A man in a grey short-sleeved shirt and glasses is standing in a forest, writing in a notebook. The notebook has a barcode on it. The background is filled with green leaves and tree trunks.

# CocoaAction Monitoring & Evaluation Guide

World Cocoa Foundation

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Full version*

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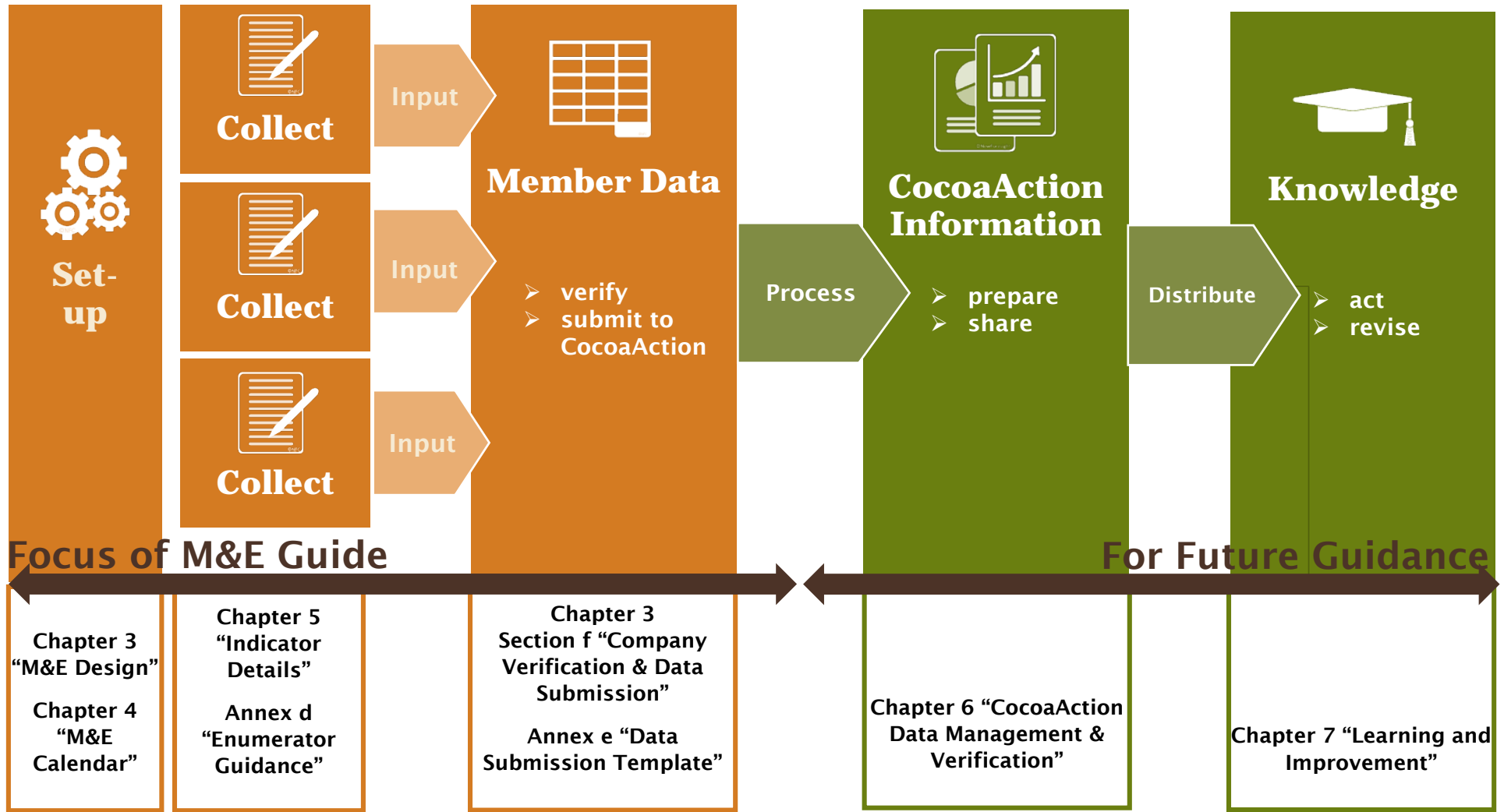
## Purpose of the Document

The decisions outlined in this document are the result of more than one year of alignment processes between the different members of CocoaAction. From the very first steps of building a common language across the partnership to the very last steps of reviewing detailed data collection tools together: the journey has been characterized by sharing and learning and reaches a milestone with the M&E Guide. The M&E Guide itself should be understood as the next first step towards new learning—taking CocoaAction’s efforts in the pursuit of a more sustainable value chain to the fields and farmers and to measure jointly the development of the cocoa value chain.

- (1) The purpose of the M&E Guide is to direct and clarify the processes that need to be established in order to produce data as consistent as possible across CocoaAction.
  - a. This document outlines the high level principles behind CocoaAction data collection alignment. For the remainder of this document, a “*recommendation*” describes a non-binding agreement, perceived as best practice, whereat a “*requirement*” describes a demand by CocoaAction than needs to be met by all members.
  - b. This document outlines in detail the requirements for 2016 data collection. In accordance with the continuous improvement concept of CocoaAction, certain indicators and data collection routines will be revised for the 2017 data collection and this document will be updated accordingly.
  - c. CocoaAction 2016 focuses on first steps and learning, expecting members to strive towards full implementation and introducing new activities. However, this process of change will need iterations and adaptations to be carried into 2017.
- (2) The audience of the M&E Guide is the company internal staff at management level, responsible for data collection, information management and/ or reporting functions (i.e. program managers, M&E managers). The primary audience of the M&E Guide is explicitly **not** the individual enumerator in the field—even though certain Annex and overview material is ultimately meant to be used by the enumerator.
- (3) The M&E Guide is based on the collective understanding that every individual CocoaAction member carries the fundamental responsibility, accountability and ownership of their data irrespective of data collection method or source of the data.
- (4) This guidance was developed with inputs from Le Conseil du Café-Cacao and the Ghana Cocoa Board through M&E workshops held in Côte d’Ivoire and Ghana. This M&E system is based on the KPI’s defined and validated in the framework of the Public Private Partnership Platform of the cocoa sector in Côte d’Ivoire (PPPP). The Ivorian PPPP is the resource mobilization strategy for the implementation of the national cocoa sector sustainability program named Quantity Quality –Growth program (2QC). CocoaAction is fully aligned with the 2QC and also with the draft Ghana Cocoa Sector Strategy Plan II.
- (5) In addition to government and CocoaAction company input, WCF benefited from a range of experts who were instrumental in aligning the indicators and methodologies with available best practices. With apologies for any unintentional omissions, valued partners include: New Foresight; IDH The Sustainable Trade Initiative; International Cocoa Initiative; US Department of Labor; CARE International; Committee on Sustainable Assessment; Fairtrade International; Fairtrade USA; GIZ Gesellschaft fuer Internationale Zusammenarbeit; International Rescue Committee; The International Center for Research on Women; Jacobs Foundation; Rainforest Alliance; Save the Children; UN Food and Agricultural Organization; UNICEF United Nations Children Fund; US Department of Labor; Utz; World Education; and Winrock.

# M&E Guide & CocoaAction Information Chain

(Please use the chapter links below to navigate to the area of interest)



## Introduction to CocoaAction

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The World Cocoa Foundation launched CocoaAction in 2014, a new strategy aimed at accelerating the sustainability of cocoa farmers through the coordination and alignment of the sustainability efforts of the world's largest cocoa and chocolate companies. The two leading producers of cocoa (Côte d'Ivoire and Ghana) are the initial focus countries and CocoaAction aims to reach no fewer than 300,000 farmers over a six-year period (2014-2020). The strategy involves coordinated voluntary efforts to focus on key strategic thematic areas: cocoa productivity, community development, government outreach, innovations, and key performance indicators. The active involvement of WCF member companies, origin governments, and others in the global cocoa and chocolate value chain is crucial for the strategy's success.

The CocoaAction strategy is built on four key principles:

- (1) Reinforcing interdependency between productivity-enhancing and community development interventions;
- (2) Commitment to a holistic approach in the form of a productivity and community development package that reflects where industry believes it can make a unique and significant contribution;
- (3) Field level delivery that is customized based on local conditions;
- (4) Alignment of company programs and interventions within the framework of the national public- private partnership platforms.

By implementing the strategy, CocoaAction members will support cocoa farmers to:

(Productivity Package)

- (1) Apply good agricultural practices;
- (2) Have access to improved planting material;
- (3) Have access to fertilizer and use it correctly;

And farmers will live in communities where CocoaAction's desired outcomes are:

(Community Package)

- (1) The worst forms of child labor will be eliminated;
- (2) Basic education will be available and children go to school;
- (3) Gender parity will be improved so that women have a greater influence in their communities' decision making and development.

To read the full CocoaAction "FAQ", please visit: [http://www.worldcocoafoundation.org/wp-content/uploads/CocoaAction-FAQFINAL\\_English\\_05202014.pdf](http://www.worldcocoafoundation.org/wp-content/uploads/CocoaAction-FAQFINAL_English_05202014.pdf)

## M&E Design

Monitoring and evaluation will be critical to ensure the effectiveness of the strategy. CocoaAction's approach to M&E will be to:

- (1) Measure progress and effectiveness of CocoaAction strategy based on common indicators and a measurement system built on a joint learning agenda;
- (2) Partner with relevant stakeholders to realize best approaches and ensure alignment on the CocoaAction performance indicators.
- (3) Share learnings based on performance against the indicators to help support broader impact across the industry

CocoaAction members' commitment to shared measurement and continuous learning has been evident through participation in the Monitoring & Evaluation workstream and produced several results beginning with a common M&E language, data collection tools, and ultimately this M&E Guide.

This chapter is organized into various sections, which each outline the high-level principles that guide an aligned approach towards monitoring and evaluation (M&E) across the CocoaAction partnership.

### Results Framework

A results framework shows the causal logic that ties the interventions for CocoaAction with the desired outcome and impact results. Thus, the CocoaAction results-framework summarizes the results and indicators behind the theory of change for CocoaAction's approach to sustainability in Ghana and Cote d'Ivoire. The framework is structured into five hierarchical levels with two programmatic areas: productivity and community interventions.

Level 1. **Mission and Vision:** Both programmatic areas enhance each other, emphasizing the core understanding that sustainable cocoa can only be grown by professional farmers in supportive communities. This relation is summarized in the overarching vision and impact statements of CocoaAction.

Level 2. **Long term outcome:** Within each programmatic area, a guiding long-term outcome statement (and respective performance indicator) frames the focus to change important realities of cocoa farming over the long-term. To reach the long-term outcomes, each programmatic area is sub-divided into three action pillars ("GAPs", "Planting Material", "Fertilizer and Soil" for productivity and "Education", "Child Labor" and "Women's Empowerment" for community).

Level 3. **2020 Outcome:** Each action pillar features a 2020 outcome results statement with accompanying indicators.

Level 4. **Output:** The most immediate performance of CocoaAction's interventions is called the output. Distinct outputs feed directly into each 2020 outcome result.

Level 5. **Interventions:** The fundamental layer of the CocoaAction results framework are activities (or "interventions") which CocoaAction members agree to implement.

The CocoaAction results-framework features twelve indicators on the output level (four on the productivity side and eight on the community side), fourteen indicators on the 2020 outcome level (three on the productivity side and eleven on the community side) and each one indicator per programmatic area on the long-term outcome level. The results-framework is introduced in Annex a "Results-Framework".

## Data Responsibilities

This section clarifies the high-level principles behind the collection and submitting of CocoaAction data.

- (1) Every CocoaAction member is required to organize the data collection against each CocoaAction indicator.
  - a. Every CocoaAction member is required to work through their supply chain to de-conflict the submission of data from various sources in order to prevent double counting of data across multiple actors.
  - b. Certain outcome level indicators from the CocoaAction community pillar are excluded from individual collection responsibility in 2016—these indicators are listed separately in chapter 5 “Indicator Details and Data Collection”, section e “Community indicator details”.
  - c. The CocoaAction partnership explores the opportunities to perform joint data collection and evaluation for the indicators excluded from individual collection responsibility in 2016.
  
- (2) Every CocoaAction member is free to organize the data collection in the most appropriate way with respect to individual company program design.
  - a. Data collection can be performed, amongst others, by company internal data collectors, contractors or supply chain partners. However, observational on-farm data cannot be collected exclusively by a farmer him/ herself or any person directly employed by the farm owner.
  - b. Data collectors that collect data against the observational CocoaAction productivity indicators are required to have a basic understanding of cocoa farming and are required to have participated in any type of training that prepares them for farm observation.
  - c. Data collection may be achieved with digital or analogous tools (for example, pen and paper, or with portable electronic devices). Further, data collectors are free to use any type of tools or instruments to assist in data collection—where needed, pacing of distances instead of using measuring-tape is acceptable.
  - d. All data is required to be digitized before it is submitted to CocoaAction.
  - e. Indicator specific details for data collection are addressed in chapter 5 “Indicator Details and Data Collection”.
  
- (3) Responsibility, accountability and ownership for collected and submitted CocoaAction data rest with each member individually, irrespective of who performs the data collection or the data submitting.
  - a. Instructions for data submitting are addressed in section g “Data Submission”
  - b. Instructions for company level verification of data are addressed in chapter 6 “CocoaAction Data Management & Verification”

## Data Sensitivity and Security

The chapter is based on best currently available knowledge as of February 2016 and certain details are pending confirmation. This section clarifies the high level principles behind the collection of sensitive data and how CocoaAction ensures security of sensitive data.

- (1) Every CocoaAction member is required to ensure the removal of data that can serve to remotely and uniquely identify individuals (i.e. cocoa farmers). The “Data Submission Template” (Annex e) excludes data that can serve to identify individuals. This template is required for data entry and represents a first pilot for a common template. WCF will assist companies who require support with data entry. The template will evolve and develop

until 2017. It ensures the removal of identifier data (i.e. household coordinates and individual names). In contrast to farm-coordinates, household coordinates can—in certain settings—be used to remotely identify the person living at the location and need to be removed as well.

- (2) Every CocoaAction member is required to respect national legislation concerning the collection and management of individual data. *[Note: most countries require actors to register with a government institution for the collection of individual data of the countries' citizens.]*
- (3) Every CocoaAction member is required to ensure the informed consent of all participants in the collection of individual data (*all data that presents characteristics of one single individual, such as interview or farm-observation data*) against CocoaAction indicators.
  - a. CocoaAction recommends using a standard format for ensuring informed consent. Instructions and guidance to ensure informed consent in alignment with the ICC World-ESOMAR guidelines are included in Annex b “Informed Consent”. All comparable forms to ensure informed consent are approved in CocoaAction.
- (4) To ensure security of data, CocoaAction recommends using the CocoaAction data exchange portal to submit data to CocoaAction. In contrast to conventional email, all data submitted via the data exchange portal is permanently encrypted; all data servers are hosted in the United States of America; access to the data exchange portal is restricted to chosen representatives of each CocoaAction member; access to the data exchange portal is account/ password protected; and the exchange portal is hosted through a trusted private sub-net of Amazon’s AWS infrastructure.
  - a. Instructions for data submitting are addressed in section f “Data Submission”.
- (5) Ownership of individual data sets rests with each respective CocoaAction member. Individual data submissions can be recalled from the CocoaAction system at any time.
- (6) Ownership of aggregate data sets rests with the CocoaAction partnership. The CocoaAction partnership, through its decision making bodies, decides collectively on usage, retention and management of the aggregate data sets.
  - a. In order to develop an aligned understanding of interventions, CocoaAction will explore the establishment of aligned identification approaches for units of analysis such as schools and communities (protection of individual farmers’ identity will have priority).
- (7) Individual data sets are never disclosed between different CocoaAction members on behalf of CocoaAction.
  - a. Each member has full visibility of its own, individual data submission and the aggregate CocoaAction data set.
  - b. Information products based on the aggregate CocoaAction data set will not disclose data of individual members—neither directly, or indirectly.
- (8) The CocoaAction partnership, through its decision making bodies, jointly decides on the availability of information products based on aggregate CocoaAction data.
  - a. The CocoaAction decision making bodies have the opportunity to review information products before they are circulated among the CocoaAction partnership. If an information product is found to violate agreements of non-disclosure—especially through indirect means—their availability can be revoked by the CocoaAction partnership.



