trade) that affect developing countries.
- Internal coherence among these Dutch policies, external coherence with other actors in these case study countries, coherence with long-term strategies, and coherence between different levels of scale (local, national, global).
- The effects of these policies on food security, water and climate in developing countries.
- The influence of coherence, or lack of coherence, on the results of these policies.

1.2   Policy coherence and other evaluations of sustainable development (BHOS-2)
The policy review of BHOS article 2 (water, food security and climate) that was originally planned for 2023 will be replaced by on the one hand this evaluation of policy coherence with a focus on those IGG topics, and on the other hand an evaluation of Dutch climate policy for developing countries. Both evaluations are planned in the Strategic Evaluation Agenda 2022, and will therefore also cover the requirements of describing policy and expenditure, and evaluating effectiveness and efficiency. The two evaluations will overlap to some extent and some subordinate studies will provide input for

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[5] We adopt here the concept of system change: sustainable, scalable, and resilient (DCED, 2021. Assessing Systemic Change). We will not use the more ambitious and more normative concept of transformative change, which is associated with environmental sustainability, social inclusion and social justice.

both. Annex 2 gives an overview of both SEA periodic evaluations and building blocks that cover BHOS art. 2.), in Dutch, as is repented in the Explanatory Notes (Memorie van Toelichting) of the government budget 2022 (Rijksbegroting).

1.3   Structure of this document

In Chapter 2, we will describe key concepts in policy coherence. In Chapter 3, we will present Dutch policy on coherence (against the background of their effects on developing countries) as well as Dutch policies on the IGG topics around sustainable development: food security, water and climate. In Chapter 4, we will address the evaluation objective, criteria and questions, followed by the focus and scope in Chapter 5. Chapter 6 gives a brief overview of methodology, with more details in Annexes 4 and 5. Limitations and risks are discussed in Chapter 7. Chapter 8 presents our planning, followed by a budget in Chapter 9 (which will be excluded from the public version).

2 Key concepts in policy coherence

2.1 Definition and different forms of coherence

Policy coherence, a concept used widely in the context of the OECD, is defined as the systematic promotion of mutually reinforcing policy actions across government departments and agencies creating synergies towards achieving the agreed objectives. **Policy coherence for development**, which is a better known and more specific concept, focuses on preventing negative effects of developed countries' policies on developing countries ("effects elsewhere"). **Policy coherence for sustainable development** (PCSD) focuses on integrating social, economic and ecological policies with a view to promoting sustainability, aiming for synergy, often with an emphasis on ecological sustainability and social inclusion (including "effects for future generations"). PCSD is associated with and mentioned in the 2030 Agenda for Sustainable Development, including the SDGs.

Since 2019, OECD DAC has included 'coherence' as sixth evaluation criterion, added to the five criteria: relevance, effectiveness, efficiency, impact and sustainability. It defines coherence as an indication of how well an intervention fits: "The compatibility of the intervention with other interventions in a country, sector or institution."[6] It is further described as "the extent to which other interventions (particularly policies) support or undermine the intervention, and vice versa". OECD distinguishes internal coherence and external coherence:

1. **Internal coherence** is the compatibility of an intervention with other interventions carried out by the same institution/government, as well as the consistency of the intervention with the relevant international norms and standards to which that institution/government adheres (see 2.2). [7]
2. **External coherence** considers the consistency of the intervention with other actors' interventions in the same context. This includes complementarity, harmonisation and co-ordination with others, and the extent to which the intervention is adding value while avoiding duplication of effort. [8] (see 2.3)

In addition to internal and external coherence, we can distinguish spatial and temporal coherence. These two forms of coherence can be combined with internal or external coherence. In other words, the four forms of coherence are not mutually exclusive.

3. **Spatial coherence**: synergies and interlinkages between local interventions and objectives and effects at national, regional or even global level. In some cases, local interventions have positive spill over effects on national interventions or objectives, or vice versa. In other cases, local activities don't fit in national or global strategies.
4. **Temporal coherence**: the effects of interventions now on future developments and on future generations; the effects of short-term interventions on the longer term and coherence with long-term strategies. We will assess temporal coherence by comparing policies and activities and activities with long-term strategies that are agreed-on and science-based (see 2.4).

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[6] OECD (2019), Revised Evaluation Criteria
[7] These texts are based on the OECD DAC evaluation criteria in particular coherence. See for more information the OECD.org website.
[8] Sources: OECD website about Coherence; OECD about Policy Coherence for Sustainable Development; OECD about recommendations for PCSD. The OECD PCSD webpage encourages governments to "anticipate, assess and address domestic, transboundary and long-term impacts of policies".

Moreover, we will consider the processes leading to coherence, such as policy dialogue (see 2.5), and the effects of coherence, such as synergies or negative effects from poorly managed trade-offs (see 2.6). Many other evaluations as well as the OECD have emphasised the institutional processes, including governance, leading to policy coherence, and have given less attention to the effects of policy coherence. This evaluation, however, will take the effects of policy coherence, experienced in three country case studies, as a starting point.

An evaluation of coherence requires a broad view, open to unexpected, positive or negative effects, even in other geographical areas, other groups, or other themes that were not the intention of the policy or activity. Preparatory studies will guide us in selecting the most important policies and the most important effects.

A description of the historical background of policy coherence in development cooperation is presented in Section 3.1.1.

2.2   Internal coherence

Internal coherence relates to all Dutch policy with a potential effect on food security, water and climate in developing countries. This includes four different layers:

- At the core are the policy objectives of the Inclusive Green Growth (IGG) Department, in fact those SDGs and targets that IGG has adopted as their overall policy objectives (see Chapter 3.2), within which coherence is sought between food security, water and climate policies to achieve those objectives;
- The second layer consists of the broader development cooperation (DGIS) policies, including private sector development, civil society development and gender, and humanitarian and security policies;
- The third layer consists of other foreign (MFA) policies, including foreign trade and economic diplomacy[9], in which national economic interests play a more important role;
- Fourthly, there is an exterior layer of domestic policies, partly covered by EU policies (trade, agriculture), that may have an effect on the IGG objectives in developing countries[10].

Dutch embassies in developing countries have a multi-annual country strategy, which includes development cooperation and broader Dutch foreign policy. Within the Dutch programme in a country, there may be internal coherence issues between activities managed centrally and the ones managed by embassies. In Figure 1 below, the yellow arrows indicate the coherence issues that this study intends to evaluate.

A particular case of 'internal coherence' is the consistency of Dutch policy over time. For example, the Netherlands has supported the water sector in some partner countries during 10-20 years, with a portfolio of projects pursuing the same objectives.

Figure 1. Internal policy coherence between on the one hand the IGG objectives, and on the other hand development cooperation policy and the country strategy (a), Dutch foreign policy (b), and Dutch (and EU) domestic policy.

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[9] IOB did a policy review on Aid Trade and Investment (to be published in 2021), which will be a source for this policy coherence study.
[10] Domestic policies may affect domestic consumption of imported food or goods with a footprint in developing countries.
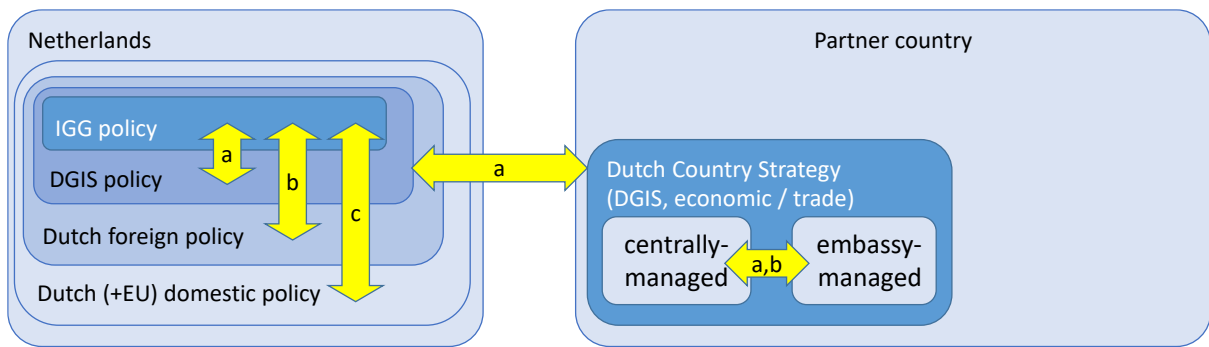
2.3   External coherence

The external policy coherence considers the alignment of Dutch policy (in The Hague and in the MACS) with policy of the host government and other actors in the partner country, and with international agreements and objectives such as the SDGs and the Paris Agreement. We will look at alignment with host government plans and harmonisation with other donors in this context. We will also study the effects of aligned policies and the effects of misalignment in the three case study countries.

A particular case of external coherence is the cross-border (positive or negative) effect of a Dutch country strategy on another developing country, e.g. in the case both developing countries rely on the same water source.

Figure 2. External coherence between Dutch policy and the policy of the government (d) and other actors in the partner country (e), and with international agreements and commitments (f).
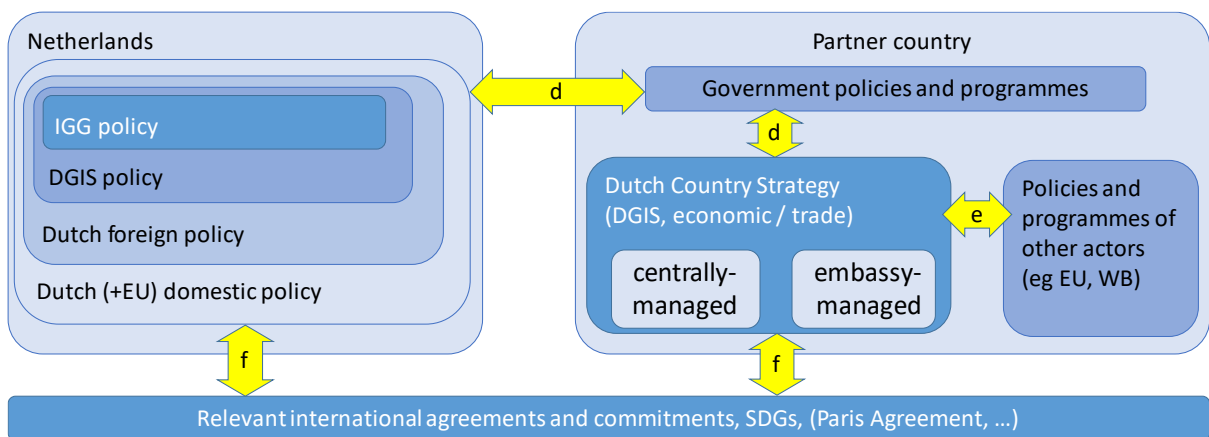
2.4   Temporal coherence

One aspect of policy coherence is the fit of the (often short-term) Dutch policies and interventions, with the long-term strategies for national-level system change in the field of food security, water and climate. We look for strategies that are (i) long-term (at least up to 2030, preferably beyond), (ii) based on science (referring to scientific reports), and (iii) based on a certain level of consensus (scientific, political). In some cases, long-term strategies are well elaborated at country level, and adopted by the national government, in which case the national policy serves as long term strategy. In other cases, there are global or regional long-term strategies, supported by scientific consensus, but these are not yet translated into country-level strategies, and not yet adopted as national

policies. Ideally, Dutch policy and country plans should fit into the available, internationally agreed on scientific insights on long-term strategies for food security, water and climate, preferably at partner country level, otherwise at regional or even global level.

In some situations there are too many uncertainties to develop one long-term strategy and it is more useful to consider different scenarios. In such situations, an intervention needs the flexibility to adjust to changing circumstances and new insights during its implementation. This flexibility and adaptive management is also a form of temporal coherence.

We will consider consistency of Dutch policy or country programme over time, a sequence of various activities, also as a form of temporal coherence.

Scientific knowledge also provides an input in international agreements, but the relationship between science and international agreements will not be part of this evaluation.

Figure 3. Coherence with long-term strategies for food security, water and climate (g)
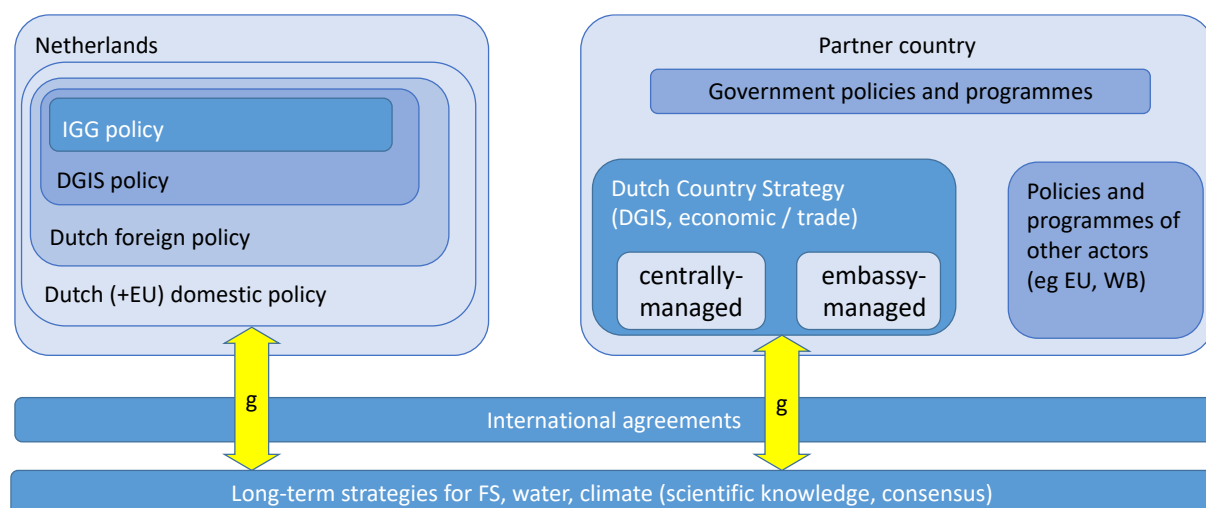
2.5   Spatial coherence

Many interventions are local projects, working in a limited geographical area such as a few villages, a district, with a group of farmers, or in a watershed. Spatial coherence implies that local interventions fit in national (or even global) strategies, and preferably also contribute to national (or even global) results. Similarly, spatial coherence also implies that national strategies are not left on the shelf, but are implemented also at a local level. A positive example of spatial coherence is that local results of an innovative pilot approach are taken up in a national policies and programmes. A negative example of spatial coherence is that the national strategy stressed the importance international river management, while interventions are still limited to local water management and ignore international activities.

There may also be localised division of SDGs, e.g. in land use planning, where one location contributes to food security and another to resource conservation. Locally this may seem incoherent, while at a larger scale this could be coherent. The opposite may also be true: extensive agrological agriculture may be locally coherent, combining food production and resource

conservation, but it may be less coherent at a larger scale if it leads to deforestation elsewhere (because more land would be need).

2.6 Processes leading to coherence

The OECD formulated eight building blocks for coherent implementation of the SDGs (2018): (1) political commitment, (2) policy integration, (3) long-term planning horizons, (4) [ex-ante estimation of] policy effects, (5) policy and institutional coordination, (6) subnational and local involvement, (7) stakeholder engagement, and (8) monitoring and reporting.[11] All these building blocks can be considered as processes contributing to coherence.

Coherence, or incoherence, can be accidental or on purpose. Accidental policy incoherence is avoidable and happens when there is a lack of broader analysis and policy dialogue, e.g. amongst different ministries in the Netherlands, or amongst different actors (government, donors, international organisations) in the same developing country.

However, policy incoherence can also be the result of how different interests are taken into account and balanced: e.g. between different Dutch interests (e.g. aid objectives and domestic interests, discussed in Dutch parliament), between Dutch interests and interests of a government in a developing country (non-agreements on objectives or strategies), or between interests of different groups in a developing countries (e.g. urban consumers and rural producers; government in need of foreign currency, and actors in domestic value chains).

In developing countries, The Netherlands is only one of many actors in the process of working on policy coherence. Within developed countries, NGOs and knowledge institutes often play an important watchdog role on policy incoherence. [12] [13]

In this study we consider the following key processes resulting in policy coherence (Figure 4, orange block at the bottom).
- Multi stakeholder policy dialogue and policy formulation (including the elaboration of Dutch Multi-annual Country Strategies) are crucial for developing coherent policies.
- Use of scientific knowledge on long-term strategies as an input (coherence with long-term strategies). Support to the generation and dissemination of knowledge can be used for the elaboration of long-term strategies, international agreements, and new policies and strategies.
- Analysis of the possible unintended effects of a new policy on other policy objectives, as well as alignment with the policies of government and other actors in the country through policy dialogue, and alignment with international agreements (external coherence).
- Balancing trade-offs. Where different actors have different interests, and where trade-offs are inevitable or ethical dilemmas emerge, a transparent and open dialogue, with

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[11] OECD, 2018. Policy Coherence for Sustainable Development 2018. Towards Sustainable and Resilient Societies

[12] Stave et al., 2018. Evaluation of Norwegian Efforts to Ensure Policy Coherence for Development A study in Norway found that NGOs, political organisations and scientists in Norway played an important role in flagging policy incoherencies, to which the Norwegian ministries then responded by improving coherence.

[13] The same is the case in the Netherlands, where for example the NGO Both Ends and the coalition 'Building Change' advocate for policy coherence. For more information, see the coalition's website Building change – Beleidscoherentie voor ontwikkeling

participation or representation of all different groups, is needed to get the optimal level of policy coherence.

- Monitoring and evaluation. Continuous consultation and coordination can steer the implementation and increase the synergy and the results. Evaluation of the results and of the contribution to system change in the partner country can provide valuable feedback to steer policy dialogue and the adjustment of policies.

The processes for policy coherence also apply for designing a new activity (project) or a group of new activities (e.g. a country programme). Ideally, when designing a new programme, a context analysis and stakeholder dialogue will increase coherence. Often, a programme is already ongoing, and such an analysis and dialogue takes place for a single new project.

Figure 4. Processes leading to policy coherence (orange), policies and strategies (blue), and the effects of policy coherence (green).
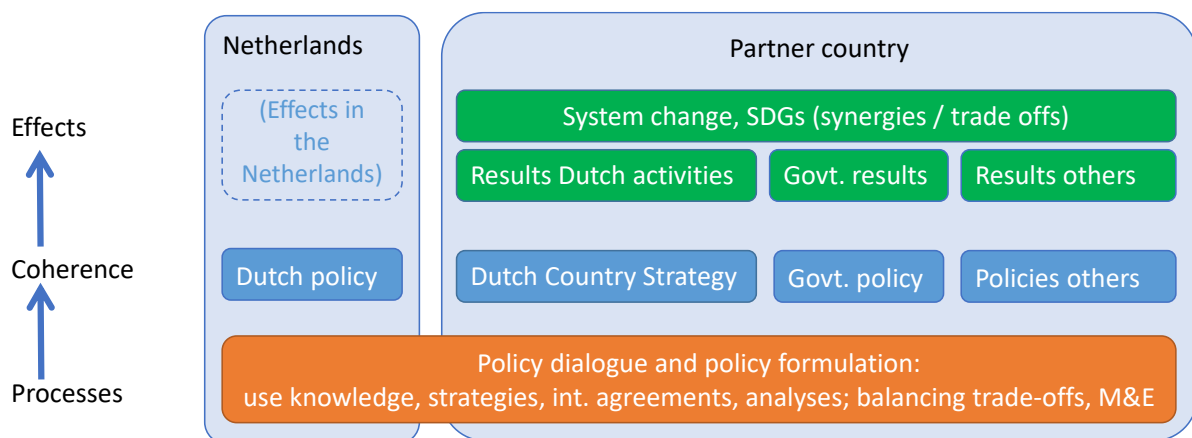
*Note that this study will not look at the effects of Dutch policies in the Netherlands.

2.7   The effects of coherence

If policies and implementation are coherent, they can result in more synergy (co-benefits) and less negative effects of poorly managed trade-offs. In the ideal case, working on one objective also enhances the achievements of another objective.

As explained under 2.5, on processes leading to coherence, different interests may lead to trade-offs and may make perfectly coherent policies impossible. In such cases, reaching an 'optimal' level of coherence will result in well managed trade-off (minimised negative trade-offs), and the best result possible.

Synergy indicates a stronger effect as a result of interaction of different entities (or inputs) than could be achieved by entities individually (Danida, 2008[14]). Synergy is an interaction or cooperation giving rise to a whole that is greater than the simple sum of its parts (Wikipedia). Synergies can be seen as a result of coherence and the term usually refers to the added value produced by good cooperation, alignment and harmonisation

In literature, the term 'trade-off' is used in two different ways: (1) trade-off as the opposite of synergy, a non-desired negative effect of incoherence[15]; (2) trade-off as the result of balancing different interests, where synergy is not possible. An unmanaged trade-off will result more negative effects, while a managed trade-off will result in an optimisation of effects. In this study we will use the second interpretation of trade-offs. In cases where different interests are difficult to combine, a deliberate balancing of interests will result in an optimal coherence, a managed trade-off, and optimal results.

Fortunately, the SDGs have been found to be largely compatible with one another: they can be pursued in parallel.[16] In the so-called nexus between food, water and climate/energy, synergies are supposed to emerge for example in terms of providing sufficient food of good quality and nutritional value, while making efficient and effective use of resources (water, energy), preventing harm to ecosystems and landscapes in the long term, and mitigating the negative effects of climate change, as well as mitigating greenhouse gas emissions.

System change may be the ultimate aim of policy makers working on sustainable development. It is described as sustainable, scalable and resilient. Synergetic results may be less prominent in the short-term and for localised results of an individual project; but they will be more prominent in long-term, national level change. For example, if a developing country's national government, the Netherlands and other donors, collaborate in implementing a national sustainable development plan in which different objectives are combined, chances are higher that project results contribute to lasting, national-level system change.

System change. A short-term and local project may contribute to system change, with lasting results beyond the duration and scale of the project. Typically this requires the government and / or the market to build in conditions for this lasting change, for example:
- A donor-funded water management project in polders in Bangladesh worked on participatory water management where farmers were responsible for water sharing and minor maintenance. The national government is currently in the process of adopting 'water management rules' where farmers in the whole country are mandated for this level of water management.
- A donor-funded public private partnership for renewable energy in Burkina Faso worked with the national government on a new regulation that enabled private sector to sell energy to the national electricity grid, and invested in the first on-grid solar park, combining commercial and concessional finance. Once this this regulation and example solar park existed, it became attractive for private sector and banks to invest in new solar parks.

DCED developed a simple assessment methodology to assess systemic change, where they look at (i) sustainability, (ii) scaling up, and (iii) resilience.[17]

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[14] Danida, 2008. Synergies between bilateral and multilateral activities (p18)
[15] OECD 2017. Coherence for sustainable development. Better Policies for Better Lives. Issue 9, July 2017.
[16] International Science Council. 2017. A guide to SDG interactions: From science to implementation.
[17] DCED 2021. Assessing systemic Change.

3   Dutch policy: coherence and food security, water and climate

3.1   Policy on coherence

General background

Within the Dutch cabinet, the minister for Foreign Trade and Development Cooperation is responsible for coordinating and ensuring policy coherence for development. The Netherlands has had a minister for Development Cooperation since 1966, giving him/her a voice in the cabinet of ministers and allowing for development interests to be represented. The Netherlands could thus promote policy coherence better than other European countries (according to the WRR, 2010 article)[18]. At the same time, most of the (ODA) budget for development cooperation has been kept separate from the rest of the government and from the rest of the MFA.[19]

From the 1990s, policy coherence has been an explicit topic in Dutch policies and a priority, since Minister Pronk and the Maastricht Treaty. The ministry's units responsible for quality assurance had dedicated capacity for promoting coherence: a special coherence unit was integrated in the quality assurance department (DEK) in 2009, which was renamed department for effectiveness and Coherence (DEC).[20] Also in 2009, Dutch cabinet set up an assessment framework for taking non-trade concerns and sustainability into account in trade agreements.[21] The focus of the work on policy coherence has been on preventing incoherence and inconsistencies: *do no harm*.

Policy coherence for development is the responsibility of Dutch cabinet as a whole, but the Ministry of Foreign Affairs, more specifically the Minister for Foreign Trade and Development Cooperation, is responsible for coordinating with other ministries to ensure coherence.

National attention to sustainable development including social and environmental concerns has also been institutionalised since 2009. Important examples of this are the annual statistical reports by the Central Bureau of Statistics with the help of PBL and SCP, the 'Monitor Brede Welvaart' (a monitoring report on overall well-being in the Netherlands), since 2018, and its predecessor 'Monitor Duurzaam Nederland' (a monitoring report on sustainability in the Netherlands), since 2009, which was introduced well before the adoption of the SDGs in 2015.[22] It contains information about, possibly unintended, effects for future generations and effects elsewhere. For example the Monitor Brede Welvaart reports (2017 and 2018) mentions that the carbon and environmental footprint of the Netherlands has negative effects elsewhere and for future generations – one of the reasons being the use of large quantities of raw materials from developing countries.

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[18] Hoebink, 2010. Verschuivende vensters. WRR

[19] However, ODA budget is also used for the first year refugee reception in the Netherlands, and for collaboration with other countries on migration.

[20] Hoebink, 2010. Verschuivende vensters. WRR.

[21] Earlier (MFA, 2009), Dutch cabinet set up an assessment framework for taking into account non-trade concerns and sustainability in trade agreements. Tweede Kamer, vergaderjaar 2008-2009, kamerstuk 26485, nr. 68. https://zoek.officielebekendmakingen.nl/kst-26485-68.html

[22] PBL = Netherlands Environmental Assessment Agency. SCP = the Netherlands Institute for Social Research. See CBS.nl for more information on Monitor Brede Welvaart: https://www.cbs.nl/nl-nl/nieuws/2017/07/cbs-ontwikkelt-monitor-brede-welvaart and its predecessor Monitor Duurzaam Nederland.

In 2012, under the Rutte II cabinet, the Directorate-General for Foreign Trade, previously in the Ministry of Economic Affairs, was integrated into the ministry of Foreign Affairs, while foreign trade and development cooperation was combined in the portfolio of one minister, Minister Ploumen.

The policy note 'A World to Gain' (2013) combined the following objectives:
1. Combatting extreme poverty, out of solidarity
2. Encouraging trade and investment, out of self-interest.

This policy note acknowledges challenges of coherence: "The combination of aid and trade can be mutually advantageous. But conflicts of interest can arise where diverse motives play a role. The Netherlands thinks sustainability is important, for example, but sustainability criteria make it more difficult for low- and middle-income countries to sell their products in our markets. In such cases we will carefully weigh the different interests at stake, taking sustainable and inclusive growth as our guiding principle".[23]

The policy note of Ploumen's successor, Minister Kaag: 'Investing in Global Prospects' (2018), combined the following objectives:
1. Sustainable, inclusive growth and climate action
2. Conflict prevention and poverty reduction
3. Enhancing the Netherlands' international earning capacity

Gender equality was presented as a cross-cutting priority. This policy note maintained the same spirit: sustainability and the interests of developing countries are said to be key considerations in aid, trade and investment policy, and mentioned as objectives under BHOS budget article 1. Policy coherence received special attention in this policy note, confirming the Action Plan Policy Coherence that had been developed in 2016 (see below).

With the 2030 Agenda on Sustainable Development and the introduction of the SDGs, the Netherlands, spurred by Minister Kaag, adopted the SDGs as an overall framework for international cooperation. Dutch policy makers, first and foremost the policy coherence experts at DGIS and the Dutch SDG ambassador, recognised that the 2030 Agenda required an integrated approach. In 2018, the Integrated Assessment Framework (which already existed to assess new policy proposals and regulations) was complemented by a quality requirements about effects of national policies on developing countries, as well as a requirement on the effects on gender equality.[24] This change aimed to increase policy coherence and align government policies with the SDGs.

Gender equality, social inclusion and poverty reduction have been cross-cutting policy objectives of both Ministers for Foreign Trade and Development in the period under evaluation. Effects of policies may be different for different groups of beneficiaries. For the purpose of this evaluation, we will consider these cross-cutting policy objectives as integral part of the effects on food security, water and climate.

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[23] IOB 2022. Gedeelde belangen, wederzijds profijt? Beleidsdoorlichting BHOS-begroting art.1. The IOB policy review of BHOS budget article 1 on aid, trade and investment includes a chapter on coherence and synergies, describing to what extent synergies between aid and trade were pursued and achieved, painting a mixed picture and a somewhat diminished level of ambition as regards synergy among aid and trade policies in the Rutte III cabinet (when minister Kaag was BHOS minister, from 2018).

[24] MFA 2019. Annual report Action Plan Policy Coherence

Policy Coherence Action Plan 2016, 2018

The core of the Dutch ambitions in policy coherence for development were elaborated in a specific, government-wide action plan. The Netherlands has been a frontrunner in this regard, and in this context was praised by the OECD.[25] In 2016, minister Ploumen for Foreign Trade and Development Cooperation published an Action Plan and progress report on policy coherence.[26] In the relevant letter to parliament, she explained that Dutch coherence policy is in large part directed at influencing decision making in the EU, because the competence for policy areas relevant for development such as trade and agriculture have been delegated to the EU. She stated that policy coherence starts with acknowledging development interests at the early stages of policy formulation, and that the interests of poor people have to be weighed against other interests. Moreover, the letter stated that progress in policy coherence for development contributes to inclusive and sustainable growth, and that results in the areas identified help developing countries lift themselves out of poverty with a view to the ultimate aim of eliminating extreme poverty by 2030.

The 2016 action plan identified eight concrete topics as follows, noting that striving for positive results for the poorest groups of people would be the leading principle: (1) trade including bilateral and regional free trade agreements, as well as (2) investment protection agreements; (3) access to medicine; (4) tax evasion; (5) sustainable value chains; (6) remittances; (7) climate change; and (8) food security. This Action Plan did not mean that policy coherence issues outside these eight topics did not deserve attention, but the Action Plan emphasises the priority areas in internal coherence of non-aid policies with aid objectives.

In 2018, the action plan was revised[27] and three of the areas were no longer highlighted, partly being integrated in the other areas. The five resulting focus areas were (1) trade agreements and (2) an investment regime that take into account development; (3) combatting tax evasion; (4) combatting climate change; and (5) sustainable production and trade (including sectoral covenants). The revised plan included results indicators. Annex 3 presents a brief descriptions of the priority areas of 2016 and 2018.

The revised action plan took the relatively big ecological 'footprint' of the Netherlands into account, including its greenhouse gas emissions. Consumption in the Netherlands has negative effects on people and the environment in other countries, as found in the reports of the Statistics Bureau in 2018[28]. This implies promoting more sustainable consumption and production patterns.

Over the past few years, a particularly challenging policy area was the greening and decarbonisation of Dutch foreign policy and instruments. In early 2020, a framework instruction was agreed among ministries, establishing new policy that was announced in a letter to parliament: all financial instruments for foreign trade and development cooperation would be 'greened' and the

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[25] In the OECD DAC peer reviews on development cooperation as well as in the PC(S)D working group.
[26] MFA 2016. Action plan and annual report policy coherence for development Tweede Kamer (2016), vergaderjaar 2015-2016, 33 625, nr. 219 1
[27] MFA 2018. Revised action pan and annual report policy coherence for development. Tweede Kamer (2018), vergaderjaar 2017-2018, 33 625, nr. 265 3
[28] CBS, 2018. Monitor Brede Welvaart.

Netherlands would no longer support fossil fuel projects through international financial institutions and multilateral development banks (building on earlier policies since 2014) .[29]

A few main assumptions underlying Dutch policy can be derived from the various policy notes and action plans on coherence:

- Progress in policy coherence for development contributes to inclusive and sustainable growth (2016).
- Results in the Policy Coherence Action Plan priority areas help developing countries combat poverty (2016).
- Through domestic resource mobilisation, income from foreign trade and investments developing countries can generate the finance needed to achieve the SDGs (2018).