## Sampling for Data Collection

This section clarifies which CocoaAction indicators require a sampling approach for data collection and how the sampling should be principally designed. Sampling is not recommended for every indicator, but for cases where the data collection is too resource intense in order to collect data for all cases. A member is free to choose not to sample where sampling is recommended, but a member should not sample where data collection for all cases is required (i.e. training data). For certain indicators, the primary data should be provided by certain committees (i.e. CPC and CLMRS). Which sampling approach is required for which indicator is addressed in chapter 5 “Indicator Details and Data Collection” and summarized in Table 1, below.

- (1) The different sampling approaches and calculations accepted for CocoaAction indicators are detailed in Annex c “Sampling Approaches”.
  - a. Other sampling approaches are accepted as long as they equal or exceed the sampling size requirements as a result of the CocoaAction sampling approach.
  - b. Population based variables for sampling calculations (i.e. expected mean, expected standard deviation) are recommended to be based on individual experience within each member’s supply chain, or on best other available experience values (e.g. CLP2 data).
  - c. For fixed variables, CocoaAction requires: a margin of error not exceeding 5%, a confidence interval of at least 90%, while assuming a normal distribution of measurements for all CocoaAction indicators.
  - d. For verification purposes, each CocoaAction member is required to be able to present a basis for sampling size decisions.
- (2) The *population* for productivity sampling, which is used as the basis for sampling calculations in CocoaAction requires—at a minimum—to be set as the actual number of CocoaAction farmers (*farmers who received at least partial CocoaAction interventions*).
- (3) Sampling calculations in CocoaAction are required to include—at a minimum—a 10% over-sampling rule to allow for attrition and data cleaning loss.
- (4) CocoaAction requires gender disaggregation for all individual level data (indicated by biological sex: male/ female)
- (5) CocoaAction requires—at a minimum—a gender adjusted sampling approach to pursue representativeness at the national level for female farmers.
  - a. This means that gender is not approached as a clustering factor, but needs to mirror the approximate distribution of female farmers. Current experience values are for Ghana ca. 32.5% female farmers (CLP2 data) and for Cote d’Ivoire ca. 3.8% female farmers (CLP2 data).
  - b. For verification purposes, each CocoaAction member is required to be able to present a basis for gender adjusted sampling decisions based on best available knowledge.
- (6) Sampling at the farmer level (i.e. for on-farm observations) follows the principles of simple random selection where each farmer, who is worked with under CocoaAction, has principally the same chance to be included in the sample.
  - a. In cases where a farmer owns multiple farms, one of his/her farms can be chosen as the unit of analysis for on-farm observations, following the same principle of random selection.
  - b. If necessary, convenience criteria for both—the selection of farmers and farms—can ensure that the data collection remains feasible and effective.

- c. Where convenience criteria are introduced during the selection of farmers or farms, the convenience criteria have to be documented at the level of the respective member for verification purposes.
- (7) Every year, samples are required to be re-drawn for CocoaAction data collection purposes.
- a. However, certain CocoaAction indicators may require longitudinal data collection in which the same farmers are followed over several years. For example, CocoaAction is revising the approach to yield measurement for data collection starting in 2017 and it may include longitudinal data collection.
  - b. Indicator specific details for sampling are addressed in chapter 5 “Indicator Details and Data Collection” and summarized in Table 1.
  - c. Every CocoaAction member decides individually if sampling is performed for every single indicator, or if the highest sample size is used for a combined survey that covers all indicators (also acceptable: to inform the sample size for multiple indicators based on one indicator for which the best data for the sampling computation is available).

### Baseline Considerations

The definition of the indicators are focused on an ‘absolute value in the respective year’ rather than a change since a baseline, on the productivity side. The baseline data will not affect data collection for 2016. However, knowing the baseline is critical to be able to evaluate the change that took place during the time of the CocoaAction measurement period and to be able to compare the results to the results statements on the community side. On the community side, most results are focused on a change (e.g. an ‘increase’ or ‘improvement’ from a baseline).

For productivity currently there are two approaches being discussed regarding determining the baseline, which will not impact CocoaAction data collection in 2016:

- (1) *Use summary findings from other projects and reports*—e.g., studies related to average yield and data from Cocoa Livelihoods program for adoption figures: This would enable CocoaAction to compare its first year of data to other representative data to determine if some change has already occurred. On the other hand, it is likely that the baseline data will not have been collected according to the aligned guidelines that companies will use in 2016 and thus the data will not be as comparable.
- (2) *Consider 2016 as the baseline*: this approach would imply that the data collected in 2016 is the baseline and then future years would be compared to the 2016 results. This promotes more consistency between baseline and following years’ data collection but would imply that one year of CocoaAction intervention was not ‘accounted for’ when evaluating the change. Thus the results may be underestimated.

Regarding community, as mentioned above, the baseline is even more important given the framing of the results statements. The plan as of February 2016—still to be confirmed—is that the data for the baseline will be collected in two ways which will be determined by each indicator (for some indicators no baseline is necessary):

- (1) *Data collected through community needs assessment*: There are certain community indicators that are important to collect as part of the needs assessment to both determine the baseline and also to help determine the priority interventions:
  - 2.1a: # girls and boys enrolled in schools that have received CocoaAction education interventions. During the community needs assessment companies will collect data regarding enrollment in the schools with whom the company may work.

- 2.2.1a: # and % of CocoaAction communities with an operating child protection committee (CPC) or similar structure. *[Note in this case the needs assessment would include whether there is an operating CPC or not]*
  - 2.2.1b: # and % of CocoaAction farmers' households covered by operating CLMRS. *[In this situation the first thing to determine is whether there is an operating CLMRS; if there is not one then the baseline is '0'. If it is operating, then it would be required for additional work to be done to determine the baseline number of CocoaAction farming families covered by the operating CLMRS]*
  - 2.3.2a: # and % of women members in farmer organizations and/or community organizations
  - 2.3.2b: # and % of women members in community governance structures
- (2) *Data collected through central CocoaAction learning and impact evaluation study:* There are some indicators that are more 'qualitative' and/or focus on learning instead of progress. For these indicators the current recommendation as of February 2016—still to be confirmed—is to collect data for these indicators as part of a centrally commissioned CocoaAction study that would be a more cost effective way to collect such data for CocoaAction and promote more consistency in the data. The intention is that this study would not only focus on collection of data against these indicators but also be used to gather data and information to support a broader impact evaluation. Data for certain of the following indicators will be generated by committees that are supported to assist in the provision of information on these indicators (i.e. CPC, CLMRS)—a baseline study would either draw from existing committees or investigate if alternative data sources are available if such a committee does not yet exist. This study thus would be the means of collecting baseline data for the following indicators:
- 2.1b: # and % of primary schools that have received CocoaAction interventions and are meeting specified functioning effectively requirements
  - 2.1c: # SMCs or equivalent that have received CocoaAction support that are effectively functioning
  - 2.2a: # and % of CA communities with a CPC or similar structure demonstrating effectiveness *[this will be collected through an effectively functioning CLMRS over time]*
  - 2.2b: # and % of children living in CA farmers' households participating in child labor (cocoa-related or other) as defined per ILO 138 and ILO 182 *[this will be collected through an effectively functioning CLMRS over time]*
  - 2.2c: # and % of children living in non-CA farmers' households participating in child labor (cocoa-related or other) as defined by ILO 138 or ILO 182 *[this will be collected through an effectively functioning CLMRS over time]*
  - 2.2d: # and % of assisted child labor cases found that are no longer in child labor (cocoa-related or other) after the assistance *[this will be collected through an effectively functioning CLMRS over time]*
  - 2.2e: # and % of CocoaAction farmers' households covered by an effectively functioning child labor monitoring and remediation systems (CLMRS) *[this will be collected through an effectively functioning CLMRS over time]*
  - 2.3a: # and % of women in farmers org./ community org. in CocoaAction communities contributing to decision making
  - 2.3c: # and % of women in CocoaAction communities who report an increased control of income

As mentioned, for some indicators a baseline is not relevant: Half of the output indicators relate to the number of 'X' that are supported by the company. For such an indicator, the baseline is assumed to be "0" given that the measurement focuses on any and all women, SMCs, schools,

etc. that the company supported. Further for one outcome indicator this is relevant as well. Thus, the following community output indicators do not require a baseline:

- (1) 2.1.1a: # of primary schools benefitting from CocoaAction educational infrastructure, equipment and/or material interventions
- (2) 2.1.2a: # school management or equivalent committees that have received support
- (3) 2.3.1a: # of farmer and/or community facing people trained through gender awareness or sensitivity programs
- (4) 2.3.3a: # of women supported to undertake or strengthen income generating activities
- (5) Outcome indicator: 2.3b: # and % of women in CocoaAction communities who report on increased income as a result of IGA. [This indicator is focused on measuring the number of women who now perceive an increase in income as a result of the CocoaAction related intervention. Therefore for this indicator the implied baseline is '0' before the intervention begins.]

## Community Assessments & Farm-Observations

### Community Action Plans

Community Needs Assessments for community action plans are a pre-requisite for following CocoaAction community interventions. A community which is described as a “CocoaAction community” or a “CocoaAction targeted community” is any community which has participated in a community needs assessment exercise.

- (1) The facilitation of a community needs assessment and subsequent preparation of a community action plan is required for all CocoaAction community interventions (except the supply chain based CLMRS).
  - a. A community selected for CocoaAction interventions is:
    - i. a place where cocoa-growing is the predominant livelihood, but not the sole livelihood;
    - ii. made up of an administrative center or village and the inhabitants therein, including cocoa farmers, farm workers and other livelihood groups;
    - iii. The extent to which surrounding hamlets or campements will be considered as part of a central community ,or as a community in their own right, will depend on the extent to which their size, location, composition and administrative status allows them to be effectively assisted from that central community.
  - b. Every CocoaAction member is required to select four communities for every one-thousand farmers as part of the individual commitment to reach the CocoaAction goals.
  - c. Every CocoaAction member is required to ensure that a community needs assessment has been implemented before data can be submitted to count against the CocoaAction community indicators (except for the supply chain based CLMRS).
  - d. For verification purposes, each CocoaAction member is required to document the implementation of community needs assessments and the preparation of community action plans.
  - e. The implementation of community needs assessments and formulation of community action plans are described in the CocoaAction “Community Development Manual”.



### Farm-Observations

Farm-observations are a cornerstone of understanding productivity interventions in the context of CocoaAction farmers. A cocoa farmer who is described as a “CocoaAction farmer” or a “CocoaAction targeted farmer” is any cocoa farmer who received benefits or participated in interventions through the CocoaAction productivity package (i.e. any farmer who participated in relevant trainings).

- (1) CocoaAction requires that in-person farm visits and observations are a fixed component of data collection design that can be combined with recall items where appropriate.
  - a. CocoaAction requires farm-observation data collection to be performed at least yearly.
  - b. CocoaAction recommends for pooled data collections (covering all Good Agricultural Practices at one visit) to take place between May—June (or September–October). This recommendation can be adjusted dependent on individual program needs.
  - c. CocoaAction approves data collection to be performed at once or during multiple collection sessions per year (enumerators of farm-observations need to be able to distinguish the extent to which farm characteristics can be observed at different times during the year).
- (2) All indicators for farm-observations require the selection of a sample population as described in section c “Sampling for Data Collection” and Annex c.
  - a. Sampling at the farmer level (i.e. for on-farm observations) follows the principles of simple random selection where each farmer, who is worked with under CocoaAction, has principally the same chance to be included in the sample.
  - b. In cases where a farmer owns multiple farms, one of his/her farms can be chosen as the unit of analysis for on-farm observations, following the same principle of random selection.
- (3) CocoaAction requires observations on farm level to be based on at least 3 observations points for farms smaller than 1.5 ha (as determined through farm mapping or size estimation if mapping has not already been performed) and 5 observations points for farms larger than 1.5 ha.
  - a. CocoaAction requires that for the location of observations points on the farm level, members employ a procedure based on random selection to minimize enumerator bias in selection spots for observation. The random selection procedure needs to be formalized (i.e. capture in writing) for verification procedures.
  - b. CocoaAction requires that each random observation point has a distance of at least 5m from all farm boundaries
  - c. CocoaAction requires that, at each observation point, at least 10 productive cocoa trees need to be available as the basis of GAP observations. If the location is not adequate, due to absence of trees or other features, the enumerator replaces the location with another random selection.
- (4) At each farm selected in the sample for on-farm observations, CocoaAction requires the implementation of the indicator specific methodologies as detailed in chapter 5 “Indicator and Data Details”, section a (“Collection of Farm and Community Descriptive Data”) and section c (“Productivity Indicator Details”).

## Verification of Company Data & Data Submission

The chapter is based on best currently available knowledge as of February 2016 and certain details are pending confirmation.

### Company Verification

- (1) Companies are required to have a 3<sup>rd</sup> party independent verifier verify their data before it is submitted to CocoaAction.
- (2) Specific details regarding the criteria for verifiers; company internal management processes, and also relevant steps to ensure data is verified will be distributed separately.

### Data Submission

- (1) Responsibility, accountability and ownership for collected and submitted CocoaAction data rest with each member individually, irrespective of who performs the data collection or the data submitting.
- (2) To ensure security of data, CocoaAction recommends using the CocoaAction data exchange portal to submit data to CocoaAction.
  - a. Alternatively, each CocoaAction member can individually decide to use other means to submit data to CocoaAction (i.e. email).
  - b. The data exchange portal is available at: <https://data.worldcocoafoundation.org>
- (3) To improve data consistency, CocoaAction members are required to use the CocoaAction data submission template. This template is required for data entry and represents a first pilot for a common template. WCF will assist companies who require support with data entry. The template will evolve and develop until 2017.
  - a. An overview of the data submission template is included in Annex e “Data Submission Template”
  - b. The full data submission template is available directly from the WCF M&E team (Jennifer Golden, David Short, Edwin Afari, Manuel Kiewisch). It will be published online in the near future (to be announced).
- (4) In order to submit data to CocoaAction, one person from each CocoaAction member should be designated the role of “Data Steward” in order to function as the main point of contact and information on data submission.
  - a. The data steward will receive log-in details to the secured CocoaAction data exchange platform.
  - b. The data steward is responsible to provide the CocoaAction data timely (in accordance with chapter 4 “Rollout & Calendar”) to WCF (the CocoaAction secretariat for data management).
  - c. The data steward is responsible to inform WCF if data will be delayed or incomplete at the usual time of submission.

## Rollout & Calendar

The chapter is based on best currently available knowledge as of February 2016 and certain details are pending confirmation. From data collection at the company level to overall CocoaAction reporting there are several general processes that take place. Some of these processes are required whereas others are recommended; review Figure 2 for an overview of the involved processes.

### CocoaAction M&E Rollout Recommendations

A set of general guidelines is provided below that are recommended to carry out in the first year of data collection. The specific steps within a company to roll out the CocoaAction M&E data collection will vary depending on the company's processes already in place, activities conducted in-house and contracted; depth and reach of capacities, and teams/resources in place. Figure 1 provides a quick overview of below points.

- (1) **Clarify questions in the M&E guide:** The person ultimately accountable for the data collection and submission process—that is the audience to this guide—must be sure that s/he can support the on the ground team with the process. As such this lead must review this guide and clarify any specific questions e.g., with WCF.
- (2) **Determine who in the field will lead the process:** Identify a person in each country or perhaps one for both countries who will have regional or country-level oversight of the process and meet to discuss the guide and related process with him/her.
- (3) **Define clear roles and responsibilities:** Work with the in-region/country lead to clearly delineate responsibilities between the in-region/country team and the overall M&E lead and then build a team as relevant within each country to carry out activities and ensure roles are clearly defined.
- (4) **Develop an M&E Plan:**
  - a. **Develop clear processes and incorporate learning:** ensure the field team has a plan in place for carrying out the data collection; for checking in along the way to gauge progress; raise questions and share assumptions made. CocoaAction overall will also have check points to learn from each other and resolve issues raised.
  - b. **Develop a plan for data collection:** Collaborate with the field team to develop a plan regarding data collection – e.g., when will the collection happen; what tools will teams need to prepare, etc.
- (5) **Conduct a field based training:** training should include reviewing details in the guide; discussing processes and a hands-on in the field practice to see where there are questions and inconsistencies among different individuals involved and to resolve these differences.
- (6) **Determine first year populations:**
  - a. **Determine the population of farmers that are being included for monitoring in the first year:** In order to determine the sample size and pool for random selection, the team must first clarify the total population of farmers for the year. Farmers in the total population should be those that are receiving the core productivity package. Thus, all farmers receiving this package would be the population.
  - b. **Determine the population of communities that are being included as CocoaAction in the first year:** In order for a community to be monitored as a CocoaAction community, a community needs assessment must have been conducted. Thus the total population of communities being considered in the year for CocoaAction would be all communities where through the company program a community needs assessment has been conducted and the company has the

intention of or has initiated interventions according to the Community Package core interventions.