Institutional arrangements and policy processes

As explained above, the minister for BHOS carries the responsibility for coordinating policy coherence for (sustainable) development.

- PCD is the responsibility of the government as a whole. PCD is coordinated by the Ministry of Foreign Affairs, specifically by the Minister of Foreign Trade and Development Cooperation, who takes the initiative when action is required.
- PCD work is in practice coordinated by a project group of thematic experts led by the PCD focal point at DGIS/BIS. The Ministry of Foreign Affairs defines issues, proposed objectives and discusses these with the responsible ministries. Progress is reported annually to Parliament. Interdepartmental coordination around policy coherence pays particular attention to the priority themes of the action plans for policy coherence for development (2016, 2018).
- Interdepartmental coordination around the SDGs takes place in a loose network, led by the Dutch SDG ambassador and her team (seated at MFA/DMM).
- The ministers for BHOS and of Economic Affairs and Climate (EZK) send an annual progress report to parliament on the SDGs.
- Annual reports *Monitor Brede Welvaart* describe Dutch progress on the SDGs, written by CBS. CBS has published reports on progress on the SDGs since 2016.[30]
- The Netherlands participates in the OECD network on policy coherence for sustainable development (PCSD) and reports to the OECD through its questionnaires on PCSD.
- Every policy and regulatory proposal needs to apply the government-wide assessment framework, (*Integraal Afwegingskader, IAK)*,[31] to assess whether policy aims in other areas are taken into account. Two quality requirements introduced in 2018 consider the effects of policy on developing countries, and effects on gender equality.

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[29] Sources: MFA, framework instruction version of 14 February 2020 as well as a letter to parliament of that date (Tweede Kamer, Vergaderjaar 2019-2020, kamerstuk 34 952, nr. 44). The letter announced that the Rutte III cabinet wanted to mobilise green investments and phase out public financial support to carbon intensive projects as well as exploitation of new oil and gas fields abroad. Also, an IGG memorandum to the minister for BHOS of March 2014.

[30] Evaluatie van de aansturing van de nationale SDG uitvoering in Nederland | Rapport | Rijksoverheid.nl MFA (2021) Letter to parliament of 15 February 2021

[31] The kcwj.nl website includes information on the IAK. See their blog_sdgnederland_toets_vertaling_engels.pdf (kcbr.nl)

- New policy and legislative proposals by the European Commission are discussed in interdepartmental meetings and coordinated positions are reflected in so-called BNC fiches,[32] which are publicly available.
- Dutch foreign and trade policy as well as development policy pertaining to partner countries are reflected in Multi-Annual Country Strategies (in the case of development cooperation partners) and Multi-Annual Interdepartmental Policy Frameworks for important partners (such as Indonesia) that are not necessarily low-income developing countries. These plans are coordinated by the regional desks of the MFAs together with the relevant embassies.

As explained in the processes leading to coherence or incoherence (Ch 2.6), often different interests need to be balanced that cannot always result in win-win situation (synergy), but that could at best results in managed trade-offs. Consider for example the interest in the economy or migration in the Netherlands, and the interests in SDGs in other countries. How different interests are weighted is partly a political choice.

3.2   Development cooperation policy on food security, water and climate

The objective of BHOS budget article 2 remained roughly the same throughout the period under review. It is described in the explanation to the 2021 government budget (MvT) as follows: increased food security; improved water management, drinking water, sanitation and hygiene (WASH); increased resilience against climate change, combatting climate change, and sustainable use of natural resources. This article is split into separate objectives on food security, water and climate (Rijksbegroting 2021).

The policy objectives in the areas of food security (article 2.1), water (2.2) and climate (2.3), although interrelated, are reflected in the separate DGIS Theories of Change for Food security, Water, Climate (2018). Their objectives are as follows:

2.1. Food security (SDG 2)
- Eliminate hunger and malnutrition in 2030 (SDG 2.1, 2.2)
- Doubling productivity and income of smallholder food producers in 2030 (SDG 2.3)
- Ecologically sustainable food production systems in 2030 (SDG 2.4), and maintenance agro biodiversity in 2020 (SDG 2.5)
   - Knowledge and capacity building for food security
2.2. Water (SDG 6)
- Improved access to drinking water (30 million people in 2030), sanitation (50 million people in 2030) and hygiene (WASH) (SDG 6.1, 6.2).
- Improved water productivity in agriculture (+25% in 2030) (SDG 6.4)
- Improved management of river catchments and safe deltas (SDG 6.6)
2.3. Climate (SDG 7, 12, 15, plus 13: climate action)
- Access to renewable energy (50 million people in 2030) (SDG 7).
- Reduced deforestation and sustainable land use (SDG 12, 15).
- Adaptation in food security and water management (see 2.1 and 2.2 above).
- Increased international climate action, though negotiations

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[32] BNC stands for Beoordeling Nieuwe Commissievoorstellen: assessment of new proposals by the Commission. The name also stands for the relevant interdepartmental working group coordinating these Dutch positions.

- A Dutch fair share of the USD 100 billion per year collective commitment for climate action in developing countries

These separate Theories of Change do refer to the interlinkages among the topics, with food security and water referring to climate change and the climate-relevance of activities, and to the nexus between the topics, and the TOC on climate change referring to the other two TOCs.

Topics that receive less attention (posteriority), unless there is a link to climate change) and that are not fully elaborated in the DGIS TOCs but fall under the responsibility of IGG within the MFA are: sustainable management of raw materials, in particular mining minerals (SDG 12.2), forests (SDGs 12 and 15), biodiversity and ecosystems (SDG 15), oceans (SDG 14, including fisheries), and sustainable cities and disaster risk reduction (SDG 11). Of these topics, only forests and disaster risk reduction (notably water security) figure explicitly in the DGIS TOCs on water, food and climate. 'Polar affairs' are also included in the IGG portfolio.

Dutch expenditure on these three policy objectives was about EUR 700 million per year in the period 2016-2019 (Table 1). The top five recipient countries, of funds delegated to embassies, were Rwanda, Ethiopia, Bangladesh, Mozambique and Benin. A more detailed overview, including country allocations of centrally managed funds, will be drafted to help us selecting the relevant case study countries.

Table 1. Expenditure 2016-2019, and commitments 2020-2022, for BHOS-2 (in million EUR)

	2016	2017	2018	2019	2020	2021	2022
2.1 Food security	375	342	324	337	311	321	320
2.2 Water	194	195	211	189	201	194	194
2.3 Climate	112	128	176	198	214	220	221
Total	681	665	711	724	726	735	735

Source: Rijksbegroting 2019 and 2021

3.3   Policy coherence and effects on food security, water and climate: assumptions

In this section we formulate a number of assumptions that we partly used to formulate evaluation questions (Chapter 4), and partly keep in mind in interviews and data collection during the evaluation.

Policy coherence is important for IGG because food security, water, and climate are interlinked. Working on one objective could either strengthen or undermine the achievements on another objective, depending on the coherence of the selected strategies towards these objectives. The IGG themes are also related to other areas of the ministry of Foreign Affairs: notably trade policy and foreign policy (diplomacy) but also humanitarian assistance, migration policy and to some extent security policy. In this section, we identify a few assumptions on how coherence could strengthen the achievements of IGG objectives.

IGG has encouraged partners and projects to work on the so-called food-water-climate/energy nexus, looking for synergies among the sectors. In this 'nexus', policy issues around water, food/agriculture, and climate/energy overlap.

- For instance, inefficient use of land and inputs in agriculture requires more arable land to keep up with the growing demand for food, resulting in deforestation and greenhouse gas emissions.
- On the other hand, agricultural diversification from rice to more nutritious food or high value products may reduce the need for land and water, and reduce greenhouse gas emissions.

However, Dutch embassies were also instructed by the ministry to limit the number of sectors they work on. Subsequently, the embassy in Bangladesh has selected the water sector and is phasing out activities on food security, while the embassy in Benin selected food security and is phasing out water. This could reduce options for coherence and synergy between water and food security, in case other actors don't fill this gap.

> **Assumption:** Where efforts to support water, food security and climate action are aligned (do not hinder efforts in the other sectors), so that there is internal coherence, these efforts are more effective, i.e. results are more, bigger, better, more sustainable and/or faster than they would otherwise have been.

The policies and activities that IGG promotes can also be hindered by policies and practices in other parts of the MFA, notably trade and investment policy, but also foreign policy.
- For example, if the DG BEB or the Dutch embassy supports a Dutch company to explore business opportunities with newly discovered oil or gas fields on the one hand, and IGG and DSO lobby the same country to take climate mitigation action on the other hand, these Dutch actors work against one another.
- On the other hand, if Dutch the financial instruments, e.g. from FMO or RVO, use criteria of environmental sustainability, these instruments may motivate Dutch companies enterprises to invest in renewable energy.
- In another example, when instructions for EU policy making in the field of trade and agriculture do not take into account development policy and international climate policy, trade and agricultural policy (which are shaped by the EU in Brussels) may contain inconsistencies with development policy, including in the field of water, food security and climate change.

> **Assumption 1:** Where efforts by DG BEB supporting Dutch companies and foreign trade are aligned with IGG's efforts, and where policy priorities are clear, there is less risk of negative effects from poorly managed trade-off and more chance of synergies.
> Assumption 2: Where Dutch efforts to influence EU policy making - notably in the fields of trade and agriculture - are aligned with Dutch development policy and objectives, there is less risk of trade-offs and more chance of synergies between these policy areas.

If Dutch IGG development cooperation is aligned with developing countries' national plans and policies, as well as with the efforts of other international actors such as other donors and multilateral organisations, it increases change of lasting results.
- To illustrate issues around external coherence, we refer to a preparatory study on coherence in the IGG areas in Bangladesh commissioned by IOB (2020). This study suggested that external coherence with the government of Bangladesh was largely achieved and that the Dutch embassy played an active role in the various Local Consultative Groups (food security,

water) between government and donors. This improved coordination and the exchange of experiences between different actors working on the same objectives.

> **Assumption:** Where Dutch development cooperation is aligned with the recipient countries' plans as well as with other international actors' efforts (external coherence), they are more effective i.e. results are better, and chances increase that the direct project results contribute to national-level and lasting system change.

Finally, academic research as well as international agreements such as the SDGs and the Paris climate agreement provide direction for long-term sustainable development. This relates to coherence over-time (temporal coherence). Ideally, IGG's efforts and Dutch development cooperation more generally should be in line with those long-term strategies, to ensure that development is on the right track and that short-term projects do not exacerbate problems but instead contribute to their solution.

- For example, extracting fresh water for agricultural production, such as French beans grown in Africa for export to Europe, may lower the level of groundwater, decrease people's access to drinking and the availability of freshwater more generally, and may not increase local food availability.
- On the other hand, Dutch support to the development of the Bangladesh Delta Plan 2100, which was adopted by the Bangladesh government, has motivated several donors to fit their programmes in this long-term strategy, in which for example agricultural development takes climate change and long-term water availability into account (Brockhoff, 2021).

> **Assumption:** Where Dutch development cooperation and short-term programmes are in line with long-term strategies and agreements - elaborated by national authorities and international experts - it is more effective (temporal coherence). The contribution to system change – to the desired transition to climate resilient economies and green and inclusive societies – will be highest when the long-term sustainability is thus taken into account.

As hinted at above (2.5 and 3.1.1.), institutional processes and structures, i.e. governance, are an important precondition for policy coherence. Over the past few years, the Dutch action plans on policy coherence for development, the annual reports to parliament and the inter-ministerial network of focal points, have helped maintain attention to coherence in general and to the eight, later five, coherence priority areas identified in the action plans. Moreover, policy dialogue between Dutch policy makers (and embassy staff) with governments and other actors in recipient countries improve external coherence and coherence with long-term strategies.

> **Assumption:** In policy making, where processes for multi-stakeholder consultation and coordination, between different disciplines (food security, water, climate) and between different actors (Dutch, host government, other actors) are in place, policy coherence will be enhanced.

As explained before (2.6), Dutch, short-term interventions alone are likely to be insufficient to achieve transformational change (long-term and large-scale) at country level. However, a consistent and long-term commitment, combining policies for a common objective, and collaborating with other, more permanent actors in the country, increase synergies and the chances long-term and large-scale results. In other words: increased internal, external and temporal coherence will increase sustainable results in the field of food security, water and climate.

> **Assumption:** Better coherence, between different themes (food security, water, climate, and other policies), different actors (Dutch, host government, other actors), and with long-term strategies, will result in synergies and increase the chances for system change.

3.4   Stakeholder analysis

In this TOR, we will focus on the stakeholders that have an interest in this evaluation. For an analysis of the stakeholders involved in institutional processes and governance of coherence, we will do a separate stakeholder analysis in each case study country, later. Most stakeholders can be linked to the policies presented in Chapter 2, copied here (Figure 5). However, NGO's and knowledge institutes play also a role in the processes leading to coherence (providing knowledge, flagging incoherencies), while representatives of local beneficiaries play a role in assessing the relevance.

Figure 5. Stakeholders linked to different policies
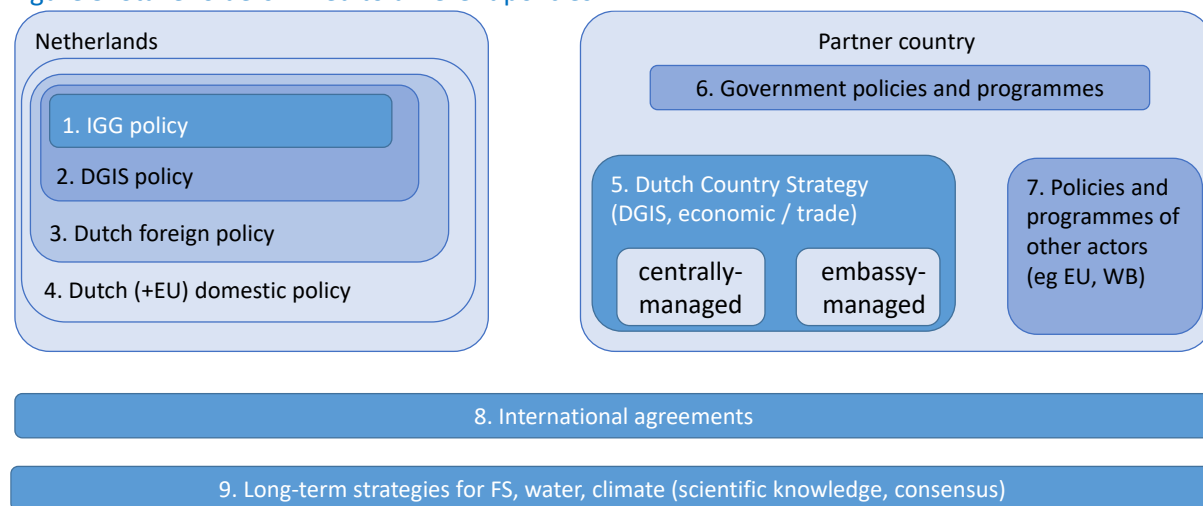
Within MFA, the actors with an interest in this evaluation are expected to be as follows.

- (1) The Inclusive Green Growth department at DGIS (IGG, responsible for article 2 expenditures) is interested in learning to what extent there is coherence among their policy areas (food, water and climate) and how to enhance it. Moreover, IGG is interested in learning whether there are other Dutch policies affecting the IGG objectives, that they are not yet aware of. Finally, IGG is interested in learning whether what they do, fits in long-term strategies based on international scientific consensus. IGG can use the (preliminary) results of this evaluation to inform the new Minister for Foreign Trade and Development Cooperation and consider possible changes in policies, programmes and processes, with a view to increasing the effectiveness and efficiency of the interventions under budget article 2.
- (2) BIS (DGIS Staff Bureau), which hosts the coherence focal point of the MFA. The minister and the focal point could benefit from recommendations on how to enhance the processes of coordination and promoting policy coherence.
- (2 and 3) Other departments that possibly affect and are affected by coherence for IGG objectives: DDE, DSO, DSH, and possibly DAF, DAO, as well as DIE/EX. They can benefit from recommendations for enhanced coherence among the MFA's policies and Dutch policies more generally.