- c. **Determine the sample size and set of farmers being sampled in the first year:** Once the population of farmers has been determined, then using the sampling methodology outlined in this M&E Guide, determine the sample size; then use randomization to determine which farmers are in the sample.
- d. **Implement the first part of the M&E plan – data collection:** Once the plan is in place, then implement according to the plan.

**Throughout the process, liaise with WCF for support and sharing:** Details regarding these processes will involve but will involve a combination of in country and field participants in the process. There will be ongoing collaboration throughout the year in the form of webinars; one on one calls; and in person meetings



# M&E Rollout – Quick Start

*For use by company M&E lead person(s)*

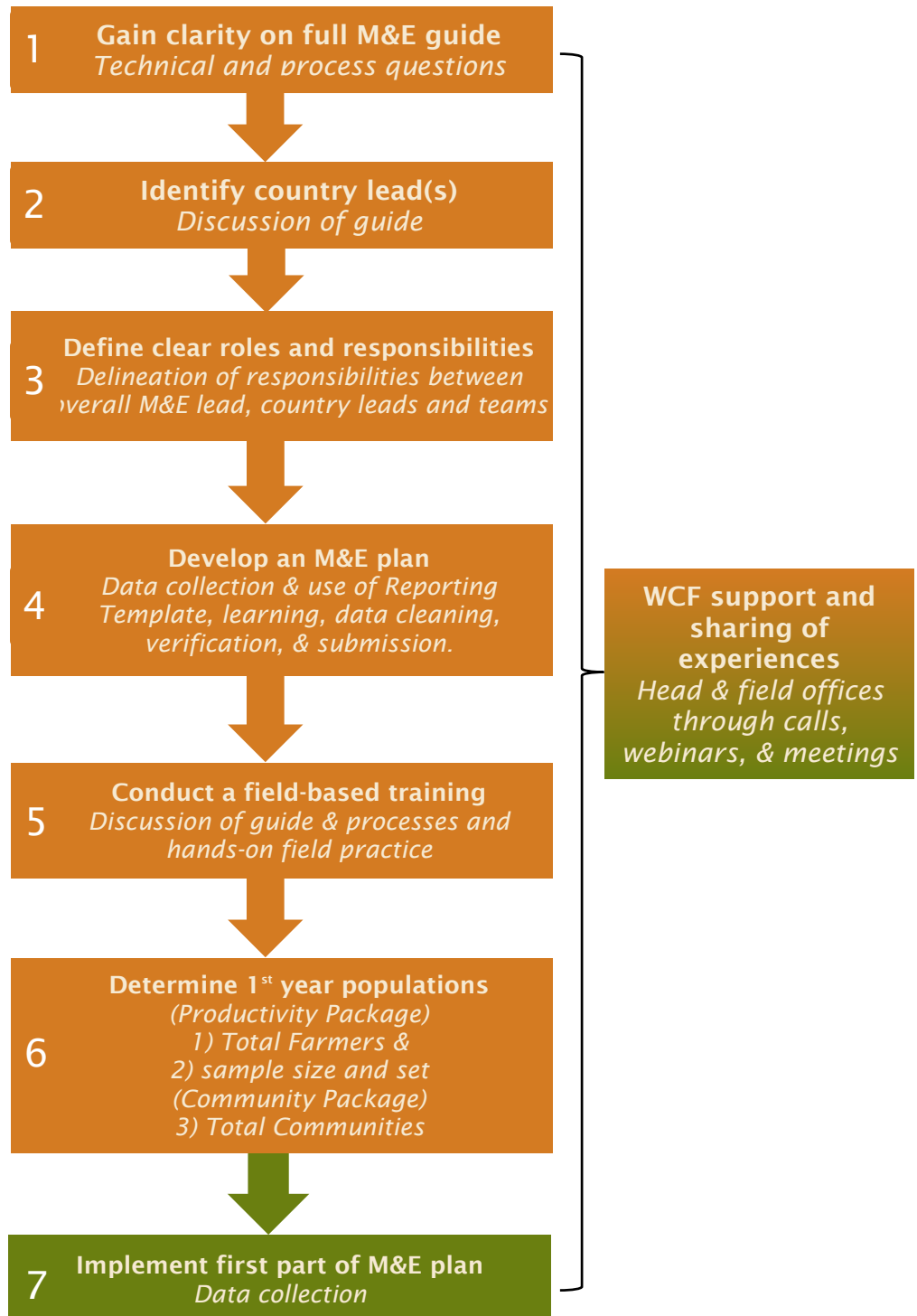
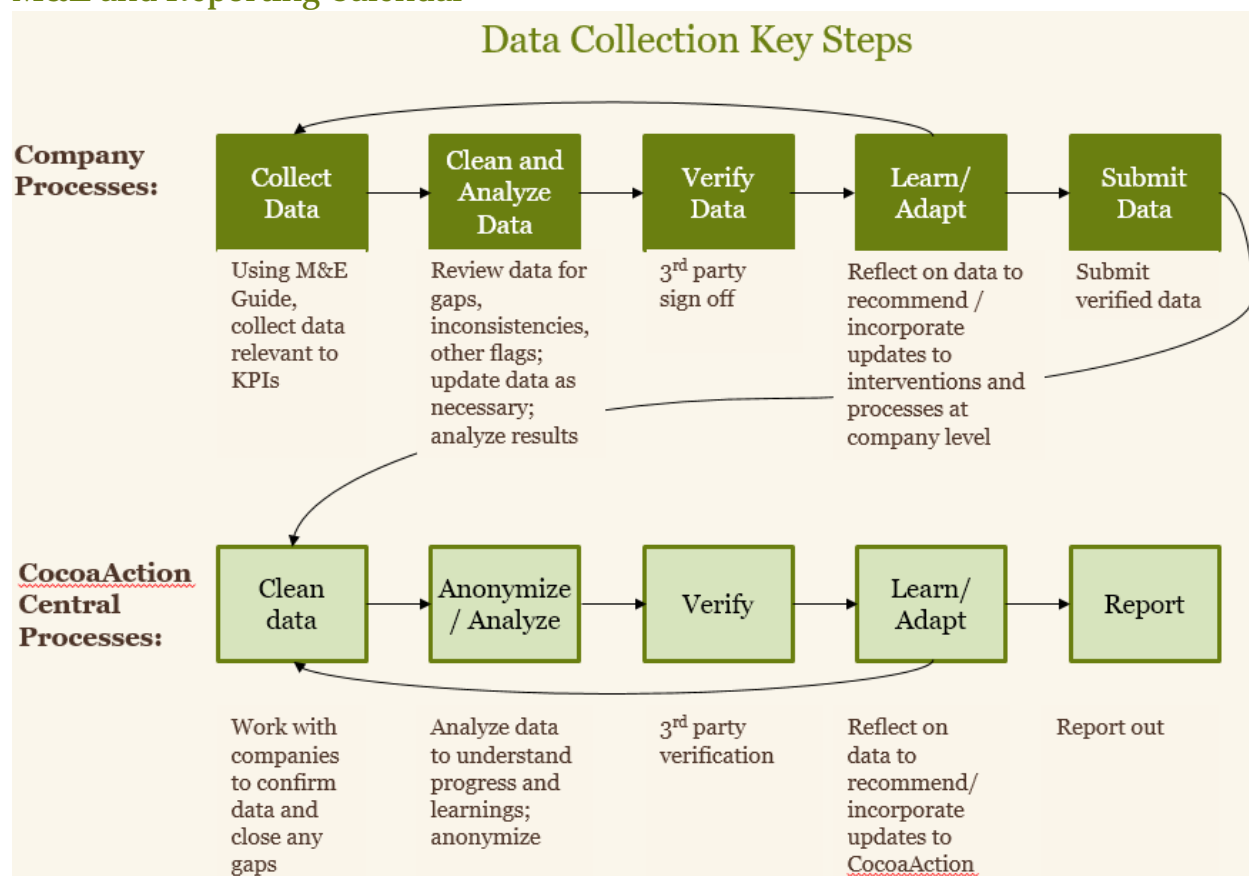


Figure 1: Overview of a generic CocoaAction M&E rollout-process.

## M&E and Reporting Calendar



**Figure 2: M&E and reporting process chain.**

Company level processes:

- (1) Collect data: Companies are required to collect data according to this M&E Guide.
- (2) Clean and analyze data: Companies are recommended to clean the data to ensure that they have all the data that they need. Where gaps and/or discrepancies are identified companies are required to collect and/or update the data. Further companies are recommended to analyze the data for their own internal use and it is required that where relevant that companies convert their data into the data required to submit to CocoaAction per the indicator details below.
- (3) Verify data: It is required that companies have a third party verify that the data they submit to CocoaAction is in accordance with the requirements of CocoaAction and that it reflects their farmers and communities.
- (4) Learn/adapt: It is recommended that companies use the data to inform a learning process using company findings to determine what interventions and/or processes to update at the company level for the future. This step can happen at any point once the company has the data.
- (5) Submit data: Once the data has been verified it is required for companies to submit the required data centrally to CocoaAction.

At a central CocoaAction level, similar processes are taken

- (1) Clean data: When data is submitted, WCF will clarify any data questions with the companies.
- (2) Anonymize/analyze: WCF converts the data so company identification is anonymous and then WCF analyzes the data.
- (3) Verify: A 3<sup>rd</sup> party will verify the processes WCF has taken from receiving the data to developing a report.
- (4) Learn/Adapt: WCF and companies will use the data to determine what to adapt with respect to CocoaAction and what to build on.
- (5) Report: A CocoaAction report will be distributed externally; and internally.

As of February 2016, the recommendation for company reporting on CocoaAction data is follows. If this timing changes, it is required that companies are informed by WCF:

(1) *Guideline 1:* Each company always reports on a new 12 month cycle, e.g.,

- Company A submits data for 2016 that relates to the twelve months from October 1 2015 to September 30, 2016
- For 2017, Company A submits data for the period from October 1, 2016 to September 30, 2017

(2) *Guideline 2:* All company data must be cleaned and verified by a 3<sup>rd</sup> party and submitted to CocoaAction by January 15,

The timing for the processes at the company level will depend company by company and in some cases indicator by indicator. For example productivity indicator data may be collected, cleaned, analyzed and verified at one time of year and the company may do the same activities for community indicators at a different time of year. Further the timing to clean and analyze data will depend on when the data is collected. Recommended timing of data collection per indicator is provided in the Indicator Details section below.

The following figure outlines how the timing may look for a company that reports on the 12 months from October 1 to September 30:

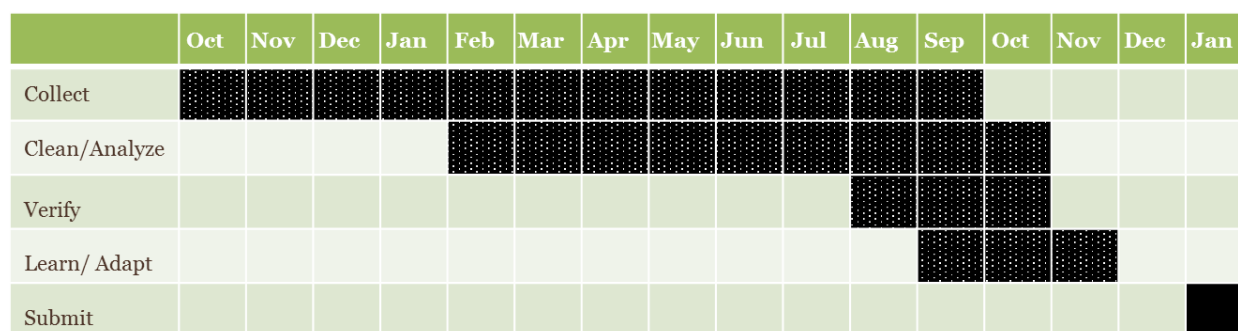


Figure 3: Timeline for M&E and reporting processes.

## Indicator Details and Data Collection

This chapter describes in detail background information on indicators and which data has to be collected for CocoaAction indicators and for descriptive purposes of communities and sampled farmers.

- (1) CocoaAction presents minimum criteria as requirements and/ or recommendations regarding how to collect descriptive data and data against indicators. Within these minimum criteria (which differ by level of detail from indicator to indicator), every CocoaAction member is free to develop their own specific questionnaire or routine.
- (2) All data points are represented in the “Data Submission Template”, presented in Annex e “Data Submission Template”
  - a. The full data submission template is available directly from the WCF M&E team ([MandE\\_Guide@worldcocoafoundation.org](mailto:MandE_Guide@worldcocoafoundation.org)). The template will be made available online (to be announced).

### Collection of Productivity and Community Descriptive Data

#### Productivity Descriptive Data

- (1) For every cocoa farmer/ farm selected in the CocoaAction sample for on-farm observations, every CocoaAction member is required to submit following information.
  - a. Farmer Descriptive Information:
    - Age of cocoa farmer (years) via interview question,
    - Sex/ gender of cocoa farmer *{Note, interview only if necessary}*,
    - Indication if farmer participated in any kind of cocoa relevant training within the last year via interview question *[Note: this is a quick-check interview question and different from the collection of training data for indicator 1.1.1.]*,
    - Number of cocoa farms owned by cocoa farmer via interview question.
  - b. Farm Descriptive Information (farm selected for on-farm observations):
    - Estimated farm size (ha) via interview question,
    - Estimated total production (Mt) via interview question,
    - Years during which cocoa has been growing on the farm via interview question,
    - Age (years) of oldest, youngest and the majority of cocoa trees on the farm via interview question,
    - Indication of cocoa tree variety grown on majority of the farm.

#### Farm Tree Density Estimation

- (1) For every cocoa farm selected in the CocoaAction sample for on-farm observations, every CocoaAction member is required to submit tree density estimation.
- (2) This descriptive element requires on-farm observation/ measurement:
  - a. At two of the observation points that an enumerator visits during the on-farm observations,
  - b. The enumerator selects a cocoa tree and measures (pacing is acceptable when converted to an estimation in meters) the distance to the two next cocoa trees from that tree,
  - c. The enumerator notes the distances in meters.



### Farm Mapping

- (1) For every cocoa farm selected in the CocoaAction sample for on-farm observations, every CocoaAction member is required to submit a farm map.
- (2) This descriptive element requires on-farm observation/ measurement:
  - a. CocoaAction requires tracking the boundary of each sampled farm as indicated by the cocoa farmer during a joint farm-visit.
  - b. CocoaAction recommends combining this data collection item with the on-farm observations items for the CocoaAction productivity indicators into one data collection routine for efficiency.
  - c. CocoaAction recommends the usage of dedicated GPS/ GLONASS receivers to track the farm boundary. These can be stand-alone or up-grade receivers. From experience, phone grade receivers fail under sub-optimal conditions.
  - d. CocoaAction recommends using the 'World Geodetic System of 1984' (WGS84) datum when collecting data. This is typically the standard setting of receivers; indicate if you use a different datum during collection.
  - e. CocoaAction recommends converting coordinates in decimal degrees, also called 'lon/lat' (longitude/ latitude) or 'X/Y' format. The Data Submission Template is designed for decimal degree format. If you use a different format, please indicate this when submitting data.
  - f. CocoaAction recommends quick-checking coordinate ranges for errors before submission. The following intervals in decimal degrees per country signal the possible range of values.
 

Cote d'Ivoire: Lon: -8.600 to -2.500 || Lat: 4.350 to 10.750  
 Ghana: Lon: -2.350 to 1.200 || Lat: 4.75 to 11.150  
 Nigeria: Lon: 2.700 to 14.680 || Lat: 4.25 to 13.900  
 Cameroon: Lon: 8.500 to 16.200 || Lat: 1.600 to 13.080

### Community Descriptive Data

- (1) For every community selected as a CocoaAction community for the implementation of activities, every CocoaAction member is required to submit the following information.
  - a. Community name,
  - b. Community coordinates,
  - c. Community Location (Region/ District name)—as detailed as available to compensate for missing or erroneous coordinate information.
- (2) For every community primary school selected as a CocoaAction school for the implementation of activities, every CocoaAction member is required to submit following information.
  - a. Community relation—connecting the school to the community it serves,
  - b. School name,
  - c. School coordinates.
- (3) Coordinate data used for locating schools and communities refer to points taken from anywhere within the delimitations of the school or community (does not need to be a center-point). They serve to unambiguously describe schools and communities within CocoaAction (spelling and doubles prevent effective use of names for this purpose).

## Definitions of Indicator Categories

On the following pages, the categories below will be detailed per each CocoaAction indicator.

**Clarification on the Indicator:** clarifies the *relevance of the indicator* to prove the CocoaAction theory of change. As such, it outlines the validity of the indicator as a measuring tool for the results-statement it belongs to.

**Reporting Numbers to WCF:** clarifies what kind of number(s), raw measurement(s), category(s) or other kind of data pieces need to be *submitted to WCF* for the indicator.

**Target Group:** clarifies the entity that the indicator is reporting about. This can be a person, group or institution.

**Data Details:** clarifies all *single pieces of data that a company has to collect* in order to be able to submit the “Reporting Numbers to WCF”—this may overlap with the ‘Reporting Numbers’ in cases where companies provide un-processed data, but will be different for indicators where companies perform data processing and aggregation tasks before reporting to CocoaAction.

**Method of Data Collection:** clarifies what a data collector has to do in order to collect all “Data Details” needed for the indicator.

**Tools or Existing Sources for Data Collection:** clarifies what tools (i.e. questionnaires, surveys) or methods, or already established sources of data exist that need or should be applied.

**Location:** clarifies *where* data has to be collected.

**Frequency and Suggested Timing of Data Collection:** clarifies *when and how often* the data for an indicator should be collected.

**Analysis:** clarifies the data processing steps that occur to transform the “Data Details” into the “Reporting Numbers to WCF”.

**Milestones:** clarifies what should be the reporting number at a certain point in time to be on track to reach the indicator target. Milestones are non-mandatory management assistance.

**Suggested Verification and Validation Methods:** clarifies which measures are suggested to *check the validity, accuracy and relevance* of the “Reporting Numbers to WCF”. Depending on the indicator, this can be a CocoaAction requirement or a recommendation for company, contractor or auditor tasks.

**Indicator Risks:** clarifies external conditions that need to be met for the indicator to fully impact the theory of change. Depending on the indicator, these conditions can be out of the range of control of the CocoaAction partnership. These conditions need to be monitored in order to manage program risk.

**Evaluation:** clarifies how an *independent evaluation study* can be useful to collect data against this indicator. This can concern the creation of additional information to clarify findings from company internal monitoring, or it can concern evaluation studies as the main source of information against the indicator.



## Indicator Quick-Check

Table 1: Indicator Quick-Check

Intervention Area	Indic. #	CocoaAction Indicator (shortened language)	Reporting Numbers to WCF	Method of Data Collection	Existing Tools/ Sources	Collection Frequency	Sampling Needs
Productivity Long-Term Outcome	1.a	[Mt] dried cocoa beans produced per hectare	Average cocoa yield (current methods)	Depending on company's current approach	In development for 2017	At least yearly	Depending on company's current approach
Productivity 2020 Outcome Gaps	1.1a	% farmers applying GAPs	Recall + farm-observation per each GAP		Enumerator guidance per GAP	At least yearly	Precision based sampling
		Basic GAP 1: Pruning Management	Pruning quality category	Observation for each observation spot	Pruning Management Guidance		
		Basic GAP 2: Pest and Disease Management	Occurrence of disease categories	Observation per pest and per each observation spot	Pest and Disease Mngm't Guidance		
		Basic GAP 3: Weed Management	Weeding quality category	Observation for overall farm	Weed Management Guidance		
		Basic GAP 4: Shade Management	* Need for shade management * Shade quality category * On-farm evidence	Observation and recall for overall farm	Shade Management Guidance		
		Basic GAP 5: Harvest Management	* Harvest quality category * Harvest start (main/ minor) * Harvest frequency (main/ minor)	Observation for each observation spot and recall for overall farm	Harvest Management Guidance		
Productivity 2020 Outcome Planting Material	1.2a	% farmers rehabilitating cocoa farms to a minimum	* Replanting within last 5y * Type of planting material * # of planting material received (last year) * # of planting material used (last year) * On-farm evidence * Replanting quality category * Infringing protected areas	Observation and recall for overall farm	Farm Rehabilitation Guidance	At least yearly	Precision based sampling
Productivity 2020 Outcome Soil Fertility Management	1.3a	% farmers applying soil fertility management practices.	Recall + farm-observation results per each Soil Management Practice		Enumerator guidance per Soil Management Practice	At least yearly	Precision based sampling
		Soil Management Practice 1: Soil Health Management	* Soil health quality category * On-farm evidence	Observation for each observation spot	Soil Health Enumerator Guidance		
		Soil Management Practice 2: Soil Nutrient Replenishment	* Soil health quality category * Fertilizer quantity used * Fertilizer brand used	Observation and recall for overall farm	Soil Nutrient Enumerator Guidance		
		Soil Management Practice 3: Soil Erosion Protection	* Soil Erosion management quality category * On-farm evidence	Observation for overall farm	Soil Erosion Enumerator Guidance		

Intervention Area	Indic. #	CocoaAction Indicator (shortened language)	Reporting Numbers to WCF	Method of Data Collection	Existing Tools/ Sources	Collection Frequency	Sampling Needs
Productivity Output Gaps	1.1.1a	% farmers attending minimum training & % female farmers trained	* # Overall farmers trained * % female farmers	Review of training attendance records		At least yearly	Covers all trainings for all farmers
Productivity Output Planting Material	1.2.1a	% farmers with access to planting material distribution points.	* # supported distribution points * GPS of distribution points * Access to planting material	Document review, GPS collection, farmer recall	None	At least yearly	Covers all distribution points, recall only sampled farmers
Productivity Output Soil Fertility Management	1.3.1a	% farmers with access to fertilizer distribution points.	* # supported distribution points * GPS of distribution points * Access to fertilizer	Document review, GPS collection, farmer recall	None	At least yearly	Covers all distribution points, recall only sampled farmers
	1.3.2a	Soil maps & fertilizer formula	Performed in study by IDH Sustainable Trade Initiative				
Community Long-Term Outcome	2.a	[working statement] % communities that improve across all results areas.	Post 2016 collection				
Community 2020 Outcome Education	2.1a	# girls and boys in schools that received education interventions	* # boys enrolled * # girls enrolled * Intervention in reporting year	* needs assessment * document review	* enrollment lists * intervention documentation	At least yearly	Covers all schools that receive/ received interventions
	2.1b	# and % of primary schools that received interventions & meet effectiveness criteria	Post 2016 collection				
	2.1c	# SMCs or equivalent that received support & that function effectively	Post 2016 collection				
Community 2020 Outcome Child Labor	2.2a	# and % of communities with CPC or similar that function effectively	Post 2016 collection—data to be generated by CPC				
	2.2b	# and % of children in farmers' households in child labor	Post 2016 collection—data to be generated by CPC/ CLMRS				
	2.2c	# and % of children in non-farmers' hhs in child labor	Post 2016 collection—data to be generated by CPC/ CLMRS				
	2.2d	# and % of assisted child labor cases no longer in child labor	Post 2016 collection—data to be generated by CPC/ CLMRS				
	2.2e	# and % of farmers' households covered by CLMRS	Post 2016 collection—data to be generated by CLMRS				
Community 2020 Outcome	2.3a	# and % of women in relevant orgs.	Post 2016 collection				

Intervention Area	Indic. #	CocoaAction Indicator (shortened language)	Reporting Numbers to WCF	Method of Data Collection	Existing Tools/ Sources	Collection Frequency	Sampling Needs
Women's		contributing to decision making					
	2.3b	# and % of women report increased income from IGA	* # community women * # of IGA participant women * # women with increased income	* needs assessment * document review * interviews	population census	At least yearly	Covers all communities that receive/ received interventions
	2.3c	# and % of women who report an increased control of income	Post 2016 collection				
Community Output Education	2.1.1a	# of primary schools benefitting from relevant interventions	* total US\$ value of interventions * type of intervention	* needs assessment * document review	Intervention records	At least yearly	Covers all schools receive/ received interventions
	2.1.2a	# school management or equivalent that received support	* support/ advocacy provided * ongoing/ new support	* needs assessment * document review	Intervention records	At least yearly	Covers all schools receive/ received interventions
Community Output Child Labor	2.2.1a	# and % of communities with operating CPC or similar	* CPC operating in community	* needs assessment * interviews with CPC/ community * document review	CPC records	At least yearly	Covers all communities that receive/ received interventions
	2.2.1b	# and % of farmers' households covered by operating CLMRS	* # of farmers covered by CLMRS * total # of current farmers	* interviews with CLMRS/ community * document review	CLMRS records	At least yearly	Covers all communities that receive/ received interventions
Community Output Women's	2.3.1a	# of relevant people trained through gender awareness or sensitivity programs	* # of men trained * # of women trained	* document review	Training records	At least yearly	Covers all trainings
	2.3.2a	# and % of women members in farmer org. and/or community org.	* # of overall members of relevant organizations * # of female members of relevant organizations	* needs assessment * document review * interviews	Organization records	At least yearly	Covers all relevant orgs. in supply chain/ communities
	2.3.2b	# and % of women members in community governance structures	* # of overall members of governance structures * # of female members of governance structures	* needs assessment * document review * interviews	Organization records	At least yearly	Covers all governance structures in all communities
	2.3.3a	# of women supported to undertake or strengthen IGA	* # women supported in IGA	* needs assessment * document review * interviews	Intervention records	At least yearly	Covers all trainings in all communities

## Productivity Indicator Details

### 2016 Collection

#### LONG-TERM OUTCOME:

- 1) Increased Cocoa Yield for targeted CocoaAction farmers
- 1a) Metric tons of dried cocoa beans produced per hectare of overall farm area



#### Clarification on the Indicator:

Cocoa beans are the main source of income from cocoa farming and thus, farm productivity becomes the most decisive business factor for cocoa farmers. Farm yield is measured per crop year and can be disaggregated by harvest cycle (into main harvest/ minor harvest).

In 2016, CocoaAction builds upon the existing methodology currently in practice by the member companies. During 2016, the respective CocoaAction workstream is tasked with the development of an aligned approach to assess yield.

The indicator measures the overall farm area which relates to all land that the farmer designates as his/ her cocoa farm. That includes non-productive portions under cocoa and non-cocoa portions that are part of the cocoa farm as delineated by the farmer.

#### Reporting Numbers to WCF:

- In 2016, any figure that indicates average cocoa yield of a company's farmers as assessed by currently applied methodologies.
- For 2017, an aligned approach will be proposed through the respective CocoaAction workstream

#### Target Group:

- 2016: Cocoa farmers (either as a company's aggregate or as a sample, according to 2016 company approach)

#### Data Details:

- 2016: Depending on company's current approach

#### Method of Data Collection:

- 2016: Depending on company's current approach

#### Tools or Existing Sources for Data Collection:

- 2016: to be developed for 2017 data collection

#### Location:

- 2016: Depending on company's current approach

#### Frequency and Suggested Timing of Data Collection:



- 2016: Depending on company's current approach

#### **Analysis:**

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- 2016: No data analysis required by CocoaAction members in 2016

#### **Milestones:**

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- The average yield of farmers adopting the full productivity package reaches a minimum of 700kg/ha by 2020.

#### **Suggested Verification and Validation Methods:**

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- 2016: Depending on company's current approach

#### **Indicator Risk:**

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- External environmental conditions to grow cocoa need to remain stable over the long term with only minor fluctuations over the short term. Reasons for major changes from expected yield need to be monitored and interpreted.
- External economic conditions to grow cocoa need to remain stable over the long term with only minor fluctuations over the short term. Reasons for major changes in the economic incentive of growing cocoa need to be monitored and interpreted.
- In 2016 the comparability of yield data is impacted by the different approaches that companies currently take. The probable impact and the difference in approaches should be evaluated to interpret data correctly and make recommendations for 2017 collection.

#### **Evaluation:**

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- The causality between farmer training, GAP application and yield can be better understood through in-depth studies in quasi-experimental settings (controlling co-variants, comparing with a control group, using a cohort approach).
- An impact study that controls for influencing variables can indicate the level of influence of the "Indicator Risks" on the level of achievement against this indicator.

### **GOOD AGRICULTURAL PRACTICES**

Outcome: 1.1) Farmers adopt recommended good agricultural practices, if required.

Indicator: 1.1a) Percentage of targeted farmers applying basic Good Agricultural Practices.



#### **Clarification on the Indicator:**

---

Good Agricultural Practices (GAPs) are farm management techniques that ensure sustainable and profitable cocoa farming. According to the theory of change, the application of GAPs together with improved planting material and soil fertility interventions will be more productive than the conventional cropping methods, currently in use.

In CocoaAction, soil fertility interventions and farm rehabilitation interventions are grouped separately under the Results Framework, while the basic GAPs include: Cocoa Tree Pruning, Cocoa Pest and Disease Management, Cocoa Weed Management, Cocoa Shade Management and Cocoa Harvest Management.

Individual indicator considerations for each of the five basic GAPs are presented after the following overview of commonalities.

#### **Target Group:**

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- Cocoa Farmer (selected for sample)

#### **Data Details:**

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- Farmer identification (ID)
- Farmer location for farm visits/ farmer survey
- Outcomes of farmer farm visit/ farmer survey data (covering all basic GAP items presented below)

#### **Tools or Existing Sources for Data Collection:**

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- CocoaAction enumerator guidance (see Annex d “Enumerator Guidance”)

#### **Location:**

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- Data collection on one or multiple selected cocoa farms for each CocoaAction farmer included in the sample

#### **Frequency and Suggested Timing of Data Collection:**

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- Collection at least once per year for farmers covered in sample
- *Recommended:* from May to June (or September-October)

#### **Analysis:**

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- No analysis is required on the side of CocoaAction companies before submitting the “Reporting Numbers to WCF” for any of the GAP observations.

#### **Milestones:**

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- Across all CocoaAction companies, 300,000 farmers apply 4 out of 5 GAP practices on their cocoa farms by 2020 (must include pruning)

#### **Suggested Verification and Validation Methods:**

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- Random cross-checking by revisiting sampled farmers and confirming data collection procedure and taking spot checks
- Random cross checks of ID numbers with names on data collection forms

#### **Indicator Risk:**

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- Farmers need to be willing to adopt a professional approach to cocoa growing and apply GAPs (the aim of CocoaAction training).
- Adequate labor and means to invest into labor needs to be available in order to assist farmers to apply required GAPs.
- Agro-inputs and tools need to be available to farmers if they are required for the proper implementation of GAPs.

#### **Evaluation:**

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- Reasons for non-application of GAP practices can be better understood with in-depth evaluation studies
- ‘Indicator Risks’ that impact farmer performance can be better understood with in-depth evaluation studies.
- The context of a “professional farmer” who applies required GAP techniques versus other farmers can be better understood with in-depth evaluation studies

### GOOD AGRICULTURAL PRACTICES

Outcome: 1.1) Farmers adopt recommended good agricultural practices, if required.

Indicator: 1.1a) Percentage of targeted farmers applying basic Good Agricultural Practices. Basic GAP 1: Cocoa Tree Pruning Observations Score



#### Clarification on the Indicator:

A well-pruned cocoa tree will capture more sunlight, produce more cocoa pods and suffer fewer disease and pest problems. Farmers can selectively remove branches from their cocoa trees in order to improve productivity. The main types of pruning assessed through CocoaAction and expressed in one combined quality statement by the field enumerator are:

- Architectural Pruning involves selectively removing branches from a cocoa tree so it has a single, short trunk, a low jorquette with its fan branches evenly spaced and somewhat laterally/ vertically growing branches (this is best done at young tree age). Architectural pruning ensures that the structure of the tree is symmetrical and stable.
- Maintenance Pruning involves removing all chupons as well as any branches that consume more energy than they produce. This thinning of the crown allows more sunlight to reach the lower branches and permits air to move through the cocoa tree.

#### Reporting Numbers to WCF:

- For each sampled CocoaAction farmer and for each observation spot assessed on-farm, a company submits one of the following categories as judged by the enumerator for all pruning practices combined (hence, 3-5 statements per sampled farmer): ***no evidence of pruning management, evidence but insufficient, evidence and sufficient***. Or, If relevant, they note: *Not able to indicate, Pruning not necessary*

#### Method of Data Collection:

- Enumerators visit each sampled farmer and observe the status of architectural and maintenance pruning combined on the required number of observation spots (as described in Chapter 3 “M&E Design”, sub-section “Farm-Observations”)
- At each observation spot, enumerators examine all visible trees as a whole.
- Enumerators consider the entirety of pruning criteria and knowledge that they have from their training, picture guides support as reminders of different aspects of pruning (see Annex d “Enumerator Guidance”)
- Enumerators evaluate each observation spot alongside 3 main criteria for all pruning elements as a whole: ***no evidence of pruning management, evidence but insufficient, evidence and sufficient***. Further, they note if: *Not able to indicate, Pruning not necessary*



## GOOD AGRICULTURAL PRACTICES

Outcome: 1.1) Farmers adopt recommended good agricultural practices, if required.