- (2 and 3) DGBEB (foreign economic relations) / IMH, responsible for coordination Dutch policy position in the EU (in particular trade) and DIE/EX, responsible for EU coordination
- (5) Dutch embassies play an important role in steering towards coherence at country level. Embassies in selected partner countries could benefit from specific findings and recommendations on the processes leading to coherence, and the coordination between The Hague and embassies.

Outside the MFA, including in the EU:
- (4) Other Dutch ministries that possibly affect IGG objectives: EZK, LNV, I&W
- (4) Ministry of Finance, having an interest in this evaluation, and being part of the reference group
- (9 + processes) Knowledge institutes (CieMER, PBL, others), providing advice to MFA and embassies, with expertise around thematic coherence and long-term strategies.
- (5) FMO, RVO and other implementing agencies (for MFA, EZK, LNV, I&W).
- (9) NGOs and other organisations involved in policy coherence studies.
- (4, 7) EU departments that possibly affect IGG objectives (DG Trade, DG AGRO, DEVCO etc. to be determined)
- (7) Other EU member states.
- (7) Other donor agencies and international organisations, especially in the case study countries.

In the Netherlands:
- (9, processes, relevance) NGO's, politicians and lobbyists promoting specific interests and environmental, social or economic objectives (environmental and humanitarian CSO's, BothEnds, VNO-NCW, PvdD, GroenLinks).

In selected case study countries:
- (6) National government and related authorities (possibly local governments)
- (7) Other actors working on IGG themes
- (9) Independent experts (for critical reflection)
- Representatives of the final beneficiaries (CSOs, NGOs, farmer organisations, water use organisations, for relevance).

Note that a stakeholder analysis in case study countries will be a prerequisite for evaluating external coherence.

4 Evaluation objective and evaluation questions

4.1 Evaluation objective

As this is a Periodic Policy Report, the final result of a Strategic Evaluation Agenda theme, a major objective of this evaluation is to account for part of the ODA expenditure on food security, water and climate from the budget article BHOS-2, over the period 2016-2021. This study will assess the coherence and effectiveness of the Dutch policies and programmes in the field of development cooperation, with a focus on water, food security and climate, as well as the coherence between these policy areas.

Another objective of this evaluation is to develop recommendations to the Dutch government, MFA, DGIS and IGG, on how to improve coherence to increase the effectiveness and efficiency of the Dutch efforts in food security, water and climate in developing countries. The report will help policy makers to learn from the assessment and from the lessons identified.

4.2 Evaluation criteria

This Periodic Report will address all evaluation questions that the Order on Periodic Evaluation (RPE) prescribes. Besides a description of the policy, including a reconstructed theory of change, and the related expenditure, the key evaluation criteria of the RPE are (i) effectiveness and (ii) efficiency. This corresponds with two of the six OECD-DAC evaluation criteria: (1) relevance, (2) coherence, (3) effectiveness, (4) efficiency, (5) impact, and (6) sustainability[33].

In this evaluation, all six OECD evaluation criteria will be considered. The emphasis of this study is on coherence and effectiveness. Coherence also largely covers relevance (alignment with Dutch policy, host government policy, and interests of beneficiaries), which we both consider as conditions for effectiveness. The expected effects of coherence will be considered as well: the direct effects of coherence are increased effectiveness and efficiency, which ultimately could lead to system change, which covers sustainability and impact.

To assess efficiency, we anticipate comparing the costs of different policies, strategies or programmes that have an effect on the same policy objective. To what extent we will be able to do so depends on the availability of quantified data about effectiveness. Certain policies may have similar effects at lower costs than other policies. It is also possible that the most efficient option is to avoid (unintended) negative side effects of certain policies.

4.3 Evaluation questions

The main hypothesis is that more coherence leads to better results, which brings us to the following main evaluation questions and sub-questions. Where we indicate 'policy' we mean 'policy, strategy and implementation', which includes project activities.

1. What are the results of the Dutch policy, strategy and implementation in food security, water and climate (FS/W/C), in developing countries?
    a. What are the direct effects of Dutch FS/W/C policies on FS/W/C, including unexpected spill-over effects?

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[33] OECD 2019. Revised evaluation criteria.

      b. What are the indirect effects of Dutch non-FS/W/C policies on FS/W/C?

      c. What are the long-term results: are there indications of system change? (changes that are sustainable, scaled up or replicated, and resilient)

2. Which factors (processes and institutional organisation) affect coherence?
   a. What do these factors look like?
   b. How have these factors affected coherence?

3. How coherent are the Dutch policies, strategies, and activities with the national and international policy objectives on food security, water and climate?
   a. How internally coherent are Dutch policies, strategies and activities with FS/W/C objectives?
   b. How externally coherent are Dutch policies with policies of national government and other actors in developing countries?
   c. How temporally coherent are Dutch policies with long-term strategies for FS/W/C?
   d. How spatially coherent are local interventions with national policies and programmes?

4. How does coherence, or the lack of coherence, affect results over time?
   a. What is the influence of coherence on the short-term results?
   b. What can be said about the influence of coherence efforts on the long-term results?
   c. What is the effect of coherence on efficiency and cost-effectiveness?

These evaluation questions are further elaborated into an evaluation matrix, with more detailed sub-questions / result areas, judgment criteria, sources, and Work Packages (Annex 4). The evaluation questions are adapted for each case study separately, taking into account the country context and the selected activities. Answers to these evaluation questions will be used to draw lessons and develop recommendations for future policies.

5 Focus and scope of this study

5.1 Evaluation period: 2016-2022

The evaluation period starts in 2016, because the Paris Agreement on climate change was adopted in late 2015, as well as the SDGs. Some considerations:

- A new cabinet has taken office in 2021. Preliminary findings will be shared with IGG so it can use this to advise the new minister for new policies.
- In Bangladesh, the Dutch embassy is currently developing a long-term strategy on integrated water management. They are interested in this coherence study, and in a possible follow-up of the IOB evaluation on Blue Gold, a 'water for agriculture' programme with interesting coherence issues, preferably in 2021 or 2022. In addition, the embassy is conducting a portfolio review as well as a study on opportunities in the food security and nutrition sector, with a view to the phasing out of the (delegated) ODA programme for that sector.
- The current multi-annual country strategies will expire end 2022. New multi-annual country strategies will be elaborated, for which our study could provide inputs if the timing is right. This exercise has started in the second half of 2021.

Studying interventions from 2021 at the latest will allow for the study to make use of the proper data because administrative processes, notably ODA reporting, take time; i.e. we will be able to use a detailed and validated database of activities. If the study is delayed, we will update it with the latest available data.

5.2 Policies, strategies and implementation

Overview budget and portfolio BHOS2. Because this periodic review focuses on food security, water and climate, we will include an overview and analysis of the expenditure and activities under development cooperation budget article 2 (BHOS2). However, we will be very selective in assessing the effectiveness and coherence of these activities, in a selection of case study countries and activities. The overview will shows to what extent our selected case study countries and activities are representative or illustrative for the overall portfolio.

Policies considered for internal coherence: all Dutch (and EU) polices that have a (substantial) effect on food security, water and climate in developing countries. A first screening in a preparatory literature study by ECDPM will guide us in selecting the most relevant policies with likely side effects on food security, water or climate (policy coherence hotspots), that we will consider when evaluating internal coherence of Dutch policy. It could show both positive or negative side effects of policy coherence or incoherence, as well as missed opportunities from a lack of policy implementation.

EU policies. We will consider EU policies for agriculture and trade (policy areas that the Netherlands delegated to the EU) to assess internal coherence with other Dutch policies, if these have come up as 'policy coherence hotspots' in the preparatory study (by ECDPM). We will not study the influence that the Netherlands have had on EU policies – which would be a study in itself. In case study countries, we may contact the EU as other implementing organisation to assess external coherence between the EU and Dutch policies, and as an information source to reflect on the Dutch policy and programme.

Dutch diplomatic efforts. Diplomatic efforts (e.g. economic diplomacy, climate diplomacy) will be considered in case study countries where they come up as having influenced policy coherence.

Dutch Policy Coherence Action Plan (2016, 2018). This action plan focuses on avoiding negative effects of a few Dutch policy areas on developing countries, which is part of internal coherence. We will not evaluate this action plan completely. We will look at those parts of the action plan that the preparatory study (by ECDPM) has identified as important in affecting food security, water or climate. This will be a smaller part of the IOB evaluation.

Hierarchy of objectives:
When assessing coherence, comparing two policies strategies or objectives, there is a certain hierarchy: we will assess the fit of one to another (Figure 6).

- Leading are those SDGs and SDG targets that have been adopted by the Dutch IGG policy, on food security (SDG 2), water (SDG 6, 14), and energy and climate (SDG 7, 13, see Chapter 3.2). This means that when we assess a national agricultural policy, we will assess its contribution to the SDG2 and its targets.
- Secondly, we will consider available long-term strategies on how to achieve those SDG targets / IGG objectives in the specific case study countries, as long as these strategies are agreed upon and based on a (relative) consensus of scientific knowledge. This means that we will assess and select only long-term strategies that contribute to the relevant SDGs and SDG targets. We expect a good match between long-term strategies and SDGs (green arrow). However, there may be different long-term strategies, from different organisations or for different themes, that don't easily match.
- Thirdly, we will consider the policies and strategies of the national government, the Dutch government, and other actors active in the case study country. We expect that the *objectives* of the National or Dutch government policies will be similar to the SDGs and SDG targets (green arrows), but we expect the *strategies* to achieve these objectives to differ substantially (yellow arrows). This means that if we assess a national agricultural policy, or the Dutch food security policy, against the SDGs, we may find a good match: they both may aim for increased agricultural production. However, perhaps the Dutch strategy to achieve those aims emphasises private sector development and export commodities, while the national agricultural policy emphasises staple food self-sufficiency. In both cases, we will first critically reflect on the national government strategy and the Dutch strategy by comparing them with long-term strategies that are supported by scientific evidence and built on sufficient consensus. Then we will compare the alignment of Dutch policy and strategy with the national government policy and strategy (yellow arrow).
- Lastly, we will study the Dutch (project) activities. We will assess their coherence by comparing those with the above levels of objectives (yellow arrows). Project activities reflect a certain strategy, and have results that are often less ambitious (and more realistic in the short-term) than the SDG targets. This means that if we assess a project activity, we may not be able to compare its results with SDG targets, and will have to compare the results with an intermediate outcome of a long-term strategy, or an intermediate outcome of the Dutch strategy.

Figure 6. Hierarchy of objectives and strategies. 1: SDG targets; 2: long-term strategies; 3: national and Dutch policies; 4: project activities.
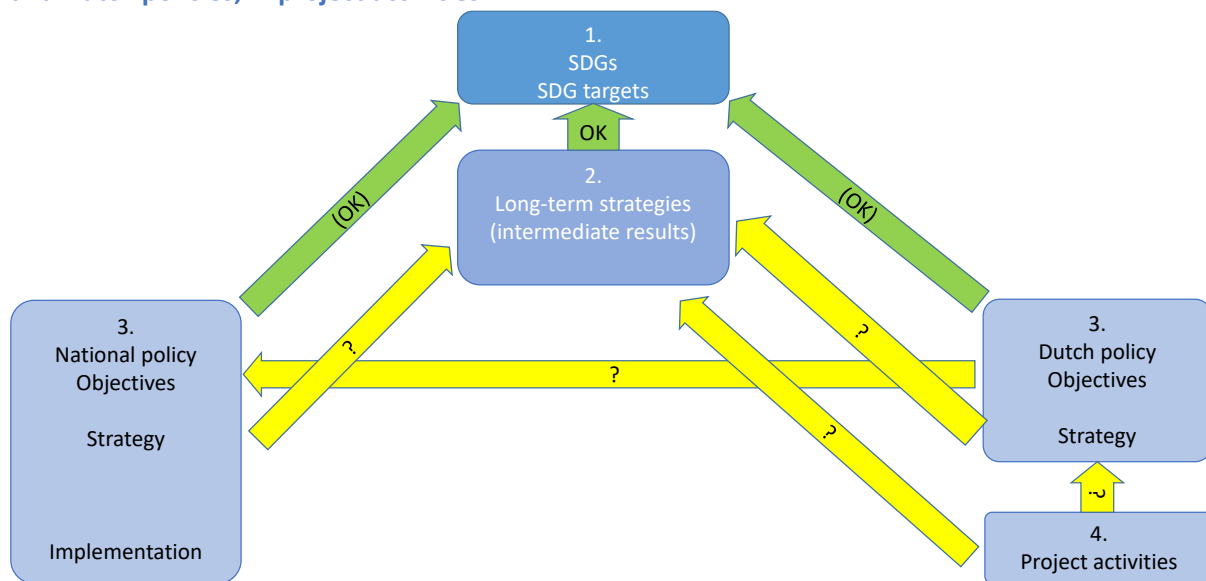
5.3   Effects

Effects experienced in developing countries: Where many other coherence evaluations focused on the processes and institutional organisation in developed countries (donor countries) that lead to policy coherence, this study emphasises the effects of policy coherence in developing countries. We will not look at the effects in the Netherlands.

Some of the effects of the incoherence of Dutch policies may not be found in case study countries, but can still have an effect on developing countries. For example Dutch import from developing countries resulting in deforestation outside our case study countries, or subsidies or tax exemptions for fossil fuel use in the Netherlands that contribute to climate change globally, and affect development countries disproportionally hard. We may opt for a limited literature review of such effects that are not found in our case study countries, of important incoherent Dutch policies found in the ECDPM study on policy coherence hotpots.

Effects of Dutch policies: Food security, water management and climate action (including renewable energy, natural resource management) objectives, which fall under BHOS budget article2.
*   For the development policies in the fields of food security, water and climate change (BHOS-2) we will mainly look at effects on food security, water and climate, plus the effects on gender, social inclusion and poverty reduction. However, we will keep an eye open for important unintended effects.
*   For other policies, we will only look at the (side) effects on food security, water and climate change. We will not look for other effects (to avoid too big a scope).

Selection of case study countries and activities
Limiting the case studies to a few (three) case study countries, and within each country, to a limited number of activities, makes the amount of work feasible and the analysis of coherence less complex. Country and activity selection is explained in Chapter 6 and Annex 5.

6   Methodology overview

The evaluation questions (Ch 4) are further developed in an evaluation matrix (Annex 4), with more detailed questions, result areas, judgement criteria, information sources, and work packages. Questions and judgment criteria will be adapted for each case study country.

The main characteristics of the methodology are the use of theory-based evaluation methodologies, and a case study approach with selected countries and selected activities. Under each of the Work Packages, more detail is presented about the methodologies.

The detailed methodology, described in nine Work Packages, is presented in Annex 5 (15 pages). A brief overview of these nine Work Packages is presented below.

1.   Inventory of policies

a.   Dutch policies
IOB will make an inventory of Dutch policies on food security, water and climate (FS/W/C), and will make use a d preparatory study to identify the most important other Dutch polices that affect FS/W/C in developing countries. Moreover, IOB will look into policies and processes ion policy coherence.

b.   Dutch country-specific policies and strategies
For the three case study countries, we will analyse the Dutch Multi Annual Country Strategies that the embassy has developed.

c.   Policies of national government and other actors
IOB will at least consider the most important national policies in the field of FS/W/C. In case other actors play an important role in these fields, those policies and strategies will also be consulted.

2.   Preparatory studies

a.   Literature review of policy coherence hotspots (global)
IOB commissioned ECDPM to do a literature review of the various policies from developed countries and its intended and unintended effects on FS/W/C, ranking the most important ones. This will facilitate and delimit our search through other Dutch policies.

b.   Expert meetings on policy coherence hotspots
For each case study country, IOB will organise a (digital) expert meeting, with experts from the Netherlands and from the case study country, from government, NGOs, knowledge institutes and private sector, to alert IOB on the most important policy coherence issues in that country.

c.   Inventory of long-term strategies
IOB commissioned ECDPM to do a literature review of long-term strategies (>10 years), which are based on scientific insight and a certain level of consensus. They serve as reference to judge the temporal coherence of Dutch policy, strategy, and implementation.

d.   Perception of NGOs and knowledge institutes on Dutch policy coherence.