Indicator: 1.1a) Percentage of targeted farmers applying basic Good Agricultural Practices. Basic GAP 2: Cocoa Pest and Disease Management Score

### Clarification on the Indicator:

The prevalence of mistletoe, fungal diseases and insect pests within a cocoa field directly affects the amount of harvestable cocoa produced each year. This indicator illustrates the adoption of appropriate pest and disease management techniques by cocoa farmers.

Cocoa trees are susceptible to a wide array of pathogens, including viruses, fungi, insects, parasitic plants, and rodents. Cocoa farmers have a number of options available for managing these pests and diseases. In regions where a particular disease or pest has become commonplace, cocoa farmers can plant resistant types of cocoa (Cultivars). They can also apply agrochemicals to reduce the populations of major pests and reduce the spread of diseases. Further, farmers can use local practices that both prevent infection and infestation as well as make the environment of the cocoa field less hospitable to pests and diseases.

Enumerators are especially encouraged to observe the following typical pest and disease management practices on-farm:

Sanitary harvest and black pod removal, or the systematic removal of all diseased and overripe pods from the farm before, during and after each harvest. This helps prevent the infection of healthy cocoa pods and trees by removing sources of infection.

Mistletoe removal, or the pruning of all Mistletoe infected tree parts prevents cocoa trees from infecting adjacent branches or spreading to neighboring trees.

Use of biological or chemical insecticides, or removal of tree parts infected by mirids; insects from several species of the Miridie family, which feed on cocoa pods and leaves.

Use of biological or chemical insecticides, or removal of tree parts infected by stem Borers; insect larvae (*Eulophonotus myrmeleon*) that tunnel into the trunks and main branches.

Appropriate tree density, pruning and shadowing of cocoa trees to prevent the growth of canker.

### Reporting Numbers to WCF:

- For each sampled CocoaAction farmer and for each observation spot assessed on-farm, a company submits one of the following categories as judged by the enumerator per disease (hence, 15-25 statements per sampled farmer): ***no evidence of pest/ disease management (serious infection observed), evidence but insufficient (few infections observed), evidence and sufficient (no infections observed), Not able to indicate, Pest and disease management not necessary***

### Method of Data Collection:

- Enumerators visit each sampled farmer and observe the status of pest and disease management on the required number of observation spots (as described in Chapter 3 “M&E Design”, sub-section “Farm-Observations”)

- At each observation spot, enumerators examine all visible trees as a whole.
- Enumerators consider the entirety of pest and disease criteria and knowledge that they have from their training, picture guides support as reminders of different aspects of pest and diseases (see Annex d “Enumerator Guidance”)
- Enumerators evaluate each observation spot alongside 3 main criteria for each CocoaAction pest/ disease: ***no evidence of pest/ disease management, evidence but insufficient, evidence and sufficient***. Further, they note if: *Not able to indicate, Pest and disease management not necessary*

### GOOD AGRICULTURAL PRACTICES

Outcome: 1.1) Farmers adopt recommended good agricultural practices, if required.

Indicator: 1.1a) Percentage of targeted farmers applying basic Good Agricultural Practices. Basic GAP 3: Cocoa Weed Management Score



#### Clarification on the Indicator:

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By preventing and removing weeds, a farmer reduces the competition their cocoa trees face for water and nutrients.

Weeds are fast growing grass and shrub species that require a lot of sunlight to sprout and grow, so they are a problem where unfiltered sunlight reaches the ground. Weeding is particularly important during the first few years after establishment of a new cocoa field, or the rehabilitation of an old field, when the crowns of the young cocoa are not yet large enough to prevent weeds from growing. Moreover, the root systems of young cocoa trees only reaches the immediate area around their trunks, so weeds can deprive the cocoa of water and nutrients.

Weeds can also provide habitat and cover for unwanted insects. They can also make the practice of harvesting and pest and disease management more difficult and less effective by hiding diseased pods that have fallen to the ground, which can be a source of infestation and infection. If weeds grow too thick, they can make walking around in a cocoa field difficult, impeding pruning, harvesting and other activities.

Farmers can regulate weeds via Mechanical Weeding - Farmers are regularly cutting back the weeds in their cocoa fields using cutting tools.

Farmers can regulate weeds via pesticides - Farmers are applying approved and recommended herbicides to reduce the weeds in their cocoa fields or to prevent sprouting.

#### Reporting Numbers to WCF:

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- For each sampled CocoaAction farmer and for each assessed farm, a company submits one of the following categories as judged by the enumerator on weed management for the entirety of the farm (hence, 1 statement per sampled farm): ***no evidence of weed management, evidence but insufficient, evidence and sufficient, Not able to indicate, Weed management not necessary***

#### Method of Data Collection:

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- For Weed Management, enumerators evaluate the farm as a whole after they visited all observation spots and performed all data collection of other on-farm items and add their impressions for a farm-wide conclusion.

- Enumerators consider the entirety of weed management criteria and knowledge that they have from their training, picture guides support as reminders of different aspects of weed management (see Annex d “Enumerator Guidance”)
- Enumerators evaluate the whole farm alongside 3 main criteria: ***no evidence of weed management, evidence but insufficient, evidence and sufficient, Not able to indicate, Weed management not necessary***

### GOOD AGRICULTURAL PRACTICES

Outcome: 1. 1) Farmers adopt recommended good agricultural practices, if required.

Indicator: 1.1a) Percentage of targeted farmers applying basic Good Agricultural Practices. Basic GAP 4: Cocoa Shade Management Score



#### Clarification on the Indicator:

Cocoa is an understory tree that, in the wild, is found growing along the edges of gaps and clearings in the forest. Cocoa trees do best when planted under a broken canopy. Therefore, cocoa fields should have a canopy of long-lived tree species which grow tall enough that their crowns overlay the cocoa trees. By diminishing and defusing the sunlight reaching the cocoa tree layer, shade trees moderate the environment within the cocoa field. However, shading also decreases short term yield potential and inadequate tree species or a shade cover which is too dense can favor pests and damage to cocoa tree and pods.

- The shade canopy plays a role in both the health and productivity of a cocoa field as it affects the amount of water in the air (humidity) by limiting evaporation and reducing the flow of air through the fields and among the cocoa trees.
- Shade trees intercept rain drops, which slowly drips down to the ground. By capturing and slowly releasing rainfall, shade trees provide the soil more time to absorb the rainfall. The shade trees also help the soil retain this moisture by slowing evaporation. Shade canopy reduces erosion by protecting soil from tropical downpours.
- The habitat provided by shade trees supports beneficial insects that feed on cocoa pests. Not only is the ground under shade trees cool and moist, there is more leaf litter and organic material, which provides ample habitat for a wide variety of insects. The crowns of shade trees also provide an array of different niches, favoring still other species of insects that prey on cocoa pests.
- Shade trees make available nutrients that are otherwise beyond the reach of the cocoa trees. Shade trees have deep and expansive root systems that draw up nutrients from far below the ground, which are incorporate into their leaves that eventually fall to the ground. As this leaf litter decomposes, the nutrients are slowly released directly above the shallow roots of the cocoa tree.
- Farmers can also plant tree species that increase soil fertility, such as those that produce leaf litter rich in particular minerals or nutrients, or leguminous species with roots that fix nitrogen from the air.
- By reducing the amount and intensity of the sunlight reaching the ground, shade trees prevent the emergence of fast growing grasses and shrubs that would compete with the cocoa for moisture and nutrients.

During the data analysis process, the data collected by the Shade Management observations and measurements is used to determine if cocoa farming households are effectively managing shade cover on the farm.



### Reporting Numbers to WCF:

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- For each sampled CocoaAction farmer and for each assessed farm, a company submits one from each set of the following categories as judged by the enumerator for shade management on the entirety of the farm (hence, 1 statement per sampled farm):
  - ***Farm is currently in need of permanent shade management, farm is currently in need of temporary shade management, Not able to indicate, Shade management not necessary***
  - ***no evidence of needed shade management, evidence but insufficient, evidence and sufficient, Not able to indicate, Shade management not necessary***
- In addition, for each sampled CocoaAction farmer and for each assessed farm, a company submits one of the following categories as indicated by the enumerator after questioning the cocoa farmer if he/she currently implements new shade management actions and potentially visiting the respective site(s):

***farmer was able to present on-farm evidence of new shade management actions, farmer was not able to show on-farm evidence of new shade management actions, Not able to indicate***

### Method of Data Collection:

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- For shade management, enumerators evaluate the farm as a whole after they visited all observation spots and performed all data collection of other on-farm items and add their impressions for a farm-wide conclusion.
- Enumerators consider the entirety of shade management criteria and knowledge that they have from their training, picture guides support as reminders of different aspects of shade management (see Annex d “Enumerator Guidance)
- First, enumerators indicate if the farm is in need of shade management and which type of shade management, alongside 2 main criteria: ***Farm is currently in need of permanent shade management, farm is currently in need of temporary shade management, Not able to indicate, Shade management not necessary***
- Next, enumerators evaluate the whole farm alongside 3 main criteria: ***no evidence of needed shade management, evidence but insufficient, evidence and sufficient, Not able to indicate, Shade management not necessary***
- In addition, enumerators ask the farmer one question item to assess if the farmer is currently implementing new measures. If the farmer reports to currently implement new measures, the enumerator asks the farmer to visit the (or one of the) site(s) where these measures are implemented and records among the following options: ***farmer was able to present on-farm evidence of new shade management actions, farmer was not able to show on-farm evidence of new shade management actions, Not able to indicate***

#### GOOD AGRICULTURAL PRACTICES

Outcome: 1.1) Farmers adopt recommended good agricultural practices, if required.

Indicator: 1.1a) Percentage of targeted farmers applying basic Good Agricultural Practices. Basic GAP 5: Cocoa Harvest Management



#### Clarification on the Indicator:

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Only harvesting mature cocoa pods is critical to the quality of cocoa beans as the ripening process changes the flavor profile of beans. Ripe cocoa pods also contain larger, heavier cocoa beans

than unripe pods, which makes them more valuable as farmers are paid by weight. The harvesting of overripe cocoa pods is bad for cocoa quality as these beans are easily damaged. Cocoa beans from overripe or diseased pods can also have mold and fungus growing on them that could damage surrounding cocoa beans during storage. In addition, overripe or unripe cocoa pods negatively impact the flavor profile of cocoa and make the pods less valuable for certain applications.

Besides a farmer interview on harvesting practices, the indicator takes into account signs such as rotting pods or damaged cocoa trees (harvest scars) into account.

### Reporting Numbers to WCF:

- For each sampled CocoaAction farmer and for each observation spot assessed on-farm, a company submits one of the following categories as judged by the enumerator (hence, 3-5 statements per sampled farmer): ***no evidence of harvest management, evidence but insufficient, evidence and sufficient***, *Not able to indicate, Harvest management not necessary*
- In addition, for each sampled CocoaAction farmer and for each assessed farm, a company submits one of the following categories as indicated by the enumerator after questioning the cocoa farmer “How often does farmer collect pods during main harvest?” (total farm visits for pod collection): ***number***, *Not able to indicate*
- In addition, for each sampled CocoaAction farmer and for each assessed farm, a company submits one of the following categories as indicated by the enumerator after questioning the cocoa farmer “When did the main harvest start?": ***January, February, March, April, May, June, July, August, September, October, November, December***, *Not able to indicate, Harvest management not necessary*
- In addition, for each sampled CocoaAction farmer and for each assessed farm, a company submits one of the following categories as indicated by the enumerator after questioning the cocoa farmer “How often does farmer collect pods during mid-crop harvest?” (total farm visits for pod collection): ***number***, *Not able to indicate*
- In addition, for each sampled CocoaAction farmer and for each assessed farm, a company submits one of the following categories as indicated by the enumerator after questioning the cocoa farmer “When did the mid-crop harvest start?": ***January, February, March, April, May, June, July, August, September, October, November, December***, *Not able to indicate, Harvest management not necessary*

### Method of Data Collection:

- Enumerators visit each sampled farmer and observe the status of harvest management on the required number of observation spots (as described in Chapter 3 “M&E Design”, sub-section “Farm-Observations”)
- At each observation spot, enumerators examine all visible trees as a whole.
- Enumerators consider the entirety of harvest criteria and knowledge that they have from their training, picture guides support as reminders of different aspects of harvest management (see Annex d “Enumerator Guidance”)
- Enumerators evaluate each observation spot alongside 3 main criteria for harvest management: ***no evidence of harvest management, evidence but insufficient, evidence and sufficient***. Further, they note if: *Not able to indicate, Harvest management not necessary*
- Next, enumerators ask the farmer two question items to assess how frequently the farmer realizes harvesting during the two seasons. The enumerator selects for each recall element among following options:

- “How often does farmer collect pods during main harvest?”:
- “How often does farmer collect pods during mid-crop harvest?”:
- In addition, enumerators ask the farmer one question item to assess differences in yearly seasonality. The enumerator selects for each recall element among following options:
  - “When did the main harvest start?”: *month, not able to indicate*
  - “When did the mid-crop harvest start?”: *month, not able to indicate*

## PLANTING MATERIAL

Outcome: 1.2) Farmers adopt rehabilitation techniques using recommended planting materials, if required.

Indicator: 1.2a) Percentage of targeted farmers rehabilitating their cocoa farms to a minimum degree.



### Clarification on the Indicator:

Replacing aging cocoa trees with new, productive cocoa is critical to the mid- and long-term economic sustainability of cocoa farming households. This includes the analysis, if a farmer plants in protected areas since the conservation of forest within cocoa fields is a critical to the environmental sustainability of a supply chain since cocoa is grown in biologically important and endangered tropical ecosystems.

Rehabilitation includes different practices, such as:

- Renovation, which involves rehabilitating a cocoa field by first removing all the old cocoa trees within a section or block of a cocoa field and then replanting new cocoa. If the majority of the cocoa trees are unproductive, an entire cocoa field may be renovated (complete replanting). However, many farmers renovate their old cocoa fields in strips or blocks (gradual replanting).
- Under planting, a method for rehabilitating a cocoa field that involves planting of new cocoa next to old, unproductive cocoa trees, which are left in place to provide shade. Once the new cocoa is nearly mature enough to produce cocoa pods, the old cocoa trees are removed to make room for their replacements. Small-scale farmers often find Under Planting more attractive than Renovation because it reduces the time between the loss of the cocoa pods produced by the old tree and the first harvest of the new trees.

### Reporting Numbers to WCF:

- For each sampled CocoaAction farmer and for each assessed farm, a company submits one of the below categories indicated by the enumerator for each of the following recall questions:
  - “Has the farmer replanted, grafted or rehabilitated parts of the farm within the last 5 years?”: *Yes, No, Not able to indicate*
  - If farmer indicates replanting/ rehabilitation: “What type of planting material is typically used?” (this can also be assessed via a proxy question such as “source of planting material”): *improved planting material, conventional planting material, Not able to indicate*

- “Number of improved planting material received during the last year”: #, *Not able to indicate*
- “Number of improved planting material used on own farm(s) during the last year”: #, *Not able to indicate [in post 2016 collection, CocoaAction will need to track past application of rehabilitation by farmer]*
- If farmer indicates replanting/ rehabilitation: for each sampled CocoaAction farmer and for each assessed farm, a company submits one of the following categories as indicated by the enumerator for each of the following topics, after asking the cocoa farmer to present on-farm evidence of replanting/ rehabilitation:
  - On-Farm Evidence: ***Farmer was able to present on-farm evidence of replanting or rehabilitation, Farmer was not able to present on-farm evidence of replanting or rehabilitation, Not able to indicate***
  - ***Best Practice: Replanting or rehabilitation was accomplished according to best practices, Replanting or rehabilitation was not accomplished according to best practices, Not able to indicate***
- For each sampled CocoaAction farmer and for each assessed farm, a company submits one of the following categories as indicated by the enumerator after observation: ***there is indication that the farm extends into protected land, there is no indication that the farm extends into protected land, Not able to indicate***

#### Target Group:

- Targeted cocoa farmers (disaggregated by sex)

#### Data Details:

- Farmer identification (ID)
- Farmer location for farm visits/ farmer survey
- Outcomes of farmer farm visit/ farmer survey data (covering replanting and rehabilitation items presented below; see recommendations in Annex d “Enumerator Guidance”)

#### Method of Data Collection:

- Enumerators consider the entirety of rehabilitation management criteria and knowledge that they have from their training, picture guides support as reminders of different aspects of shade management (see Annex d “Enumerator Guidance”)
- The enumerator visits each sampled farmer asks the farmer to indicate the status for each of the following recall elements. The enumerator then captures the answer alongside one of the following categories per recall element:
  - “Has the farmer replanted or rehabilitated parts of the farm within the last 5 years?": ***Yes, No, Not able to indicate***
  - If farmer indicates replanting/ rehabilitation: “What type of planting material is typically used?” (this can also be assessed via a proxy question such as “source of planting material”): ***improved planting material, conventional planting material, Not able to indicate***
  - “Number of improved planting material received during the last year”: #, *Not able to indicate*
  - “Number of improved planting material used on own farm(s) during the last year”: #, *Not able to indicate*
- If a farmer indicates to have replanted or rehabilitated the farm within the last 5 years, the enumerator asks the farmer to visit one of the replanting or rehabilitation areas and

indicates thereafter for each of the following observational items from the following categories:

- On-Farm Evidence: *Farmer was able to present on-farm evidence of replanting or rehabilitation, Farmer was not able to present on-farm evidence of replanting or rehabilitation, Not able to indicate*
- *Best Practice: Replanting or rehabilitation was accomplished according to best practices, Replanting or rehabilitation was not accomplished according to best practices, Not able to indicate*
- Finally, enumerators evaluate the farm as a whole after they visited all observation spots and performed all data collection of other on-farm items and add their impressions for a farm-wide conclusion to indicate from the following categories:
  - *there is no indication that the farm extends into protected land, there is indication that the farm extends into protected land, Not able to indicate*

#### **Tools or Existing Sources for Data Collection:**

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- CocoaAction enumerator guidance (see Annex d “Enumerator Guidance”)

#### **Location:**

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- Data collection on one or multiple selected cocoa farms for each CocoaAction farmer included in the sample

#### **Frequency and Suggested Timing of Data Collection:**

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- Collection at least once per year for farmers covered in sample
- *Recommended:* from May to June (or September-October)

#### **Analysis:**

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- No analysis is required on the side of CocoaAction companies, before submitting the “Reporting Numbers to WCF”.

#### **Milestones:**

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- Targeted farmers who are requiring replanting or rehabilitation are replanting rehabilitating their farm(s) either through replanting or under-planting (in accordance with national laws) to a combined 3% per year over 3 years (9% total) by 2020.

#### **Suggested Verification and Validation Methods:**

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- Random cross-checking by revisiting sampled farmers and confirming data collection procedure and taking spot checks
- Random cross checks of ID numbers with names on data collection forms

#### **Indicator Risk:**

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- Farmers need to be willing to adopt a professional approach to cocoa growing and invest labor and finance in farm rehabilitation.
- Adequate labor and means to invest into labor needs to be available in order to assist farmers to rehabilitate their farms accordingly.
- Required planting material needs to be available to farmers from trustworthy sources.

**Evaluation:**

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- Reasons for non-application of rehabilitation practices can be better understood with in-depth evaluation studies
- If the 'Indicator Risks' impact farmer performance can be better understood with in-depth evaluation studies.
- The context of a "professional farmer" who applies rehabilitation techniques versus other farmers can be better understood with in-depth evaluation studies

**FERTILIZER AND SOIL**

Outcome: 1.3) Farmers adopt soil fertility management, if required.  
Indicator: 1.3a) Percentage of targeted farmers applying soil fertility management practices.

**Clarification on the Indicator:**

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Soil Fertility Management practices are implemented on a farm level in order to protect the long-term supportability of the farm soil for cocoa farming. Soil Fertility Management seeks to provide and or maintain adequate soil health, soil structure and adequate availability of nutrients.

Individual indicator considerations for each area of soil fertility management are presented after the following overview of commonalities.

**Target Group:**

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- Cocoa Farmer (selected for sample)

**Data Details:**

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- Farmer identification (ID)
- Farmer location for farm visits/ farmer survey
- Outcomes of farmer farm visit/ farmer survey data (covering all soil fertility management items presented below)

**Tools or Existing Sources for Data Collection:**

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- CocoaAction enumerator guidance (see Annex d "Enumerator Guidance")

**Location:**

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- Data collection on one or multiple selected cocoa farms for each CocoaAction farmer included in the sample

**Frequency and Suggested Timing of Data Collection:**

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- Collection at least once per year for farmers covered in sample
- *Recommended:* from May to June

**Analysis:**

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- No analysis is required on the side of CocoaAction companies before submitting the “Reporting Numbers to WCF” for any of the soil fertility management observations.

#### **Milestones:**

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- On Soil Nutrient Replenishment: Fertilizer-ready farmers, apply fertilizer on at least 25% of the farmer’s total productive area over at least 2 consecutive years by 2020.

#### **Suggested Verification and Validation Methods:**

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- Random cross-checking by revisiting sampled farmers and confirming data collection procedure and taking spot checks
- Random cross checks of ID numbers with names on data collection forms

#### **Indicator Risks:**

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- Soil fertility management inputs, such as chemical fertilizers, need to be available to farmers who are in need of chemical fertilization.
- Farmers need to be willing to adopt a professional approach to cocoa growing and invest labor and finance into soil fertility management.
- Adequate labor and means to invest into labor needs to be available in order to assist farmers to apply soil fertility management practices their farms accordingly.

#### **Evaluation:**

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- Reasons for non-application of soil fertility management practices can be better understood with in-depth evaluation studies
- ‘Indicator Risks’ that impact on farmer performance can be better understood with in-depth evaluation studies.
- The context of a “professional farmer” who applies soil fertility management practices versus other farmers can be better understood with in-depth evaluation studies

### **FERTILIZER AND SOIL**

Outcome: 1.3) Farmers adopt soil fertility management, if required.  
Indicator: 1.3a) Percentage of targeted farmers applying soil fertility management practices. *Practice 1: Soil Health Management*



#### **Clarification on the Indicator:**

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This indicator captures the application of best practices to ensure soil health—which includes improvements to soil flora and fauna, soil structure and soil composition. Exemplary practices include application of manure, application of mulching or application of organic debris. A healthy soil is able to improve the sustainability and productivity of cocoa farming.

#### **Reporting Numbers to WCF:**

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- For each sampled CocoaAction farmer and for each observation spot assessed on-farm, a company submits one of the following categories as judged by the enumerator (hence, 3-5 statements per sampled farmer):

- ***no evidence of soil health management, evidence but insufficient, evidence and sufficient, Not able to indicate, Soil health management not necessary***
- In addition, for each sampled CocoaAction farmer and for each assessed farm, a company submits one of the following categories as indicated by the enumerator after questioning the cocoa farmer if he currently implements new soil health management actions and potentially visiting the respective site(s): ***farmer was able to present on-farm evidence of new soil health management actions, farmer was not able to show on-farm evidence of new soil health management actions, Not able to indicate***

#### **Method of Data Collection:**

- Enumerators visit each sampled farmer and observe the status of soil health management on the required number of observation spots (as described in Chapter 3 “M&E Design”, sub-section “Farm-Observations”)
- Enumerators consider the entirety of soil health management criteria and knowledge that they have from their training, picture guides support as reminders of different aspects of soil health management (see Annex d “Enumerator Guidance”)
- Enumerators evaluate each observation spot alongside 3 main criteria for soil health management: ***no evidence of soil health management, evidence but insufficient, evidence and sufficient, Not able to indicate, Soil health management not necessary***
- In addition, enumerators ask the farmer one question item to assess if the farmer is currently implementing new measures. If the farmer reports to currently implement new measures, the enumerator asks the farmer to visit the (or one of the) site(s) where these measures are implemented and records among the following options: ***farmer was able to present on-farm evidence of new soil health management actions, farmer was not able to show on-farm evidence of new soil health management actions, Not able to indicate***

#### **FERTILIZER AND SOIL**

Outcome: 1.3) Farmers adopt soil fertility management, if required.  
Indicator: 1.3a) Percentage of targeted farmers applying soil fertility management practices. *Practice 2: Soil Nutrient Replenishment*



#### **Clarification on the Indicator:**

This indicator captures the application of best practices to ensure soil nutrient replenishment. Nutrient replenishment focuses specifically on measures to renew the nutrients immediately available in the soil through short-term interventions such as fertilization (chemical). Only fertilizer-ready farmers are recommended to realize soil nutrient replenishment (fertilizer readiness will be established by analyzing the results of the farm descriptive data, GAP application and farm mapping). Specific fertilizer formulas are available for young cocoa trees/ new plantations.

Fertilizer readiness considerations include:

- The age of the majority of trees on the cocoa farm should be lower than 25 years and different fertilizer practices should be applied for young cocoa trees (below 3-5 years) and fully productive cocoa trees (5-25 years).

- Good agricultural practices and especially cocoa pest management should be properly implemented
- Tree density should be between 800 trees per ha to 1500 trees per ha
- Yield should be at least 400 kg/ha (for minimum of 800 productive trees per ha)
- Yield should be considered a crucial criteria; a well yielding farm, that is not in the optimal age bracket or density bracket, might still be recommended for fertilizer; this can be case dependent

### Reporting Numbers to WCF:

- For each sampled CocoaAction farmer and for each assessed farm, a company submits one of the following categories as judged by the enumerator for the entirety of the farm (hence, 1 statement per sampled farm):
  - ***no evidence of soil nutrient replenishment, evidence but insufficient, evidence and sufficient, Not able to indicate, Soil nutrient replenishment not necessary***
- In addition, for each sampled CocoaAction farmer and for each assessed farm, a company submits one of the following categories as indicated by the enumerator after asking the cocoa farmer the following recall items:
  - “Estimate the quantity of fertilizer used (g per tree, or, kg per farm, or, kg per ha)”: ***#, Not able to indicate, Soil nutrient replenishment not necessary [for post 2016 collection, CocoaAction will need to assess the total area of application against the 20% area target over 2 years]***
  - “Fertilizer type used (composition formula, or, brand name)”: ***free text, Not able to indicate, Soil nutrient replenishment not necessary***

### Method of Data Collection:

- For soil nutrient replenishment, enumerators evaluate the farm as a whole after they visited all observation spots and performed all data collection of other on-farm items and add their impressions for a farm-wide conclusion.
- Enumerators consider the entirety of soil nutrient replenishment criteria and knowledge that they have from their training, picture guides support as reminders of different aspects of soil nutrient replenishment (see Annex d “Enumerator Guidance”)
- Enumerators evaluate the whole farm alongside 3 main criteria: ***no evidence of soil nutrient replenishment, evidence but insufficient, evidence and sufficient, Not able to indicate, Soil nutrient replenishment not necessary***
- In addition, enumerators ask the farmer one question item to assess if the farmer is currently implementing new measures. If the farmer reports to currently implement new measures, the enumerator asks the farmer to visit the (or one of the) site(s) where these measures are implemented and records among the following options: ***farmer was able to present on-farm evidence of new soil nutrient replenishment actions, farmer was not able to show on-farm evidence of new soil nutrient replenishment actions, Not able to indicate***



## FERTILIZER AND SOIL

Outcome: 1.3) Farmers adopt soil fertility management, if required.

Indicator: 1.3a) Percentage of targeted farmers applying soil fertility management practices. *Practice 3: Soil Erosion Protection*

### Clarification on the Indicator:

This indicator captures the application of best practices to ensure the soil from eroding its chemical and physical capacities. Erosion refers to a variety of causes such as water erosion, gravitational erosion, wind erosion or sunlight erosion. Erosion protection is highly contextual and measures have to be judged at each farm case and can include: planting of hedgerows as wind-barriers, shade-management, vegetative buffer-zones or terrace planting on steep slopes.

### Reporting Numbers to WCF:

- For each sampled CocoaAction farmer and for each assessed farm, a company submits one of the following categories as judged by the enumerator for the entirety of the farm (hence, 1 statement per sampled farm):
  - *no evidence of soil erosion protection, evidence but insufficient, evidence and sufficient, Not able to indicate, Soil erosion protection not necessary*
- In addition, for each sampled CocoaAction farmer and for each assessed farm, a company submits one of the following categories as indicated by the enumerator after questioning the cocoa farmer if he currently implements new soil erosion protection actions and potentially visiting the respective site(s):  
*farmer was able to present on-farm evidence of new soil erosion protection actions, farmer was not able to show on-farm evidence of new soil erosion protection actions, Not able to indicate*

### Method of Data Collection:

- For soil erosion protection, enumerators evaluate the farm as a whole after they visited all observation spots and performed all data collection of other on-farm items and add their impressions for a farm-wide conclusion.
- Enumerators consider the entirety of soil erosion protection criteria and knowledge that they have from their training, picture guides support as reminders of different aspects of soil erosion protection (see Annex d “Enumerator Guidance”)
- Enumerators evaluate the whole farm alongside 3 main criteria: *no evidence of soil erosion protection, evidence but insufficient, evidence and sufficient, Not able to indicate, Soil erosion protection not necessary*
- In addition, enumerators ask the farmer one question item to assess if the farmer is currently implementing new measures. If the farmer reports to currently implement new measures, the enumerator asks the farmer to visit the (or one of the) site(s) where these measures are implemented and records among the following options: *farmer was able to present on-farm evidence of new soil erosion protection actions, farmer was not able to show on-farm evidence of new soil erosion protection actions, Not able to indicate*



## GOOD AGRICULTURAL PRACTICES

Output: 1.1.1.) Farmers trained on recommended practices (GAPs, Rehabilitation, Soil Fertility), with improving inclusion of women farmers.

Indicator: 1.1.1a) Percentage of targeted farmers attending minimum amount of training and percentage of farmers trained who are women.

### Clarification on the Indicator:

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Training of farmers on good practices of farm management is a cornerstone of the professionalization of cocoa farmers to increase productivity, to promote sustainable practices and to strengthen cocoa farming as a competitive business activity for farmers.

Increasing the professionalization of female farmers is of special importance to close the competency gap and enable more successful cocoa farming by female farmers. Therefore, out of all beneficiaries (men and women) that are benefitting from Cocoa Action's interventions on productivity, the percentage of women that are reached with productivity interventions needs to be reported separately.

The purpose of the indicator is to measure the number of farmers trained in:

1. GAP training
2. Soil Fertility Management training
3. Farm Rehabilitation training

It is important to note that Cocoa Action believes that targeted farmers should attend all three trainings in order to achieve Cocoa Action's longer-term outcome of a higher productivity.

The minimum amount of training that is required is dependent on the intervention design of CocoaAction partners. According to the theory of change, training will impact the adoption of practices significantly, as such, it is in every partners own interest to set minimum training standards. CocoaAction recommends the set-up of partner internal management systems to track individual farmer attendance, but does not require to report this data.

### Reporting Numbers to WCF:

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- Number of overall farmers trained on all three training components
- Number of female farmers trained on all three training components

### Target Group:

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- Targeted cocoa farmers (disaggregated by sex)

### Data Details:

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- Farmer identification (ID)
- The training(s) attended (GAP, Soil Fertility, Farm Rehabilitation)
- *Recommended*: the number of days/ sessions attended per training
- *Recommended*: the percentage of possible total attendance

### Method of Data Collection:

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- Via training attendance records (name and ID number) for each training

**Tools or Existing Sources for Data Collection:**

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- *Recommended:* Training attendance record format

**Location:**

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- Collection at the training venue, pre-processing and storage at CocoaAction partner

**Frequency and Suggested Timing of Data Collection:**

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- Continuous collection at the time of training; filled out in a manner that allows to track minimum attendance as defined by the company's own intervention design
- *Recommended:* Filled out each day of the training

**Analysis:**

---

The following analysis needs to be performed company internally, before submitting the "Reporting Numbers to WCF".

- Aggregate the total number of overall farmers trained per single training component, reaching the minimum required training level (as defined by company)
- Aggregate the total number of female farmers trained per single training component, reaching the minimum required training level (as defined by company)
- Aggregate the total number of overall farmers that attended all three training components
- Aggregate the total number of female farmers that attended all three trainings components

**Milestones:**

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- 300,000 farmers trained overall, who achieve the minimum training standard for all three training components by 2020

**Suggested Verification and Validation Methods:**

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- Random cross checks of ID numbers with names on record
- Random cross checks with farmers, checking training attendance

**Indicator Risks:**

---

- Female farmers need to be able to attend trainings from a time availability and social perspective. Hence, training might need to be specifically targeted and—if necessary—training components need to be specifically designed to attract female farmers.
- Farmers need to be willing to adopt a professional approach to cocoa growing and give a high priority to attend professional trainings.
- Individual CocoaAction member's training design needs to ensure that a farmer has indeed received a minimum acceptable degree of training.