Interviews and discussions with Dutch NGOs and knowledge institutes will alert IOB on important policy coherence issues. Issues that are not found in case study countries, can be addressed in a limited literature review later on.

3. Inventory of Dutch funded activities

a. Inventory of activities worldwide

The Dutch internal administration system (MIBZ) has information of all activities and expenditure, by policy themes and sub-theme, by country, and by year. An overview will be made of all activities of Budget Article 2 (FS/W/C), (including a subset that combine different FS/W/C objectives). A first overview helps to select case study countries.

b. Inventory of activities in case study countries

After selecting case study countries, IOB will make a more detailed overview of activities, and also look for activities (including diplomatic efforts) by other Dutch ministries or agencies.

4. Selection of case study countries and activities

a. Selection of countries

A selection of case study countries has been made, based on clear criteria. This led to the selection of Bangladesh, Mozambique, and an option for Ethiopia or Rwanda as third country.

b. Selection of activities

First, for each case study country, a small set of activities was selected to visit and discuss in the field. A larger set of activities will be selected for a review available evaluations.

5. Data collection per case study country

a. Perception on and assessment of Dutch policy, process and coherence

IOB will hold general discussions about the processes leading to coherence, the perceived coherence, and the perceived effects of coherence (or incoherence).

b. Activities sample 1: superficial (documents, interviews NL)

A larger sample (15-25 activities per case study country) is used for a synthesis of findings from available evaluations, main about the direct, short term results. (desk study)

c. Activities sample 2: thorough (documents, analyses, interviews NL and case study country)

A smaller sample (5-10 activities per case study country) is used to visit and discuss in the field. Hre there is more room to discuss long-term results, the various forms of coherence, and the processes contributing to coherence.

6. Judgment of processes, coherence and effects

Some points of attention and a general judgement criteria matrix are presented. During the field visits, these judgement criteria and the IOB final judgement of coherence are adjusted and refined. Note that a judgment can refer to policy makers in The Hague, MFA staff at embassies, agencies implementing projects, or project staff.

7. Analyses of causality between process, coherence and effects

After having established the processes leading to coherence, the actual coherence, and the effects of coherence, IOB will test the causality between process and coherence, and between coherence and results, using qualitative evaluation methods (process tracing and qualitative comparative analysis)

8. Discussion and validation workshops

a. Workshop on draft findings case study country
The internal draft country reports will be discussed with the embassy and with IGG.

b. Workshop on draft findings whole study
The draft IOB report will be thoroughly discussed in the Netherlands.

9. Writing evaluation report and quality control
The IOB final report will make use of the preparatory studies, the internal country reports, and additional desk study. It will be discussed with IOB peers and an external reference group.

7 Limitations and risks

The causal relation between coherence and results

The main challenge of this evaluation is whether we can establish a plausible relation between the coherence of Dutch activities, and the results of these activities. Do more coherent activities lead to better results? We anticipate doing a light form of process tracing, which depends of the availability of 'evidence', hopefully beyond the perception of the involved stakeholders, and the convincingness of this evidence. We also anticipate comparing cases with low and high levels of coherence, hoping that this difference is also visible in the results, but we are not yet sure whether such a comparison will show convincing results.

External validity of case study results

Because of our focus on the effects in only three case study countries, with a selection of activities, we will not be able to make a judgement about the effectiveness and efficiency of the BHOS-2 portfolio as a whole, which consists of over 1,000 activities (2016-2021). However, we expect that lessons drawn about how coherence affects results, will be valid also in other contexts. We can increase the external validity by increasing the sample of evaluations to consider. Depending on the availability and quality of evaluation reports in the case study countries, we can adjust these three samples:

- A small sample of in-depth project evaluations (including visits and interviews) in the three case study countries; these can be followed up by online interviews;
- A larger sample of project evaluations (desk study only) in the three case study countries;
- An additional sample of project evaluations of larger programmes operating outside the three case study countries, e.g. multi-country programmes, implemented by multilateral organisations, to which the Netherlands contribute.

Limited available information

For the assessment of direct results (effectiveness) we will rely on available project reports and evaluations of interventions in case study countries. We don't have an overview yet of the availability and quality of these reports.

Two literature studies will help us select the most relevant Dutch policies, and provide long-term strategies relevant to assess coherence in the case study countries. We cannot be sure in advance whether the two literature reviews will provide sufficient information. There is an option to commission additional (literature) studies.

Limited view on sustainability

For the assessment of the contribution to system change, the same challenges apply as for assessing sustainability. Ideally we will need to revisit projects that ended several years ago, which may be difficult to find (project staff may have gone; beneficiaries and local institutions may have forgotten the project).

It is also possible that the direct (short-term, localised) results are better if projects work in isolation, because they are not delayed by having to collaborate with other stakeholders. Although we expect that in the long-term, externally coherent projects (e.g. projects that work with several government organisations) lead to better results, in the sense of their contribution to system change, if the latter cannot be identified and proven, we risk drawing the wrong conclusions.

Results affected by other factors

One of the risks is that the effects of coherence on the results cannot be found, for instance because other factors play a much larger role and the effects of coherence cannot be isolated from those other factors (results cannot be attributed to the added value of coherence). Possibilities to make a comparison between the results of more coherent and results of less coherent activities may be limited. There will most probably not be a counterfactual (a case where the intervention was the same except for a lack of coherence).

Capturing the view of final beneficiaries

A complication is that in assessing external coherence we may be biased towards national government policies, even if these are not in line with the needs and priorities of the local population, who are the final beneficiaries. Policy incoherencies are partly the result of different interests. The political economy in recipient countries (urban versus rural; poor versus elite), and different interests in the Netherlands and the EU (domestic interest versus international solidarity) will make a perfectly coherent policy probably impossible. However, this study can make these different interests more explicit, starting with a stakeholder analysis per policy coherence hotspot, per country, followed by discussions with different stakeholders, including different groups of beneficiaries. Finally, we can identify recommendations for Dutch policy makers, strategy developers, and project developers, on how different interests are best considered, given political priorities, to optimise coherence, and minimise negative effects.

A challenge is to capture the views of the final beneficiaries. We will overcome this blind spot by adding a 'relevance' question, following a stakeholder analysis in the country, and by assessing how these stakeholders have been involved and/or how their interests have been represented, in the policy dialogue process. Indirectly, the relevance for the final beneficiaries is also covered in the question of internal coherence of Dutch efforts with the Dutch development cooperation objectives of poverty reduction and gender, reducing vulnerabilities and promoting inclusiveness, aiming at reaching marginalised groups in the population. For both questions, interviews or focus group discussions with final beneficiaries or representatives will be required.

Quality of literature reviews

It is not yest clear whether the literature review on long-term strategies will be of sufficient quality to be published as a separate publication, or that it will only serve as input for the IOB study.

Dependency of studies and delays

There are some dependencies between two policy reviews, because the country case studies and the study on climate adaptation are linked; results will be used in both policy reviews. This has the advantage that the same review of reports and the same country visit will serve more than one purpose. However, it also has the risk that a delay in one study or country visit causes delays in another study or policy review.

If the first two case studies are much delayed, we may have to decide not to visit a third case study country, in order to have the IOB Policy Review ready before the summer of 2023. This will reduce the thematic coverage and relevance of the policy review.

8 Planning

8.1 Planning

Country cases are indicated as BA, MZ, C3.

WP	Who*	2021			2022			Q2			Q3			Q4			2023	
		okt	nov	dec	jan	feb	mrt	apr	may	jun	jul	aug	sep	oct	nov	dec	Q1	Q2
1. Inventory of policies																		
a. Dutch policies	M																	
b. Dutch country-specific policies and strategies	M	BA	BA								MZ				C3			
c. Policies of national government and other actors	M	BA	BA								MZ				C3			
2. Preparatory studies																		
a. Literature review of policy coherence hotspots (global)	P		x	x	x	x	x	x	x	x								
b. Expert meeting on policy coherence hotspots (case study country)	F		BA							MZ				C3				
c. Inventory of long-term strategies	M		BA	x	x	x	x	x	x	x	x							
d. Perception of NGOs and knowledge institutes on Dutch policy coherence.	M																	x
3. Inventory of Dutch funded activities																		
a. Inventory of activities world wide	P	x			x													x
b. Inventory of activities in case study countries	P		BA					MZ							C3			
4. Selection of case study countries and activities																		
a. Selection of countries (MZ, C3)	all							MZ							C3			
b. Selection of activities	P	BA	BA					MZ	MZ						C3			
5. Data collection per case study country																		
a. Perception on Dutch policy, process and coherence				BA					MZ	MZ	MZ				C3		C3	
b. Activities sample 1: superficial (docs, interviews NL)											BA	MZ				C3	C3	
c. Activities sample 2: thorough (docs, analyses, interviews NL and case study country)				BA	BA				MZ	MZ	MZ				C3			
6. Judgment								BA					MZ					
7. Analyses of causality											BA	MZ	MZ		C3		C3	
8. Discussion and validation workshops																		
a. Workshop on draft findings case study country							BA			BA			MZ	MZ			C3	
b. Workshop on draft findings whole study																		x
9. Writing evaluation report and quality control (including reference group Bangladesh report)											BA							x

* Tasks may be divided differently per case study country.

8.2   Products

- Literature review of relevant Dutch and EU policies and coherence hot spots (ECDPM, 2022). Commissioned to an external consultant/agency.
- Literature review long-term strategies for food security, water and climate (Still to be decided whether it will be published; ECDPM, 2022).
- Three country reports (internal reports, 2022).
- IOB Policy Review, integrating findings from the above mentioned studies: Policy coherence and the effects on food security, water and climate in developing countries (IOB, 2023).

9   Organisation

Note that two policy reviews are done simultaneously by the same team, but with different roles for different team members:

- Coherence of Dutch policy and the effects on food security water and climate in developing countries.
- Dutch climate policy for development.

9.1   Research team

Ferko Bodnar will be the team leader, coordinating the work. Marit van Zomeren and Pim de Beer will contribute, with Marit focusing on policy matters and editing the reports and being involved in literature study nr. 2, and Pim focusing on data analysis and involved in literature study nr. 1. Besides, Joep Schenk will be involved in the Bangladesh case study and a follow-up survey of the 'Blue Gold' project, which IOB studied in 2014 and 2016.

Each will lead on the analysis of policies and activities in one sector:

- Ferko Bodnar – lead and food security
- Pim de Beer – water
- Marit van Zomeren – climate and energy
- Joep Schenk – Bangladesh Case study, impact study
- Jelmer Kamstra – working on the separate but thematically related climate adaptation study.
- Martine de Zoeten, intern (March-September 2022) doing fieldwork in Mozambique, to be supervised by Ferko

A detailed planning (time per person and per month) will be elaborated in an internal IOB Evaluation Plan.

9.2   Internal peer review

The internal peer review team will consist of IOB colleagues Rob van Poelje (cluster coordinator and chair of the peer review group), Rafaela Feddes or Bas Limonard, and Martine de Groot. This group will be informed and consulted regularly; ideally every six weeks.

9.3   Reference group

External members:
- Rob van den Berg, independent. He will be the member paying more attention to methods and evaluation quality.
- Gerardo van Halsema, WUR
- Paul Lucas, PBL.

Internal members:
- Marcel Beukeboom, PV Rome
- Jeroen Rijniers, IGG
- Carel de Groot, IGG
- Marie Christine Siemerink, BIS.
- Ralph van de Beek, IMH

- Jaco Mebius / , FEZ
- Carolien Klein Haarhuis / Jurian van der Bijl, IRF (M o Finance)

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Annex 1. Background: international policy on coherence

Historically, 'policy coherence for development' emerged on the international agenda in the 1990s, when the effect of non-aid policies on developing countries became clear. Donor countries started to realise that their non-aid policies were not coherent with their aid policies: trade and agricultural policies and practices – such as subsidies to European farmers – hurt the interests of developing countries, and trade negotiations in the WTO/GATT did not promote developing countries' interests sufficiently. NGO's in particular asked attention for the interests of developing countries and alignment of policies and international cooperation with international development goals. It was initially seen as a North-South issue, because policies and actions from the global North would have economic and social effects on poor countries elsewhere.

Policy coherence for development was gradually integrated into international and European policy documents. It was first introduced in EU law by the Treaty of Maastricht (1992, aiming for coherence, cooperation and complementarity), and reinforced by the Treaty of Lisbon (2009). In 2009, the EU identified five priority areas for policy coherence for development: trade and finance, climate change, food security, migration and security. The concept was reiterated in the new European Consensus on Development (2017), which stated that the EU would "apply the principle of PCD and […] take into account the objectives of development cooperation in […] external and internal policies […]".

The 'aid effectiveness' agenda also included considerations on coherence, in particular through the 2011 Busan Declaration, which noted the importance of coherence of all public policies in the context of international investment and trade opportunities, as well as coherence in the context of multilateral organisations and in the field of climate change finance.[34] Moreover, the Paris, Accra and Busan declarations on aid and development effectiveness highlighted the principle of country ownership. This principle implies that alignment with policies, strategies and objectives of developing countries should be a primary consideration when striving for coherence in development cooperation.

In late 2005, Aid for Trade was introduced to help developing countries overcome obstacles to engaging in international trade led by the WTO and OECD DAC.

Following the 2030 Agenda for development, considerations of sustainability and 'the planet', as well as the effects of current policies on future generations, came to the fore. These were integrated into international and EU policies, reflecting the multidimensionality of sustainable development and the SDGs: social, economic and environmental. Policy coherence for development (PCD) was henceforward called policy coherence for sustainable development (PCSD), as reflected in SDG

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[34] The Paris Declaration of 2009 established five principles of aid effectiveness: ownership, harmonisation, alignment, results and mutual accountability. Paris Declaration and Accra Agenda for Action - OECD. For more information, see also The Busan Partnership for Effective Development Co-operation - OECD.

target 17.14.[35],[36]With a view to making development cooperation by the EC and the member states more complementary, the EU also started to promote information sharing, cooperation and even division of labour and joint programming in developing countries, from the early 2000s.

Over the past few years, the OECD and international experts have emphasised the process and governance side of policy coherence for sustainable development. Around 2018, the OECD moved its PCD/PCSD unit from the department working on development cooperation - DCD, supporting the DAC - to its Governance department. The OECD identified eight building blocks for PCSD.[37] It has been emphasising the need for dedicated structures and processes - and especially the need to put coordination at the heart of government, preferably at the Prime Minister's office or a similar Head of cabinet. The Netherlands and other countries (as well as the European Commission) have instead stressed the need to keep a keen eye on the needs of developing countries, using the term policy coherence *for development* to stress this priority. In December 2019, the OECD Council adopted a Recommendation on policy coherence for sustainable development, prepared by the departments dealing with Governance and Development Cooperation.[38]

The Netherlands has promoted policy coherence for development from an early stage and has been an active participant in international discussions around the topic.

Various studies have shown interactions between the SDGs, which show that win-win solutions are available if interventions are cleverly designed: working on one SDG, e.g. water management, may also contribute other SDGs, e.g. food security and climate change adaptation[39].

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[35] The 2016 letter to parliament and action plan states that this target implies that a balance among economical, social, ecological and governance aspects of sustainable development must be sought. SDG target 17.4 reads: "Enhance policy coherence for sustainable development". The relevant indicator is "number of countries with mechanisms in place to enhance policy coherence of sustainable development", but there is no baseline and it is not clear what policies are within scope. Also, it is not clear whether policy coherence should relate only to aid and cooperation or should have a much broader range, including all policies that might impact on sustainable development. Source: UNCTAD
https://stats.unctad.org/Dgff2016/partnership/goal17/target_17_14.html

[36] Policy Coherence for Sustainable Development (PCSD) is described in the OECD's Recommendation on the topic as "an approach to integrate the dimensions of sustainable development throughout domestic and international policy-making. Its objectives in the context of the 2030 Agenda are to advance the integrated implementation of the 2030 Agenda by: (i) Fostering synergies and maximising benefits across economic, social and environmental policy areas; (ii) Balancing domestic policy objectives with internationally recognised sustainable development goals; and (iii) Addressing the transboundary and long-term impacts of policies, including those likely to affect developing countries". OECD (2019).
[37] See OECD website on PCSD for more information, as well as the 2018 report on the building blocks: OECD iLibrary | Eight building blocks for coherent implementation of the SDGs (oecd-ilibrary.org)
[38] https://www.oecd.org/gov/pcsd/oecd-recommendation-on-policy-coherence-for-sustainable-development.htm
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Annex 2. Two themes of the Strategic Evaluation Agenda

Two SEA themes (concept May 2021) as will be published, in Dutch language, in the Explanatory Notes (Memorie van Toelichting) with the Dutch government budget (Rijksbegroting) for 2022.

	Sub-thema	Type onderzoek	Jaar van afronding	Toelichting doel onderzoek	Begrotings-artikel
1. Coherentie van het Nederlands beleid en effecten op voedselzekerheid, water en klimaat in ontwikkelings-landen	Alle sub-thema's	Periodieke rapportage / beleidsdoorlichting	2023	Periodieke rapportage van het beleid op basis van onderliggende studies	Doelstellingen van BHOS-2*. Beleid breder.
	Interne coherentie NL en EU beleid	Literatuurstudie	2022	Literatuurstudie mogelijke incoherenties in (NL, EU) beleid voor BHOS-2 doelstellingen	Breed NL beleid, effecten op BHOS2 doelen
	Inventarisatie lange termijn strategieën	Literatuurstudie	2022	Deskstudie van strategieën in case studie landen	BHOS-2 + int. klimaatbeleid
2. Nederlands klimaatbeleid ten behoeve van ontwikkelings-landen	Alle sub-thema's	Periodieke rapportage / beleidsdoorlichting	2023	Periodieke rapportage van het Nederlands klimaatbeleid tbv ontwikkelingslanden op basis van onderliggende studies	BHOS 2 plus deel EZK**
	Klimaatdiplomatie	Analyse van de effectiviteit van de Nederlandse klimaatdiplomatie, vooral de Klimaatcampagne en NDC partnership	2022	Aanbevelingen voor toekomstige diplomatieke inspanningen, op gebied van klimaat en daar buiten	BHOS-2, plus deel EZK
doelen	Klimaatadaptatie	Literatuurstudie en synthese van evaluaties naar effectiviteit van adaptatie in waterbeheer en voedselzekerheid	2023	Aanbevelingen voor toekomstige klimaatadaptatie activiteiten	Vooral BHOS-2

* BHOS-2: Begrotingsartikel buitenlandse handel en ontwikkelingssamenwerking 2: voedselzekerheid, water en klimaat. ** EZK: Economische Zaken en Klimaat.

Annex 3. The priority areas in the Dutch Policy Coherence Action Plan of 2016 and 2018.

The eight priority areas for action in the Policy Coherence Action Plan of 2016
1) Sustainable international trade including development-friendly **free trade agreements** (with a positive impact on developing countries), as well as

(2) Development-friendly **investment protection agreements** (with a positive impact on developing countries, while preventing restrictions to policy space and creating a fair and balanced system);

(3) Access to medicine for poor countries, especially LDCs, and groups (enhancing access, availability and affordability of medicine; by advocating against TRIPS+ clauses, promoting public interests like health and food security);

(4) **Combatting tax evasion and increasing domestic resource mobilisation** (better policies and enhanced capacity in developing countries, especially in LICs and focus countries);

(5) Promoting **sustainable value chains** (more sustainable production in developing countries by promoting decent work/labour conditions in developing countries and a level playing field for European companies; promoting sustainable consumption in the Netherlands and especially responsible business conduct including due diligence by Dutch companies;);

(6) Reducing the costs of remittances (with a view to reducing inequalities);

(7) **Combatting climate change** (implementing the Paris climate agreement for the benefit of the poorest countries and groups, with a balance in adaptation and mitigation action, transparent and predictable finance and a focus on women and the poorest people; promoting low-carbon and climate-resilient growth in developing countries without negative impact on their food production, access to water, forests and biodiversity); and

(8) Promoting food security (food security and nutrition, at global and local level; climate and agro-ecological policies should contribute to this; as well as trade policy, strengthening developing countries' resilience and capacity;).

Printed in bold are the topics that are selected in the revised action plan of 2018, besides the 2016 plan. The bracketed objectives are specified primarily in the annexes to the 2016 and 2018 plans.

Separate documents:
- ToR Literature review policy coherence hotspots
- ToR Literature review long-term strategies

Annex 4. Evaluation Matrix

Evaluation questions	Sub-questions, Result areas, indicators	Judgment criteria, reference values[40]	Source	Work package
1. What are the results of Dutch policy, including strategy and implementation, in food security, water and climate (FS/W/C), in developing countries?				
1a. What are the direct effects of Dutch FS/W/C policies on FS/W/C, including unexpected spill-over effects?	(varies per activity; outcomes, link to SDGs) Are planned results achieved? (outcome, impact)	a) Compare FS/W/K results with plan only. b) Look at (unplanned) spill-over effects between FS/W/K. For FS/W/K act: also look at effects on gender equality and poverty reduction.	Project plan Project end-report + evaluation. (Interviews, observations.)	Sample 1 (superficial) (WP5b) Sample 2 (in depth) (WP5c) Judgment (WP6)
1b. What are the indirect effects of other policies on FS/W/C?	Do policies and activities working on other objectives have (unintended) positive or negative effects on FS/W/K?	b) Look at unplanned (spill-over) effects on other (FS/W/K) themes. (and if/how these are mitigated/exploited)	(Project plan) Project end-report + evaluation. Interviews, observations.	Sample 1 (WP5b) Sample 2 (WP5c) Judgment (WP6)
1c. What are the long-term results: are there indications of system change?	Are there indications of a contribution to system change, in particular: (1) continuation after project ends; (2) scaling up by project stakeholders or others?	a) ambitions in project plan: Minimum: continuation of positive results after project ends; exit strategy b) continuation, replication and adoption by other, more permanent organisations; (sub)system-wide results	Evaluations. Interviews, Field visit. --> activities that have ended. --> improved legislation as a result of ….	Sample 1 (WP5b) Sample 2 (WP5c) Judgment (WP6)
2. Which factors (processes, institutional organisation) affect coherence?				
2.a. What do these factors look like?				
o by whom within the ministries (NL, embassies); what processes	Who are leading the process for coherence in new policies and activities? What does the process look like? Who are involved and	(a: policy ambitions about processes?) (b: long list of potential people that could be involved)	Interviews. NL with: MFA (BIS, regional dpt., IGG; others); other Dutch ministries. Can we ask	Interviews NL (WP1a) Interviews embassy (WP5a) Sample 2 (WP5c) Judgement (WP6)

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[40] Judgment criteria: a) explicit ambitions as documented in policy, strategy, or project document; b) beyond explicit ambitions, as considered good practice.

	consulted (within ministries)? How do Ministry staff appreciate consultation on coherence?		policy makers for IAK (SDG and gender check)? MLS Interviews in country, following activities.	
o Process: stakeholder participation, balancing interests	Is a stakeholder analysis done? In NL and in country? Have all stakeholders been consulted? In case of diverging interests, how are these balanced?	a) inclusive, gender. External coherence: host government; b) specific groups,	Perception by stakeholders and civil society.	(see above) + NL: NGO's. (WP2d) In country (sample 2) Int, Local NGOs, CSO's (WP6ac) Judgment (WP6)
o Process: science based	Is NL and int. knowledge used / local knowledge institutes involved? How do scientists appreciate use of science, and involvement of scientists?	(a: policy ambitions?)	Reference in policies. Perception scientists.	(see above) + NL: knowledge institutes. (WP2d) Sample 2 (+ knowledge institutes. (WP5a,c) Judgment (WP6)
2a. How have these factors affected coherence?	Within case: plausible relation process - coherence?	a) mentioned in project documents? b) Int. lit. e.g. OECD DAC policy coherence guidelines.	Judgement on process. Level of coherence. Test theory /process.	Sample 1 (simple) Sample 2 Contribution analysis / process tracing (WP7b)
	Between cases: better process, more coherence?	(no reference values?)	Judgement on process. Level of coherence. Compare cases.	Sample 1 (simple) Comparing cases, Sample 2: qualitative comparative analysis (WP7)
3. 3. How coherent are the Dutch policies, strategies, and activities with the national and international policy objectives on food security, water and climate?				
3a. How internally coherent are Dutch policies, strategies and activities with FS/W/C objectives?				
o FS-W-K (synergy?)	Does one theme take into account other themes?	a) NL policy ambitions. b) International ambitions / strategies.	IGG policies; MASP, MACP	Inventory NL policies. (WP1a, b)

	(policy level, portfolio level, country strategy level, activity level)	(1) Do no harm. (2) Do good.	project docs (bemo).	Sample 1 (WP5b) Sample 2 (WP5c) Judgment (WP6)
o FS/W/K versus gender and inclusiveness	Do FS, W and K activities have ambitions on gender or inclusiveness? (and vice versa?)	a) NL ambitions only. Do good.	IGG policies; MLS; FS/W/K activities	Inventory NL policies. (WP1a, b) Sample 1 (WP5b) Sample 2 (WP5c) Judgment (WP6)
o Effects other Dutch policy on FS/W/K	Do other Dutch policies (selected hotspots) anticipate positive or negative effects on F/W/K?	a) NL ambitions on policy coherence b) broader, policy coherence hotspots from lit review. (1) Do no harm. (2) Do good.	Other Dutch policies, PC action plan, (selected hotspots). Check IAK/SDG +gender toets.	Policy coherence hotspots. (WP2a,b) Inventory Dutch 'other' policies. (WP1a) Judgment (WP6)
o Consistency Dutch policy over time?	How many years are the same objectives pursued by policy and implementation, and how predictable are policies and funding?	[Does NL have ambitions about continuity of policy, predictability of funding?]	Previous policies, MACS, MASP. Project expenditure by objective. MFA Admin info (MIBZ) Perception others (govt, NGO's, knowledge institutes)	NL policies (WP1a, b) Sample 1 and 2 (WP5b,c) Perceptions (WP5a)
3b. How externally coherent are Dutch policies with policies of national government and other actors in developing countries?				
o NL – Host govt policy	To what extent is the Dutch policy aligned with host country policy?	[distinction a and b?] Compare NL policy (IGG, MLS, activities) with host country policy. 0) counterproductive 1) not against 2) partial overlap 3) NL fits in x) independent implementation y) close collaboration	NL policies. Host country policies. Host country govt. perception. Embassy perception.	NL policies (WP1a,b) Inventory host country policies; (WP1c) Interviews host govt. (WP5a) Judgment (WP6)
o NL – policy others	To what extent is the Dutch policy aligned with policies of the main other donors working on these themes?	[less important. Distinction a and b?] Compare NL policy with policy few other donors. (same indicators as for host govt policy).	NL policies. Policies (few) other donors on FS/W/K. Interviews: Embassy perception.	NL policies (WP1ab) Inventory FS/W/K policies of the main other donors in country; Interviews other donors. (WP1c)

		Extra: multidonor – govt coordination (independent implementation); multidonor – govt close collaboration.	Other donors' perception, e.g. active in technical working groups on FS/W/K.	Judgment (WP6)
3c. How temporally coherent are Dutch policies with long-term strategies for FS/W/C?				
o NL – long term per theme	(per theme). To what extent does the Dutch policy (strategy, activities) fit in an agreed-on long-term strategy?	a: For climate: strategy should fit in Paris Agreement that NL adopted. (For FS, W no judgement criteria?) b: compare with available long-term strategies	Long-term strategies. NL IGG policies, MLS, Project docs, reference to long-term strategies. Interviews.	Long-term strategies. (WP2c) Inventory NL policies. (WP1ab) Sample 1, 2 (WP5ab) Judgment (WP6)
o NL - long-term themes combined	To what extent does the NL single theme or NL combined themes' policies, fit in combined themes' long-term strategies?	[a: I don't think there is an explicit Dutch ambition?] b: compare with available long-term strategies, possibly combined by IOB?	Long-term strategies (+ IOB synthesis: fit different themes.) Project docs	Long-term strategies. IOB addition. (WP2c) NL policies (WP1a,b) Sample 1, 2 (WP5bc) Judgment (WP6)
3d. How spatially coherent are local interventions with national policies and programmes?				
o Do local interventions fit in, and contribute to, national policies and programmes?				
o Are national policies implemented locally?				
4. How does coherence affect results over time?				
4a. What is the influence of coherence on the short-term results?	Within case (one intervention): plausible relation coherence – effects?	a) mentioned in project documents? b) Int. lit. e.g. SDG interactions, other docs?	Project evaluations and interviews: Level of coherence. Short-term results. Test theory /process.	Sample 1 (simple); Sample 2 Contribution analysis / process tracing (WP7)
	Between cases (compare interventions): more coherence, more effects?	(no reference values?)	Own analyses: Level of coherence. Short-term results Compare cases	Sample 1 (simple) Comparing cases, Sample 2: qualitative comparative analysis (WP7)

4b. What is the influence of coherence efforts on the long-term results?	Within case: plausible relation coherence – effects?	a) mentioned in policy or project documents? b) Int. lit. e.g. SDG interactions, other docs?	Project evaluations and interviews: Level of coherence. Long-term results. Test theory /process.	Sample 1 (simple) Sample 2 Contribution analysis / process tracing (WP7)
	Between cases: more coherence, more effects?	(no reference values?)	Level of coherence. Long-term results Compare cases	Sample 1 (simple) Comparing cases, Sample 2: qualitative comparative analysis (WP7)
4c. What is the effect of coherence on efficiency and cost-effectiveness?	Between cases: can we compare different policies or activities with comparable results? If yes, can we compare relative costs/efforts?	a) mentioned in policy or project documents? b) Int. lit. e.g. SDG interactions, other docs?	Cases with comparable effects. Indication of costs and effort.	(if comparable cases are available) Comparing cases, qualitative comparative analysis (WP7)

Annex 5. Detailed methodology in Work Packages

Overview of the Work Packages:

1. Inventory of policies
     a. Dutch policies
     b. Dutch country-specific policies and strategies
     c. Policies of national government and other actors
2. Preparatory studies
     d. Literature review of policy coherence hotspots (global)
     e. Expert meetings on policy coherence hotspots
     f. Inventory of long-term strategies
     g. Perception of NGOs and knowledge institutes on Dutch policy coherence.
3. Inventory of Dutch funded activities
     h. Inventory of activities worldwide (including a subset that combine different FS/W/C objectives).
     i. Inventory of activities in case study countries
4. Selection of case study countries and activities
     j. Selection of countries
     k. Selection of activities
5. Data collection per case study country
     l. Perception on and assessment of Dutch policy, process and coherence
     m. Activities sample 1: superficial (documents, interviews NL)
     n. Activities sample 2: thorough (documents, analyses, interviews NL and case study country)
6. Judgment of processes, coherence and effects
7. Analyses of causality between process, coherence and effects
8. Discussion and validation workshops
     o. Workshop on draft findings case study country
     p. Workshop on draft findings whole study
9. Writing evaluation report and quality control

WP1. Inventory of policies

WP1a. Dutch policies

IOB will make an inventory of Dutch policies affecting food security, water and climate in developing countries. These include development policies directly addressing these issues (IGG policies, other DGIS policies), as well as other policies that may affect these issues indirectly (DGBEB policies, policies other ministries). Preparatory studies will guide us to the most relevant 'other policies', which may be from the Ministry of Foreign Affairs, Ministry of Economic Affairs and Climate (EZK), Agriculture, Nature and Food safety (LNV), Infrastructure and Water (I&W), and even EU policies.

IOB plans to organise a discussion with IGG staff and other policy makers to identify the main perceived coherence opportunities and risks between the different themes: where are strategies to achieve one objective strengthening or undermining the achievement of another objective? This will

feed into a theory of change that combines the different IGG objectives, including underlying assumptions.

Besides, there are policy documents on policy coherence, which show the ambition of policy coherence and how this would or should affect policies in their effect on food security, water and climate. In the Hague, we will take into account the processes for policy formulation/coordination and decision making, including the integrated assessment framework (IAK) in place for all new governmental policies and regulations.41

The inventory will consist of a document review (policy documents) and interviews (ministry staff), especially to discuss the processes towards policy coherence.