**Evaluation:**

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- The quality of the training and reasons for (non-)attendance should be evaluated. It is recommended to include questions on the quality/ perceived value of the trainings in a farmer survey.



- A specific sample survey among female farmers is recommended to improve the understanding of perceived value and reasons for (non-)attendance among female farmers.

### PLANTING MATERIAL

Output: 1.2.1) Recommended planting material made available to farmers.

Indicator: 1.2.1a) Percentage of targeted farmers with access to planting material distribution points.



#### Clarification on the Indicator:

---

This indicator is meant to tell at individual CocoaAction farmer level if the farmer has access to a planting material distribution point. Having good planting material is a pre-requisite for the CocoaAction productivity package to work and available planting material will be accessible to farmers at access points such as cooperatives, dealers or demonstration plots. According to the theory of change, good planting material that receives adequate farm management practices, such as GAP and fertilizer, will be more productive than the conventional planting material, currently in production.

Understanding the locations of planting material distribution points (within reasonable reach of the farmer), which are supported by CocoaAction companies, gives an indication if farmers can get planting material if it is needed. Very important in capturing above information is the recall of farmer on challenges of material access: even if distribution points are available but demand for seedlings is too high, farmers cannot obtain planting material. This can have different reasons, for example pricing and funds available.

#### Reporting Numbers to WCF:

---

- Number of distribution points which provide farmers with improved planting material, supported by company
- Location (coordinate location) of distribution points which provide farmers with improved planting material, supported by company (as described in Chapter 3 “M&E Design”, sub-section “Farm Mapping”)
- *Only for farmers included in the sampling of GAPs:* For each sampled CocoaAction farmer and for each assessed farm, a company submits one of the following categories as indicated by the enumerator after questioning the cocoa farmer if it was possible to access planting material:
  - **Yes, no: too expensive, no: no money to invest, no: not available, no: not right kind available, no: access point too far, no: don't know where to buy, no: no need, no: came too late in season, no: forgot to buy, Not able to indicate**

#### Target Group:

---

- Distribution points of improved planting material, supported by CocoaAction partners
- Cocoa Farmers

#### Data Details:

---

- Identification of the channels through which the company supports the distribution of improved planting materials (for example: cooperatives, demo-plots, farmer-field schools, dealers, or other)
- Location information as geographic coordinates of each planting material distribution point that is supported by the company
- Farmer identification (ID)
- Farmer location for farm visits/ farmer survey
- Outcomes of farmer farm visit/ farmer survey data (covering the item “Access to Input Material”)

#### **Method of Data Collection:**

---

- Enumerators visit each sampled farmer and ask the farmer on access to improved planting material among, at least, the following categories:
  - *Too expensive, No funds left over to invest in input material, There wasn't any available, Not the right kind available, Access point was too far away, I don't know where to buy it, Do not need it, Came too late in the season, Forgot to buy, Don't know, Refused to answer*
- The geographic coordinate location (i.e. GPS or GLONASS) from each supported improved planting material distribution point is taken. This can be achieved via GPS receiver, or via identifying the location on a digital map which geo-references locations like Google Maps.

#### **Tools or Existing Sources for Data Collection:**

---

- None

#### **Location:**

---

- Collection at distribution points of improved planting material, supported by CocoaAction partners
- Collection on farm during farm visits
- Possibly collection at venue of farmer survey (if different from farm-visit)

#### **Frequency and Suggested Timing of Data Collection:**

---

- Collection at least once per location for supported improved planting material distribution points
- Collection at least once per year for recall-items on access of farmers covered in sample
- *Recommended:* from May to June (or September-October)

#### **Analysis:**

---

The following analysis needs to be performed company internally, before submitting the “Reporting Numbers to WCF”.

- Aggregating the number of all supported improved planting material distribution points
- Aggregating all data per sampled farmer (no farmer identification required) into the required data submission form on a farmer-by-farmer basis
- Linking the farm shape file with the data per sampled farmer through the required data submission form

#### **Milestones:**

---

- For this indicator there are no specific targets at present

#### **Suggested Verification and Validation Methods:**

- Random cross-checking by revisiting sampled farmers and confirming data collection procedure and taking spot checks
- Random cross checks of ID numbers with names on data collection forms

#### **Indicator Risks:**

- Farmers need to request and make use of planting material distribution points to ensure their sustainability.
- Farmer cooperatives/ farmer groups or individuals with a business case need to be supportive of the establishment of planting material distribution points to farmers.
- Planting material needs to be generally available in order to offer it to farmers through distribution points.
- Across CocoaAction, planting material distribution points need to be designed to ensure that they are effective in providing farmers with needed planting material.

#### **Evaluation:**

- Farmer's reality of "access" to planting material can be better understood with in-depth evaluation studies
- The final causality of how access and application of improved planting material act together can be better understood with in-depth evaluation studies
- Potential business cases and challenges/ opportunities for institutions offering access to planting material can be better understood with in-depth studies.

### **FERTILIZER AND SOIL**

Output: 1.3.1) Fertilizer made available to farmers.

Indicator: 1.3.1a) Percentage of targeted farmers with access to fertilizer distribution points



#### **Clarification on the Indicator:**

This indicator is meant to tell at individual CA farmer level if the farmer has access to fertilizer distribution points. Using fertilizer, combined with GAP on recommended planting material results in a high cocoa productivity. According to the theory of change, farms that apply fertilizer (if needed) together with GAPs and improved planting material will be more productive than the conventional cropping methods, currently in use.

Understanding the locations of fertilizer distribution points (within reasonable reach of the farmer), which are supported by CocoaAction companies, gives an indication if farmers can get fertilizer if needed. Very important in capturing above information is the recall of farmer on challenges of fertilizer access: even if distribution points are available but demand for fertilizer is too high, farmers cannot obtain fertilizer. This can have different reasons, for example pricing and funds available.

#### **Reporting Numbers to WCF:**

- Number of distribution points which provide farmers with fertilizer, supported by company
- Location (coordinate location) of distribution points which provide farmers with fertilizer, supported by company (as described in chapter 3 “M&E Design” sub-section “Farm Mapping”)
- *Only for farmers included in the sampling of GAPs:* For each sampled CocoaAction farmer and for each assessed farm, a company submits one of the following categories as indicated by the enumerator after questioning the cocoa farmer if it was possible to access fertilizer:
  - **Yes, no: too expensive, no: no money to invest, no: not available, no: not right kind available, no: access point too far, no: don't know where to buy, no: no need, no: came too late in season, no: forgot to buy, Not able to indicate**

#### **Target Group:**

---

- Distribution points of fertilizer, supported by CocoaAction partners
- Cocoa Farmers

#### **Data Details:**

---

- Identification of the channels through which the company supports the distribution of fertilizer (for example: cooperatives, demo-plots, farmer-filed schools, dealers, or other)
- Location information as geographic coordinates of each planting material distribution point that is supported by the company
- Farmer identification (ID)
- Farmer location for farm visits/ farmer survey
- Outcomes of farmer farm visit/ farmer survey data (covering the item “Access to Fertilizer”)

#### **Method of Data Collection:**

---

- Enumerators visit each sampled farmer and ask the farmer on access to fertilizer among, at least, the following categories:
  - *Too expensive, No funds left over to invest in input material, There wasn't any available, Not the right kind available, Access point was too far away, I don't know where to buy it, Do not need it, Came too late in the season, Forgot to buy, Don't know, Refused to answer*
- The geographic coordinate location (i.e. GPS or GLONASS) from each supported fertilizer distribution point is taken. This can be achieved via GPS receiver, or via identifying the location on a digital map which geo-references locations like Google Maps.
- The farm selected for farm-visit from each farmer included in the sample is mapped with a satellite supported positioning system receiver (i.e. GPS, GLONASS)

#### **Tools or Existing Sources for Data Collection:**

---

- None

#### **Location:**

---

- Collection at distribution points of fertilizer, supported by CocoaAction partners
- Collection on farm during farm visits

- Possibly collection at venue of farmer survey (if different from farm-visit)

#### **Frequency and Suggested Timing of Data Collection:**

---

- Collection at least once per location for supported fertilizer distribution points
- Collection at least once per year for recall-items on access of farmers covered in sample
- *Recommended:* from May to June

#### **Analysis:**

---

The following analysis needs to be performed by the company internally, before submitting the “Reporting Numbers to WCF”.

- Aggregating the number of all supported fertilizer distribution points
- Aggregating all farm-visit and survey data per sampled farmer (no farmer identification required) into the required data submission form on a farmer-by-farmer basis
- Linking the farm shape file with the data per sampled farmer through the required data submission form

#### **Milestones:**

---

- For this indicator there are no specific targets at present

#### **Suggested Verification and Validation Methods:**

---

- Random cross-checking by revisiting sampled farmers and confirming data collection procedure and taking spot checks
- Random cross checks of ID numbers with names on data collection forms

#### **Indicator Risks:**

---

- Farmers need to request and make use of fertilizer distribution points to ensure their sustainability.
- Farmer cooperatives/ farmer groups or individuals with a business case need to be supportive of the establishment of fertilizer distribution points to farmers.
- Fertilizer needs to be generally available in order to offer it to farmers through distribution points.
- Across CocoaAction, fertilizer distribution points need to be designed to ensure that they are effective in providing farmers with needed fertilizer.

#### **Evaluation:**

---

- Farmer’s reality of “access” to fertilizer can be better understood with in-depth evaluation studies
- The final causality of how access and application of fertilizer act together can be better understood with in-depth evaluation studies
- If applicable: survey outcomes that highlight frequent “no access to fertilizer”, can be better understood with in-depth evaluation studies uncovering causalities

**FERTILIZER AND SOIL**

Output: 1.3.2) Soil mapping completed and fertilizer recommendations adapted to results.

Indicator: 1.3.2a) Soil map of CocoaAction countries is available and regional formula for CocoaAction recommended fertilizer is available.

**Clarification on the Indicator:**

The soil through which the cocoa tree grows is the most crucial component of the success of cocoa farming activities. The conditions and composition of the actual bedrock underlying cocoa farms is of great importance to understand farm fertility challenges and to conceptualize the need for fertility treatment of farms. However, understanding the different soil-types which form the foundation for cocoa farming in West Africa has not significantly progressed in the past.

This milestone indicator clarifies if CocoaAction has been successful in furthering the understanding of soil conditions and if CocoaAction was able to transform this knowledge into actionable recommendations to improve the soil if needed.

The indicator is different from most other indicators in the CocoaAction results-framework since the activities for its completion have been contracted to IDH as a CocoaAction partner. The reporting details and final deliveries are subject to work agreements with IDH and no reporting from CocoaAction companies is required against this indicator.

**Community Indicator Details****2016 Collection****EDUCATION**

Outcome: 2.1) Increased number of primary schools, that are 'functioning effectively'.

Indicator: 2.1a) # girls and boys enrolled in schools that have received CocoaAction education interventions.

**Clarification on the indicator:**

- As a first step we are measuring enrollment in the schools where there have been CocoaAction interventions (SMC strengthening and infrastructure/ equipment/ supplies). This indicator will help CocoaAction learn if there is a relationship between the interventions and enrollment. The CocoaAction long term vision in education is that more boys and girls attend school. However the general view from subject matter experts is that the connection between the core education interventions and attendance is limited. Instead of measuring attendance directly, it is more likely that due to the interventions more boys and girls will first enroll in school and ultimately these interventions combined with others will lead to increased attendance.
- In future years, CocoaAction may want to track one of the following elements, if there are indications that the CocoaAction interventions are impacting these: attendance; drop-out rate; repeat rate.

**Definitions related to the indicator:**

---

- The indicator will focus on the number of students ‘enrolled’ at the school where the CocoaAction intervention is taking place—that is the total number of students enrolled at school irrespective of their age. *[Note: in contrast, in many cases e.g. in Ghana, we see an enrollment ‘ratio’ for primary school that is greater than 100% given that the denominator of such a ratio is the number of students that are the ‘age’ associated with primary school.]*

**Reporting numbers to WCF:**

---

- For each school where the company has worked as part of CocoaAction (i.e., working with the SMC and providing equipment, materials, and/or supplies); the company will provide the following data points for every monitoring year until 2020:
  - Number of girls enrolled
  - Number of boys enrolled
  - Total number of children enrolled
  - Indicate if there has been an intervention in the reporting year

**Target group:**

---

- Boys and girls in the CA community

**Data details:**

---

- CocoaAction communities with relevant schools for interventions
- Location of each relevant school
- GPS coordinates of school (if not part of location description)
- Contact of focal person at each relevant school
- Number of girls enrolled
- Number of boys enrolled
- Dates of school interventions
- Name of the school

**Method of data collection:**

---

- Implementation of the Community Needs Assessment as baseline
- Review of internal school enrollment records and/or estimate through school authority
- Local education authority enrollment records
- GPS measurement

**Tools or existing sources for data collection:**

---

- internal school enrollment records, local education authority enrollment records

**Location:**

---

- At the school or at the local authority.

**Frequency and suggested timing of data collection:**

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- Data should be collected once per year—during the school year. Companies should collect this data during the same month each year (e.g., in October). Ideally companies will collect it at the same time as other indicators related to the school related intervention.



### **Analysis:**

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- Because of the fact that the data will be reported in the absolute numbers of boys and of girls enrolled, there is no analysis that needs to be done to convert the data details into reporting numbers.

### **Milestones:**

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- For this indicator there are no specific targets at present. We will monitor the enrollment numbers per school per year to analyze what level of increase there has been and to detect the total number beneficiaries of school interventions.

### **Verification and validation methods:**

---

- Try to triangulate official enrollment records with each other and school estimates

### **Indicator Risks:**

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- The government and/ or community need to play its role in setting up and supporting an effectively functioning SMC.
- The total number of children who are eligible to enroll in school needs to remain approximately stable over the time of intervention.
- Enough teachers need to be available at school to accommodate rising enrollment figures.

### **Evaluation:**

---

- If we want to learn more about what is causing a change in enrollment numbers and how it directly relates to the CocoaAction interventions then an evaluation study could be crucial. Such a study could include interviews with families regarding their motivation to enroll their children in school.
- The number of teachers available at school and current rate of pupils per teacher could be researched in additional studies.
- The relation of schools to school drop-out, child attendance, teacher attendance and class repeaters with CocoaAction interventions could be the subject of an in-depth evaluation study.
- Investigating and contrasting the development of enrollment in schools without CocoaAction interventions assists to isolate the outcomes of CocoaAction interventions could be the subject of an in-depth evaluation study.



## EDUCATION

Output: 2.1.1) Improved educational infrastructure, equipment or materials based on community needs.

Indicator: 2.1.1a) # of primary schools benefitting from CocoaAction educational infrastructure, equipment and/or material interventions.

### Clarification on the indicator:

It is recognized that for many communities, the most pressing primary education needs will be related to infrastructure, materials and/or equipment. Companies may provide one or more interventions to directly support either formal or informal schooling. The kinds of support may include: infrastructure (e.g., latrines, teachers' quarters, school canteens, additional classrooms, and water pumps), materials (e.g., books, learning materials, uniforms, and birth certificates) and furnishings and equipment (e.g., desks, benches, chalkboards, solar panels, and computers).

### Definitions related to the indicator:

- Interventions need to be in conformity with the community needs assessment.

### Reporting numbers to WCF:

- Total value of the intervention (\$ US)
- Type of assistance provided (open-ended, free text)

### Target group:

- Primary schools that CocoaAction company is working with

### Data details:

- CocoaAction communities with relevant schools for interventions
- Location of each relevant school
- Contact of focal person at each relevant school
- School GPS coordinates (if not part of the location of the school)
- School name
- Total value of the intervention (\$ US)
- Type of assistance provided

### Method of data collection:

- Community Needs Assessment as baseline
- Based on individual company implementation records
- GPS measurement

### Tools or existing sources for data collection:

- Company implementation records

### Location:

- Company internal
- At the school (GPS coordinates)

#### Frequency and suggested timing of data collection:

---

- Companies collect once per year, it should be during the same month each year (e.g. in October).

#### Analysis:

---

- Convert the interventions 'value' per school into one aggregate total US-\$ value.

#### Milestones:

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- For this indicator there are no specific targets at present.

#### Verification and validation methods:

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- Receipts to cross-check the total US-\$ amount,
- Photos (before/after) of the intervention to cross-check if intervention has been implemented,
- Cross-check that intervention conforms with the community needs assessment and community action plan.