WP1b. Dutch country-specific policies and strategies

We will make an inventory of Dutch policies and strategies, relevant for the themes food security, water and climate, for and in the case study countries. This includes Multiannual Country Strategies (MACS), and may also include Dutch strategies for case study countries from other ministries (e.g. I&W / Partners for Wwater support to Delta Bangladesh). A preparatory study will select the main 'other policies' that will be considered. There may have been instructions (or recommendations) from the ministry to embassies about how best to assure coherence. The inventory will include a document review and interviews, especially for the processes affecting coherence.

WP1c. Policies and programmes of national government and other actors

To assess external coherence of Dutch policies, strategies, programmes and activities, we will make an inventory of the policies and programmes of the national government in the areas of food security, water and climate, in the case study countries. Those of the national government are most important, but we will also consider policies and programmes of the most important other actors (other donors and international organisations) active on the same themes in the same country. The inventory will consist of a document review and interviews with a few staff at government organisations and a few donor organisations. In the case of Bangladesh, we will make use of the IOB study on coherence in the aid and trade agenda that included a case study on that country.[42]

WP2. Preparatory studies

The analysis of coherence is potentially very broad, because of the many Dutch (and EU) policies that may affect food security, water and climate in developing countries. Not all policies will be relevant, especially not in a specific country context. We will therefore do some preparatory work to preselect a limited number of coherence 'hotspots', coherence issues between policies and themes where we can expect important positive or negative effects in case of coherence or incoherence[43]. The preparatory work includes expert meetings on potential policy coherence hotspots in case study countries (start with Bangladesh), and two literature studies: one on previously found policy coherence issues, and one on available long-term strategies, relevant for our three case studies and for the objectives food security, water and climate.

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[41] The IAK framework prescribes a multi-faceted check of all new government policies and regulations. https://www.kcwj.nl/kennisbank/integraal-afwegingskader-voor-beleid-en-regelgeving?cookie=yes.1625829048382183894763

[42] IOB (2021) Coherence or Co-existence - a Study on the implementation of the aid, trade and investment agenda in three transition partner countries: Bangladesh, Ethiopia and Kenya (IOB no. 440)

[43] A policy coherence hotspot is not a geographical area, but a policy with potentially large side-effects on food security, water or climate.

WP2a. Literature of policy coherence hotspots (global)

Because many policies could potentially lead to (unintended) effects, and we don't know yet which policies are important, we cannot yet delimit the policies to be considered in these ToR. The main purpose of this literature review is to help with the delimitation by providing a selection of coherence hotspots: policies of developed countries and EU policies, that turned out to have important, intended or unintended, positive or negative, effects on food security, water and climate in developing countries. Studies can include Dutch policies as well as other developed countries or EU policies, as long as the effects on food security, water and climate in developing countries are assessed and significant. Preferably, recent studies should be used, because a lot has changed in EU trade and agriculture policies over the last three decades. Questions that this literature review will answer:

- What are the effects of (in)coherence amongst policies of developed countries on food security, water and climate in developing countries?
- What are the coherence hotspots (most important, according to a ranking of the current policies we should be aware of) for food security, water and climate, especially in our selected case study countries?

WP2b. Expert meetings on policy coherence hotspots (case study countries)

A separate exercise will be done per case study country, starting with Bangladesh. An (online) meeting will be organised with experts that are knowledgeable about the country and about the policy themes. This online meetings will result in a ranking of the most important positive and negative coherence issues for the four themes: food security, water security and safety, climate adaptation, and climate mitigation. Participants will be from the Netherlands and the country under consideration (and a few from other countries). They may be from government organisations, NGOs, knowledge institutes, and agencies involved in private sector development. Most participants may be involved in Dutch funded activities, while some may only have general experience in on these themes.

WP2c. Inventory of long-term strategies (relevant to case study countries)

To evaluate the coherence with long-term strategies (minimum 10 years [more?] forward looking) we anticipate a second literature study on the existing long-term strategies (that are agreed-upon, based on scientific knowledge) in the field of food security (including agriculture, aquaculture, fisheries), water (drinking water, water for agriculture, national and international water management, disaster risk reduction) and climate (adaptation, energy transition and renewable energy, forest and natural resource management) in developing countries. We will look for strategies at case study country level, otherwise strategies for larger regions, or even strategies at global level, as long as they are relevant for our case study countries.

In addition, we will also look at strategies regarding combinations of themes, e.g. climate adaptation in water, climate adaptation and mitigation in food security, water for agriculture and climate adaptation. A critical criterion for our research will be that the long-term strategies that we study should concern long-term sustainability issues.

Questions that this literature review will answer, focusing on the three case study countries:
- Is there information about a baseline scenario, business as usual, for food security, water management, and climate change?

- Are there strategies (agreed-upon, based on science) towards a desired situation, that are relevant for our case study countries? (global, regional or national-level strategies)
- Can strategies for different themes be aligned, for instance if they work towards a desired situation in 2050?

For strategies to qualify as science-based, consensus-based, long-term strategies, we suggest that it meet the following criteria:
- Based on scientific knowledge. It is either a scientific report, or a strategy / policy with reference to scientific insights. In some cases, a national policy is long-term and supported by scientific evidence, and can be counted as long-term strategy (e.g. the Bangladesh Delta Plan 2100).
- It should be forward looking to at least 2030, preferably beyond (e.g. 2050).
- It can be national, regional or global (as long as it is relevant for the country cases).
- The strategy refers to the expected future challenges in food security, water or climate change.
- It does not need to combine all three themes (food security, water, climate) in one strategy.
- There should be some consensus on the strategy: based on some wider consultation, not by a single researcher.

The inventory of long-term strategies will first look at Bangladesh, the first case study country.

If feasible and valuable, IOB will try to reconstruct a theory of change that combines the themes food security, water and climate change. This can be done by combining different thematic long-term strategies, in a specific country context.

WP2d. Perception of NGOs and knowledge institutes on Dutch policy coherence
Dutch NGO's and knowledge institutes active in case study countries, often through partner organisations, often have a different and more critical view on Dutch policy coherence. Some NGO partnerships (e.g. Fair Green and Global Alliance) and alliances (e.g. Building Change Alliance) are specialised in policy coherence issues. There are also annual reports from knowledge institutes (e.g. '*Brede welkvaartsmonitor*', CBS). We will read the available reports, and do interviews with the main NGOs and knowledge institutes involved. Consider processes leading to, coherence itself, and the effects of coherence (and incoherence).

WP3. Inventory of Dutch funded activities
There are various information sources for Dutch funded activities in developing countries:
- For accountability of public expenditure, we will include all activities under the budget article BHOS-2, with expenditure in the period 2016-2021.
- For a thematic overview, we will look at a wider set, and include activities under other budget articles with thematic markers (MIBZ)) that correspond with food security, water and climate change.
- For activities under the responsibility of the Ministry of Foreign Affairs, there is the internal administration system (MIBZ). For other ODA expenditure, the HGIS report provides information.
- In the case of multi-country activities, thet International Aid Transparency Initiative (IATI) provides more detail about expenditure in specific countries than MIBZ.
- For several countries where the Netherlands is active, there is a 'portfolio review', including an analysis, available, of all Dutch development cooperation in that country.
- Dutch embassies have a good overview of all activities, including non-development activities in that country.

- Separately, there is information about economic diplomacy and economic missions (from the IOB policy assessment of BHOS article 1 (on Aid, Trade and Investment), RVO staff, economic attachés, Netherlands Business Support Offices, and the internal system 'Achilles'.
- There is information from implementing agencies such as RVO and FMO.
- For activities by other ministries (water and infrastructure, agriculture and food safety, economic affairs and climate, we will contact persons implementing programmes in developing countries: e.g. MI&W and their Partners for Water programme.

WP3a. Inventory of activities worldwide
The inventory of Dutch activities serves two purposes:
1. For accountability we want to provide an overview of all activities and expenditure under budget article BHOS-2 (food security, water and climate), in the period 2016-2021.
2. For the selection of countries and activities as case studies, we need a broader inventory, including activities of other ministries, with potential unintended[44], positive or negative effects on food security, water and climate in developing countries.

For the first purpose, the database of MFA (MIBZ) is largely sufficient, and will be complemented e.g. with diplomatic activities (e.g. economic or climate diplomacy). For some multi-country programmes, implementing organisations and agencies (RVO, FMO) have online databases that show what is done in what country.

For the second purpose, more efforts are needed to get an overview. First, the preparatory studies will guide us to the most relevant other ministries, policies and programmes. Second, the relevant ministries and programmes will be contacted for more information at activity and country level.

For the second purpose, the inventory of Dutch interventions with an expected or potential effect on food security, water and climate in developing countries will be organised by ministry, policy, primary objective, and potential side effects on food security, water and climate. Per activity we will indicate activity name and number, start and end year, total budget, expenditure in the period 2016-2021, and country concerned. We will indicate whether an evaluation is available. Based on the inventory of policy coherence hotspots, the likelihood of the policy coherence issues can be indicated in activity overview (using MIBZ information, project summaries in the MFA portfolio review available for the case study country, and project documents / Bemos). Bemo's)

WP3b. Inventory of activities in case study countries
Once case study countries are selected, an inventory will be made of all BHOS-2 activities, and of those activities of other Dutch policies and programmes that overlap with policies pre-selected in the preparatory studies on policy hotspots (literature review and expert meetings). We will also look at non-ODA and diplomatic efforts (MIBZ, embassy, contact persons LNV, I&W, EZK, RVO). The inventory of activities of other ministries will also be guided by the preparatory study on policy coherence hotspots and the expert meeting.

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[44] Dirk Jan Koch identified 10 types of unintended effects of development cooperation that may be useful for this study: 1. Price Effects; 2. Behavioural effects; 3. Migration effects; 4. Conflict effects; 5. Governance effects; 6. Nationalist back-fire effects; 7. Marginalization effects; 8. Poor-process effects; 9. Leakage effects; 10. Catalytic effects. [reference]

WP4. Selection of case study countries and activities

Because of the large number of relevant activities (>1000, BHOS-2, plus climate relevant activities under other budget articles, 2016-2021), we can only look at a small sample of activities in detail. For coherence, the context in a specific country will play an important role in this evaluation. Therefore, we plan to select a limited number of (maximum three) case study countries, and within those, a limited number of activities. The selection of countries and activities will be based on the following selection criteria. Below, the selection criteria of countries and activities are presented as two separate steps, but this selection can only be done simultaneously: countries are selected because of the presence of certain activities in that country.

The identified coherence hotspots (from the preparatory literature review) will provide us with a pre-selection of the main policy coherence issues to consider. The inventory of Dutch policies and activities will show to what extent the pre-selected policies are covered by activities in developing countries. We can then decide how the most relevant policies will be covered by which country. All three countries will have activities in the field of water, food security and climate. However, the most important 'other policies' with potential coherence issues, can be divided over the three case study countries.

WP4a. Selection of countries

We will visit at least two, and hope to visit three case study countries. Between the first draft and this final version of these ToR, we selected the candidate case study countries.

Bangladesh had already been selected because of the strong Dutch support to the water sector, in combination with agriculture (food security) and climate change adaptation. A pilot study on policy coherence was done by WUR intern student Romy Brockhoff in 2020.

Criteria for other candidate countries included:
1. Countries in Africa, because Africa received, and will continue to receive, a large share of Dutch development support.
2. Countries that are safe to travel: Benin, Ghana, Kenya, Uganda, Rwanda, Mozambique; Ethiopia: questionable.
3. Countries with a relatively large Dutch ODA budget, preferably going to different themes: Food security, Water, Climate and natural resources, climate adaptation, climate mitigation, and forests) (see Table 3: expenditure by country and theme).
4. Countries that are interesting because some policy coherence hotpots (identified by ECDPM) could be found there (see Table 4).
5. Countries where the Netherlands work on climate adaptation, preferably covering different types of adaptation. This because the case studies will also serve the separate IOB study on climate adaptation (see Table 5)

Table 3. Expenditure 2017-2021 (million EUR) by country and budget article on food security (2.1), water (2.2), Climate and natural resources (2.3); with climate adaptation marker (CA), climate mitigation marker (CM) or Forest marker (For)

	EUR FS (2.1)	EUR W (2.2)	EUR C+NR (2.3)	EUR CA	EUR CM	EUR For
Ethiopia	216	23	0.8	67	15	9
Rwanda	103	34	0.2	39	4	1
Bangladesh	49	84	0.0	49	3	5
Mozambique	53	41	5.9	31	8	
Benin	33	55		34	9	
Kenya	34	35	2.1	23	5	3
Uganda	57	9	1.1	23	5	
Ghana	41	20	0.0	17	9	

Table 4. Short list of policy coherence hotspots (ECDPM) and likelihood to find these in countries (from MACS)

	Be	Et	Gh	Ke	Mo	Ug	Rw	Ba
A1. Subsidy for fossil in dev countries.								
A4. Biofuel (deforestation)					1			
B1. Infra (emissions, NR degrataion)	1							
B2. Hydropower dam + international water diplomacy		?			1		1	?
B3. Large scale Irrigation (small scale farming, over exploitation)					?			1
B4. Grey flood protection								1
C1. Export soy, palm oil (deforestation)			1					
C2. Ag commodities export (cacao: dependency, horti: water use)	1	1	1	1		1	1	
C3. Textile à water pollution								1
C4. EU Ag subsidies, cotton, export chicken meat	?		?					
C5. FDI ag / food sector (shift to unhealthy diets)		1		1	1		1	
Extra: export and labour conditions		1	1	1		1		1
Extra: leading to conflicts		C5			A1			

Table 5. Climate adaptation strategies and likelihood to find these in countries (mentioned in MACS)

MIBZ all	Row Labels	1a ecosystems	1b DRR	1ci Infra general	1cii Cyclone shelters	1d Land plan; tenure	2a Water efficiency	2b water accounting	2c Adapted practices	3a Drought resistant practices	3b soil and water conservation	3c Agroforestry	3di Weather information	3dii Weather-based insurance	4a Integrated water mgt	4b Large dams	4c Governance rivers	4d Governance transboundary	5a WASH	5b Micro catchments	6ai Farm diversification	6aii Value chain development	6aiii Food and nutrition security	6b Income, jobs
	Benin					3	1		2	1	1								7			8	5	5
	Ethiopië	2	1	1		1		1	7	6	11	1			4		4		14	11	8	19	11	4
	Ghana						1			1		3					1		4	2	1	12	4	8
	Kenya	2		2		2	1	1		2	3	4			4		4		13	3	1	11	12	2
	Mozambique	4	9	7	2	11	1		1		3				8		8	1	6	8	5	3	6	4
	Oeganda					1						1					2		6	1	4	10	9	7
	Rwanda	4	1	4		3	2		2	2	6	1			3		4	3	5	5	2	10	2	
	Bangladesh	+	+	+		+	+	+	+					+	+		+			+	+	+		+

Scoring on these different criteria has resulted in the following countries:
- Mozambique as second country, mid 2022.
- Ethiopia (if safety is OK) or alternative Rwanda, end 2022.

The selection of countries has been presented to the reference group, which agreed.

One disadvantage of the current selection is that the policy coherence issue of deforestationcause by export and trade to the NL is not covered in these selected countries (this is more present in e.g. Indonesia, Brazil). We consider doing a limited desk study on this policy coherence subject.

WP4b. Selection of activities
Within each case study country we will take two samples of activities:
- Sample 1, for a more superficial analysis. A larger number of activities (15-25). Information sources will be limited to project documents and evaluations, and one or a few interviews with staff from MFA, possibly the evaluator, and possibly the project implementer. We expect that this will provide information about the direct results, limited information about the expected long-term results, some information about internal and external coherence, and only limited information about coherence as one of the explaining variables of the results.
- Sample 2, for a more in depth analysis. A smaller number of activities (5-10). Information sources will include project documents and evaluations but also interviews, field visits and observations, to get opinions from different points of view: MFA, project implementers, beneficiaries, stakeholders and independent persons, not directly involved in the implementation (e.g. knowledge institutes, government organisations, private sector, NGOs, other donors). We expect that this will enable us to collect more information about the (expected) long-term results, coherence, the process that affected coherence, and the effects of coherence. Interviews and different points of view will be needed to assess and judge the less tangible aspects of coherence.

For sample 1 (large sample, superficial analysis), the selection criteria include:
- Only BHOS-2 Activities with expenditure in the period 2016-2021. (Option: also look beyond BHOS-2, with food security, water and climate action as objectives)
- Only activities for which an external evaluation is available. (Preferably a final evaluation, possibly only an external mid-term review.)
- Cover a substantial part of the Dutch ODA budget in the country.
- Cover important policy coherence hotspots as identified in the preparatory research and literature review
- Cover the diversity of activities
    - The different themes of food security, water and climate change
    - Different instruments and channels (multilateral, NGO, govt., PPP), which also determine the diversity of 'embeddedness' with permanent local institutions.
    - Centrally managed and embassy-managed projects.
- Include projects that ended at least one year before the study, to assess whether there are indications of system change (i.e. others continue, replicate, or use the results in other activities or policies).

For sample 2 (small sample, in depth analysis), the selection criteria include:
- Activities covering 1-2 main internal policy coherence issues between food security, water and climate.
- Activities covering 1-2 main internal policy coherence issues between food security, water or climate on the one hand, and 1 or 2 *other* policies on the other hand.
- Not only activities under BHOS-2 but also under and other (even non-dev.) budget articles or Dutch policies that are likely to affect food security, water and climate (according to preparatory study ECDPM and expert meeting).
- Activities including projects that ended several years ago, and projects that are still ongoing.
- Activities with and without external evaluations, if needed. Because the project can be visited and people can be interviewed, the availability of an external evaluation is not a strict condition .
- Diplomatic efforts (e.g. climate diplomacy, economic diplomacy) will be included. Results of these efforts may not be documented, and interviews will be needed to collect information.
- Activities including their predecessors. Preceding projects or earlier project phases of activities will be included, even if they have ended before 2016. This will enable us to consider long-term effects.
- Combinations of activities that contain interactions
    - between activities and diplomacy (e.g. land use rights)
    - between innovative pilot projects and large scale projects.
- If possible in only 5-10 activities: activities that cover diverse situations in terms of coherence that aimed for a similar objective (e.g. different strategies to manage water for agriculture): e.g. central and embassy managed activities; bilateral and multilateral activities; activities working mainly with government, and working mainly with others (PS, NGOs) Not all these cases can be selected.

As in Sample 1, we will discuss the relative weight of the criteria above, to ensure an objective and transparent selection process.

WP5. Data collection per case study country
Information will be collected at different levels in this (simplified) theory. The causal chain goes from the bottom to the top.
1. Results
    a. Contribution to system change (sustainability, scaling up, and resilience)[45]
    b. Direct project results
2. Coherence
    a. Internal (between FS, W F and C policies)
    b. Internal (between FS/W/K other Dutch policies)
    c. External (policies of others)
    d. Long-term strategies
3. Processes: policy dialogue and formulation
    a. Use of long term strategies, international agreements
    b. Integration of themes or policy objectives
    c. Government / donor consultation and coordination

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[45] We will use three measureable and practical characteristics to assess systemic change: sustainability, scaling up, and resilient), that DCED identified. DECD, 2021. Assessing systemic change.

In each case study country, we will first look at coherence at strategy level or policy level, not only looking at policy documents, but especially by interviewing various stakeholders about their perception of the coherence of Dutch policy. Then we will look at coherence at activity level, in two samples of activities: a larger sample, where we mainly synthesise project evaluations, and a smaller sample where we will do many interviews with different stakeholders, and put more emphasis on the long-term results, coherence and on the processes leading to coherence.

WP5a. Perception on Dutch policy coherence in case study countries

In the case study countries, this study anticipates interviews with staff at the Dutch embassy, government organisations, and a few other actors active on the same policy objectives (EU, World Bank, FAO), a few NGO's or knowledge institutes, and possibly a private sector organisation. We are interested in their view on the coherence of Dutch policy, at the processes that contribute (or undermine) policy coherence (e.g. donor coordination meetings, technical working groups), and at the perceived effects of the degree of policy coherence. In these discussions, we will start with broader policies and strategies, and will then continue looking in more detail at certain activities (see below: Sample 2). Below are a few notions of the processes leading to coherence, and the effects of coherence.

WP5b. Activities sample 1: document review

The activities selected in Sample 1 will be used for a document review, in particular a systematic analysis of the available evaluations, complemented with limited interviews with ministry staff and project implementers.

- We expect that this will give information about the *direct results* of the activity (outputs and outcomes), as reported in project documents and evaluations. These direct results are often short-term results in a localised area with clearly defined direct beneficiaries. We will make a judgment of effectiveness by comparing the (reported) actual results with the planned results, acknowledging that project documents tend to overestimate the speed and scale of direct results. We will take into account the fact that results may be different for different groups.
- We expect there will be limited reference to coherence in these evaluations as one of the factors that positively or negatively affected the results.
- We do not expect that the evaluations will give much information about sustainability, efficiency, coherence, or the processes that have led to the observed level of coherence.

WP5c. Activities sample 2: interviews and triangulation

The activities selected in Sample 2 will be used for a more in-depth analysis. Besides doing a document review, and where possible doing our own analysis of project result data, we will make more effort to get in-depth information in interviews, with directly involved stakeholders such as ministry and embassy staff, project implementers and direct beneficiaries, but also with more independent sources, such as government organisations, other experts, and possibly representatives of the target group that did not directly benefit. Different opinions will enable us to triangulate our findings.

We expect that Sample 2, compared to Sample 1, will provide more information about:
- The long-term results: sustainability, scaling up and resilience, as indications for system change. (Change beyond the scale and duration of the project activity.)

- Coherence perceived by different organisations and stakeholders.
- The processes that have resulted in perceived coherence (or incoherence). Because coherence is often the result of balancing different interests of different groups, it is important to know the opinions of these different groups.

WP6. Judgement of processes, coherence, and effects

To assess the processes leading to coherence, the degree of coherence, and the effects of coherence, we developed a few assessment points of attention and assessment matrices. This is partly done in advance and presented here, but will partly be adjusted and refined during the country visits.

Process to coherence:

The processes contributing to coherence, in the Netherlands and in case study countries, are best assessed through interviews with different people. In case study countries, we will do a stakeholder analysis in order to understand the political economy in the themes food security, water and climate: what are the different interests by different stakeholders? In particular, what are the needs and priorities of the final beneficiaries (relevance)? Then, we can see to what extent the different groups have been involved in policy dialogue, and how different interests have been considered.

Aspects we will look at:
1. During the design of a policy, strategy or activity, has there been an inventory of potential policy coherence risks (consultation of different stakeholders and experts)?
2. To what extent has here been a discussion, balancing interests of different stakeholders, and careful decision about the potential negative trade-offs and synergies?

Coherence

Based on our experience in Bangladesh, we decided to split our assessment in two steps:
1. Coherence of Dutch policies and strategies (e.g. Dutch Multi Annual Country Strategy). Here we do a document review and assess to what extent the available long-term strategies, the host country national policies, and the Dutch country strategy are in line, and cover the SDG targets mentioned in the Dutch thematic policies.
2. Coherence of the implementation of Dutch policies and strategies. This is done in case study countries, visiting projects and discussing coherence with embassy staff, project implementors, NGO's, government staff, beneficiaries, and independent experts.

Ideally, we would set clear judgement criteria (what level of coherence is good, just sufficient, or insufficient), before visiting the field. However, there are no clear 'coherence targets' set in strategy or project documents that we can use a judgement criteria. So, in practice such judgement criteria and our own judgement are adjusted and refined using information collected during the field visit. Nevertheless, based on our experience in Bangladesh, we came to the following general judgment criteria matrix, as a good starting point, for the coherence of Dutch policy and implementation (Table 6).

Note that the judgement of coherence may refer to the work done by policy makers in The Hague, MFA staff at embassies, organisations and agencies implementing projects, or project staff.

Table 6. Judgement criteria for the coherence of policy implementation[46]

Type of coherence	++ Synergies aimed for	+ Trade-offs optimised	0 Neutral (independent)	- Not aligned	-- Antagonistic
Internal Between different Dutch policies	Policies are aligned, synergies are aimed for (positive effects maximized).	Policies are aligned, trade-offs are optimized (negative effects are minimized).	Policies are not aligned, but this does not seem to be necessary.	Policies are not aligned, while this seems to be necessary.	Policies are antagonistic.
External Between Dutch policies and policies of national government and other donors in Bangladesh	Policies are aligned, synergies are aimed for (influence each other).	Policies are aligned (but don't influence each other).	Policies are not aligned, but this does not seem to be necessary.	Policies are not aligned, while this seems to be necessary (risk of negative effect).	Policies are antagonistic (negative effects are expected).
Spatial Between local implementation and policies addressing national and international issues	Local implementation and national policies inform and strengthen each other (synergy aimed for).	Local implementation fits in priorities of national policies.	Local implementation fits broadly in national policy.	Local implementation does not address priorities of national policies.	Local implementation goes against priorities of national policies.
Temporal Between policies addressing short term results and long-term strategies	Short term implementation fits and informs long-term strategies (synergy aimed for)	Short term implementation fits partly in long-term strategy. Deliberate trade-off short and long-term results.	Short term implementation does not fit in long-term strategies, but this does not seem to be necessary.	Short-term implementation does not fit in long-term strategy, while this seems to be necessary	Short-term implementation goes against the long-term strategy, and delays the transition path.

Effects of coherence

There are two sources to assess the effects of coherence: the results as presented in project or programme evaluations, and discussions in case study countries about how coherence has affected the results, even beyond the results presented in project evaluations.

Based on our experience in Bangladesh, we came up with the following general judgement criteria matrix (Table 7). However, for setting judgement criteria and for our own judgement, we will use additional information during the field visits.

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[46] Policies *as implemented:* We don't only look at policy intentions, but focus on the actual implementation in projects or interventions.

Table 7. Judgement criteria for the effects on food security, water and climate

	++	+	0	-	--
Food security: (1) food availability (2) nutrition, (3) income (incl. VCD)	2 or 3 aspects improved (no negative effects)	Positive effects outweigh negative effects	Neutral. One aspect may improve while another gets worse	Negative effects outweigh positive effects	2 or 3 aspects got worse (no positive effects)
Water (1) water use (total and efficiency). (2) water mgt infra and maintenance (2) long-term availability (influx, drainage)	2 or 3 aspects improved (no negative effects)	Positive effects outweigh negative effects	Neutral. One aspect may improve while another gets worse	Negative effects outweigh positive effects	2 or 3 aspects got worse (no positive effects)
Climate (1) support vulnerable (adap) (2) address water scarcity (adap) (3) reduce emissions (mitig)	2 or 3 aspects improved (no negative effects)	Positive effects outweigh negative effects	Neutral. One aspect may improve while another gets worse	Negative effects outweigh positive effects	2 or 3 aspects got worse (no positive effects)

Information sources that help our assessment of coherence:
- The ECDPM literature review on policy coherence hotspots: areas that require attention because earlier research has shown potential effects of coherence or incoherence (see 6.3.1).
- The literature review on long-term strategies (national, regional, global), which are scientifically sound (see 6.3.2).
- An inventory of expert opinions about the coherence hotspots in a case study country (see 6.3.3).
- An inventory by IOB of national policies, strategies of Dutch embassies, and strategies or programmes of the relevant other donors in the case study country (see 6.5.2).

WP7. Analyses of causality between process, coherence and effects
The next step, after establishing processes, coherence and results, is to evaluate the causal relationships between processes, coherence, and results. We will consider a contribution analysis or a light form of process tracing for establishing causality within a case, and qualitative comparative analyses for establishing causality by comparing cases, as theory based evaluation methodologies to assess the contribution (i) of policy dialogue processes to coherence, and (ii) of coherence to results. Although some of the results data on food security, water and climate may be quantitative, the analysis of causality will be purely qualitative.

The theory based evaluation approach will start with developing, first per case study country, and within that country per selected activity, a theory of how processes (policy dialogue, coordination, collaboration) are expected to influence coherence, and how coherence are expected to affect the results of the activity. The basis will be the theory explained in Chapter 2, which will be refined to specific activity objectives in a specific context. Potential alternative explanations for the results, such as context factors, will be identified as well.

Both the anticipated theory and alternative factors will be taken into account, and will be used to make a plausible statement about the contribution of coherence to results, and the contribution of processes to coherence, within each case.

Moreover, we will try to compare cases (using qualitative comparative analysis). We hope to find cases where there is sufficient variability in the processes, the level of coherence, and the level of results.

Contribution of processes to coherence

The effect of processes and institutional organisation on coherence will be assessed mainly through interviews about Dutch policy and country strategy, and a small number of activities in Sample 2. We will describe how coherence issues have been (or have not been) considered. We expect to use a light form of process tracing as a methodology. Policy formulation is done by the Dutch MFA and policy dialogue is carried out by Dutch representatives from The Hague or by or Dutch and local embassy staff (for trade and agricultural policies: EU staff). These people can be interviewed.

Contribution of coherence to results

A main challenge is how to make a plausible claim of the contribution of coherence to results. Are the results, both short and long-term, affected by the level of coherence? There will be other factors affecting the results, and the effect of coherence on the results may be limited. Contribution analysis and process tracing may be suitable methods. Following a pre-established theory, per country and per activity, that includes alternative hypotheses (other factors), we will make an inventory of reported results, perceptions by project staff, Dutch embassy staff, staff from national government and other organisations active in the same domain, and independent experts, to build a case on the contribution. First, we will make a plausible claim between the level of coherence and the level of results for each activity. Then, we can compare the results of activities with different levels of coherence. Finally, we will weigh this information and make our own judgment about the contribution of coherence to results.

Comparing cases

After analysing the causal chain within each case, we can compare cases and see whether cases with a higher score on coherence indeed show better results. For the results of Sample 1 (superficial analysis) a simple analysis will be done. For the more detailed results of Sample 2 (in depth analysis) Qualitative Comparative Analysis may be a good methodology.

WP8. Discussion and validation workshops

Draft findings will be presented and discussed with a selection of stakeholders, in particular with staff at the Ministry in The Hague and at Dutch embassies.

WP8a. Workshop on draft findings case study country

Draft findings of the country case study will be presented for staff at the Dutch embassy, preferably accompanied by a few other stakeholders (government staff, NGO staff, project implementers). This will likely be done online, about 1-2 months after the field visit, in 2022.

WP8b. Workshop on draft findings whole study

Draft findings of the whole study will be presented for staff at the Ministry in The Hague. Besides staff from the Ministry of Foreign Affairs, staff from other relevant ministries, and implementing

agencies (RVO, FMO) will be invited, depending on the found policy coherence issues. Other stakeholders involved in policy coherence, such as NGO's, knowledge institutes and possibly private sector organisations, will be invited as well. This will likely be done after all case studies are analysed, and all analyses are combined in overall draft findings and draft conclusions, mid-2023.

WP9. Writing evaluation report

We will write three case study country reports, which will follow the same logic and the overall methodology as described above, as internal reports. They will be discussed with embassies and IGG, but will not be published.

The preparatory study on policy coherence hotspots will be published by ECDPM. It is still to be seen whether ECDPM will also publish the report on long-term strategies. These two studies, together with the results of expert meetings on policy coherence hotspots in 3 countries, will be summarised as a chapter in the IOB report.

The three country case studies will form the major part of the results chapters of the IOB report. Some important policy coherence issues that are not covered in the case study reports, will be discussed in a separate chapter, based on a limited literature research.

Ferko Bodnar will be responsible for the IOB report, but will receive input and comments from the IOB colleagues Marit van Zomeren and Pim de Beer (and possibly other IOB colleagues).

The draft report will be peer reviewed by IOB colleagues, and reviewed by the external reference group.

IOB Terms of Reference - IOB Terms of Reference - - IOB Terms of Reference - - IOB Terms of Reference - IOB Terms of Reference - IOB Terms of Reference - - IOB Terms of Reference - - IOB Terms of Reference - IOB Terms of Reference