#### Indicator Risks:

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- The implemented intervention need to be used and appreciated by the community.

#### Evaluation:

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- An evaluation study could analyze how the interventions are being used and their benefits. Further it could be used to analyze what needs identified by the community and/or government are met by the intervention and their impact.

### EDUCATION

Output: 2.1.2) School management or equivalent committees are strengthened, and where absent or not functioning are advocated to be established.

Indicator: 2.1.2a) # school management or equivalent committees that have received support.



#### Clarification on the indicator:

---

Community-based School Management Committees (SMCs in Ghana; Comité de Gestion des Etablissements Scolaires, or COGES, in Côte d'Ivoire) or equivalent community-based structures are seen as important vehicles to measure and support progress towards reaching the targets of educational interventions. Their mandates and structure are set by national legislation, and this intervention is intended to empower these committees in fulfilling their mandates.

#### Definitions related to the indicator:

---

- Support is defined based on SMC needs assessment and cross-checked against their officially-required roles and responsibilities (government documents). Typical support activities can include: training, capacity building or relationship building.
- Equivalent structures can be a Parent / Teacher Association or a Comité de Gestion des Etablissements Scolaires (COGES) in Côte d'Ivoire.

#### **Reporting numbers to WCF:**

---

- For each school, indicate whether SMC was 'supported' or 'not supported' if it existed, or 'advocated' or 'not-advocated' if it did not exist.
- Indicate if support is "ongoing from past activities" or "newly established support activities"

#### **Target group:**

---

- The SMCs in the schools that the CocoaAction company is working with

#### **Data details:**

---

- CocoaAction communities with relevant schools for interventions
- Location of each relevant school
- GPS coordinates of school (if not part of the location)
- Contact of focal person at each relevant school
- Per SMC (or equivalent), companies will track the activities they do per SMC (e.g., what type of support; how often; whether advocated for establishment).

#### **Method of data collection:**

---

- Community Needs Assessment as baseline
- Based on individual company implementation records related to activities.
- GPS measurement

#### **Tools *or* existing sources for data collection:**

---

- Company implementation records

#### **Location:**

---

- Company internal
- At the school (GPS coordinates)

#### **Frequency and suggested timing of data collection:**

---

- Companies collect once per year for each school, it should be during the same month each year (e.g. in October).

#### **Analysis:**

---

- No analysis is required on the side of CocoaAction companies before submitting the "Reporting Numbers to WCF"

#### **Milestones:**

---

- For this indicator there are no specific targets at present.

**Verification and validation methods:**

- Cross-check that intervention conforms with the SMC needs assessment.

**Indicator Risks:**

- SMC needs to take on the activities/recommendations proposed through the support interventions.
- Influential stakeholders need to be receptive to the SMC advocating activities.

**Evaluation:**

- An evaluation study could be used to understand what interventions and activities (support and advocating) were most effective regarding their uptake and impact.

**CHILD LABOR**

Output: 2.2.1) Increased number of operating child labor monitoring and remediation systems and CPCs (or similar structure).

Indicator: 2.2.1a) # and % of CocoaAction communities with an operating child protection committee (CPC) or similar structure.

**Clarification on the indicator:**

- CPC or similar structures are community based structures that deliver child labor monitoring and remediation (though they usually lack remediation capabilities) and other child protection activities to the whole community (CocoaAction and non CocoaAction farmers). CPCs' mandates are defined in national decrees and their membership is typically comprised of 6–8 members, most on an unpaid voluntary basis. Similar structures which fulfill the same or similar functions as a CPC could include: community development committees, child labour committees (Comités du lutte ou comités de vigilance), CAP committees child welfare communities, orphans and vulnerable children committees, child rights committees.
- CPC or similar structures typically:
  - Mobilize the community, raising resources and following up on child protection and community development actions;
  - Conduct awareness raising sessions with community members;
  - Contribute to the adoption of community by-laws;
  - Identify vulnerable and at-risk children and families;
  - Identify children working and putting in place remediation measures.

**Definitions related to the indicator:**

- Operating should include:
  - At least 6 members
  - Regular meetings: optimally once every 2 months
  - Implementation of community trainings/ awareness activities in the community. Suggested that this community awareness raising has taken place in the past 3 months.
- Other important components of a CPC that already lead towards its effectiveness include:

- CPC members have received specialized training to fulfill role (child protection, case management, child labor monitoring and remediation).
- Strong links (meetings, briefings) with relevant local government officials at the district level (e.g. social workers, DCPCs, police, NGOs, education and health workers).

#### **Reporting numbers to WCF:**

---

- For each community where the company is working, the company will provide the following data points:
  - If at least one CPCs or similar structure is operating in the community: ***CPC/ similar exists and operates, CPC/ similar does not exist and does not operate, CPC/ similar exists, but does not operate***

#### **Target group:**

---

- CPCs (or similar structures) in CocoaAction communities.

#### **Data details:**

---

- For each community where the company is working, the company collects the following data points:
  - If at least one CPC operates in community (yes/ no)
  - Number and frequency of CPC meetings in the last year
  - Number and types of trainings
  - Number of community trainings/ awareness activities implemented
  - Number of meetings/ debriefings with local government officials [*note: this is already and advanced feature for a merely operating CPC*]

#### **Method of data collection:**

---

- Community Needs Assessment as baseline
- Review of CPC document (meeting minutes, action plans)
- Focus group discussion/ interview with CPC members and/ or community members

#### **Tools or existing sources for data collection:**

---

- CPC records (minutes of CPC meetings, training logs /sign-in sheets or other documented records of meetings or trainings may also be used), no template for interviews or focus group discussion are required by CocoaAction.

#### **Location:**

---

- at CPC meeting
- in the community

#### **Frequency and suggested timing of data collection:**

---

- Data should be collected once per year. Companies should collect this data during the same month each year. Ideally companies will collect it at the same time as other indicators related to child labor interventions.

#### **Analysis:**

---

- Analyze and interpret the data details on the operating status and determine if the CPC is operating or not. Recommendations: minimum number of meetings (at least once every two months), minimum trainings visited (for staff capacity development), minimum training implemented in community (at least once in the past 3 months), minimum number of members = 6; and other important elements relate e.g. to meetings/ debriefs with local government officials.

#### **Milestones:**

---

- For this indicator there are no specific targets at present.

#### **Suggested verification and validation methods:**

---

- Triangulate (check individual CPC member, government or community interviews/ focus group discussion against documents) from different sources that indeed CPC operations are acceptable at a minimum standard

#### **Indicator Risks:**

---

- Local government officials need to be cooperative and supportive of CPCs or equivalent structures.
- The community needs to be engaged and interested in CPC work.
- The community and CPC members need to assist data collection efforts (provide information, documents).

#### **Evaluation:**

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- In case of non-operating CPCs, an in-depth study can clarify the causalities for non-operation.

### **CHILD LABOR**

Output: 2.2.1) Increased number of operating child labor monitoring and remediation systems and CPCs (or similar structure)

Indicator: 2.2.1b) # and % of CocoaAction farmers' households covered by operating CLMRS.



#### **Clarification on the indicator:**

---

- CLMRS are community and/ or supply chain based systems implemented within CocoaAction communities through child protection structures and any supply chain based structure.
  - Supply chain based CLMRS are not specifically targeting non-CocoaAction farmers or other households in the community.
  - Community-based CLMRS operate in the whole community but will in addition be given a list of CocoaAction farmers that will be targeted and monitored for reporting.
- CLMRS combine monitoring and remediation capabilities, unlike CPCs that typically lack remediation capabilities. Community-based CLMRS rely on the existence and strength of external structures, such as national child labor legislation and structures (“CLMS” described in more detail in the CocoaAction Community Development Manual) while supply-chain CLMRS are based on the management structures of suppliers, farmers’



groups and other key supply-chain actors CLMRS are required if all CocoaAction farmers are to be reached.

#### **Definitions related to the indicator:**

---

- CocoaAction farmers' households: households in which one or more adult members participate in CocoaAction training [*note: any training related to a CocoaAction action pillar, such as GAPs, soil fertility, gender awareness, child labor prevention etc.*] and / or benefit from CocoaAction productivity programs. For purposes of child labor measurement, a CocoaAction farmer is a farmer who receives the CocoaAction productivity package.
- Covered by CLMRS means: a farmer or farmer household counts as covered if it appears in the database of the CLMRS system and has been visited at least once to ensure he/she is not just a name on a farmers' group list.
- Operating can include:
  - Regular meetings of the committee in the case of a community-based CLMRS: e.g., once a month, every 3 months, every 6 months, or the regular reporting of operational agents on the ground in the case of a supply-chain CLMRS.
  - Those responsible under the CLMRS received specialized training to fulfill role (child protection, case management, child labor monitoring and remediation).
  - Implementation of monitoring/remediating activities in the community.
  - Strong links (meetings, briefings) with relevant government officials and other stakeholders (e.g. social workers, DCPCs, police, NGOs, education and health workers). [*note: this is already an advanced feature for a merely operating CLMRS*]

#### **Reporting numbers to WCF:**

---

- Total number CocoaAction farmers (proxy for household) covered by the CLMRS
- Total number of CocoaAction farmers (proxy for household) currently worked with for CocoaAction

#### **Target Group:**

---

- CocoaAction farmers (proxy for household)

#### **Data details:**

---

- For all farmers receiving the productivity package, the company collects the following data points:
  - Number of interviews/farm observations with CocoaAction farmers in the last year
  - Number and types of trainings for those responsible in CLMRS
  - Number and type of remediation activities implemented
  - Number of meetings/ debriefings with local government officials or other stakeholders [*note: this is already an advanced feature for a merely operating CLMRS*]

#### **Method of data collection:**

---

- Review of CLMRS documents
- Focus group discussion/ interview with those responsible for CLMRS and cocoa farmers

#### **Tools or existing sources for data collection:**

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- CLMRS records (minutes of meetings, training logs /sign-in sheets or other documented records of meetings or trainings may also be used),
- No template for interviews or focus group discussion is required by CocoaAction.

**Location:**

---

- At the structure implementing the CLMRS within the community and/ or along the supply chain

**Frequency and suggested timing of data collection:**

---

- To be collected annually by companies

**Analysis:**

---

- Analyze and interpret the data details on the operating status and determine if the CLMRS is operating or not. Recommendations: minimum number of meetings, minimum trainings visited, minimum training implemented in community, minimum meetings/ debriefs with local government officials, minimum coverage of CocoaAction farmers' households

**Milestones:**

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- For this indicator there are no specific targets at present.

**Suggested verification and validation methods:**

---

- Triangulate (check individual CLMRS responsible actors, governments, other stakeholders, community members or farmers through interviews/ focus group discussion against documents) from different sources that indeed CLMRS operations are acceptable at a minimum standard.

**Indicator Risks:**

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- Local government officials need to be cooperative and supportive of CLMRS or equivalent structures.
- Supply chain actors or the community need to be engaged and interested in CLMRS work.
- Community and CLMRS responsible actors need to assist data collection efforts (provide information, documents).

**Evaluation:**

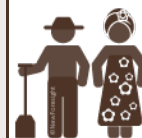
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- In case of non-operating CLMRS, an in-depth study can clarify the causalities for non-operation. Further an evaluation study could help determine why some farmers are covered or not with the CLMRS.

**WOMEN'S EMPOWERMENT**

Outcome: 2.3) Increased capabilities and opportunities of women to generate increased income and influence decisions.

Indicator: 2.3b) # and % of women in CocoaAction communities who report on increased income as a result of IGA.

**Clarification on the indicator:**

Women empowerment is giving legitimate power or authority to perform income generating activities or to participate in activities meant to strengthen their capacity. If women are empowered they are expected to be able to participate in the planning and decision making in their households and community at large. To achieve this we focus on increasing women's knowledge, skills and self-confidence necessary to participate fully in the development process. We believe that if the women have increased income from their income generating activities that their empowerment is increasing.

**Definitions related to the indicator:**

- Income: revenue (net cash inflow) minus operating cost
- Income Generating Activities (IGA): IGAs are activities that people take on to earn income. To focus on the benefits for women, IGAs to be supported should be identified with the potential beneficiaries—may vary according to the specific conditions of the village.

**Reporting Numbers to WCF:**

For each community where the company is working, the company will provide the following data points:

- Total women in the community
- Number of women in the community who participate in IGA in the respective year
- Number of women in the community who report on increased income as a result of IGA in the respective year

**Target Group:**

- Women beneficiaries of IGAs in the community

**Data Details:**

- Community name
- GPS coordinates
- Total number of women in the community
- Number of women in the community who participate in IGA in the respective year
- Number of women in the community who report on increased income as a result of IGA in the respective year
- For the sample of women IGA beneficiaries: responses to the questions used to determine 'increased income'.

**Method of data collection:**

- Implementation of the Community Needs Assessment as baseline
- The focus on data collection is to survey the women who participated in the income generating activities with the company towards their own perception if income increased. Every CocoaAction member can decide on the most adequate measurement approach depending on the program context for later comparison and alignment within the partnership (i.e. survey, income measurements). Currently recommended survey items are: “Are you satisfied with your increase in income from IGA? [5 point Likert scale]”, “Do you feel like your income increased after participating in IGA, compared to before? [5 point Likert scale]”.
- The total number of women in the community should either be established from existing sources (district census), or estimated from local authorities (village chief, district officials).

#### **Tools or Existing Sources for Data Collection:**

---

- No template for interviews or focus group discussion are required by CocoaAction,
- Available census data on total number of women in community,
- Where the company is working with women’s groups and the group has records of the income from the IGA, then the company could use this source for actual data on the income.

#### **Location:**

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- In the community (with individual IGA beneficiaries/ women groups)

#### **Frequency and suggested timing of data collection:**

---

- Annually for the general question about ‘reporting income from IGA’.

#### **Analysis:**

---

- Analyze and interpret collected data (i.e. survey results, income data) to estimate the total number of women who perceived an increase in their income from IGA.

#### **Milestones:**

---

- For this indicator there are no specific targets at present.

#### **Suggested verification and validation methods:**

---

- Use existing records and interviews to verify that IGA interventions have been implemented accordingly,
- Triangulate with spot-check interviews or other data sources (income studies) if women increased income,
- If available, triangulate the total number of women in the community with census data.

#### **Indicator Risks:**

---

- The economic environment in the communities needs to be stable,
- There needs to be a market demand for the output from respective IGAs,
- Women need to be allowed to participate in IGA and keep agency over their income,
- Community members (especially women) need to appreciate and participate in the offered interventions,

- Women need to be able to accurately assess income changes and increases / decreases,
- Also while the CocoaAction intervention will promote behavior change in the community to promote more women's contribution to household income, the women and men in the community will need to take on these behaviors for change to happen.

### **Evaluation:**

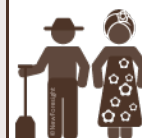
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- An evaluation study could collect both: "perceived change in income" and the "actual income data" to compare the reliability of data and assess the magnitude of change.
- A study could also help to understand more clearly which IGAs lead to more increase in income and which interventions best support success with the IGA.
- Further a study could look into whether the increased income has in turn led to increased empowerment within their households and communities, or has it not made a difference, or has it been detrimental.
- A study on what the increased income was spent on helps to conceptualized secondary benefits of IGA initiatives It would be important to note whether children were benefitting from the increased income, i.e. children's uniform, school fees, clothes, food and also productivity impact - i.e. money spent on fertilizers, hiring adult labor.

### **WOMEN'S EMPOWERMENT**

Output: 2.3.1) Increased awareness among community and farmer organizations on women's empowerment.

Indicator: 2.3.1a) # of farmers and/or community facing people trained through gender awareness or sensitivity programs.



### **Clarification on the indicator:**

---

- Knowledge and awareness are important barriers to women's empowerment. Therefore, one of the core interventions is training on gender sensitivity for all relevant stakeholders to recognize gender inequalities and their impact on overall well-being: women and men in the community, implementing program staff, farmer organizations (coops) and the broader community, including importantly men who need to be on-board to ensure success of these interventions.

### **Definitions related to the indicator:**

---

- Relevant actors are all people who contribute to the social reality of gender relations in cocoa farming communities and can especially include: farmer/community-facing actors such as program and cooperative employees, local authorities (teachers, traditional chief, security forces, and administration) and community members.

### **Reporting numbers to WCF:**

---

- Total number of male relevant actors trained through gender awareness or sensitivity programs in the respective year
- Total number of female relevant actors trained through gender awareness or sensitivity programs in the respective year

### **Target Group:**

---

- relevant actors, such as farmer/community-facing actors such as program and cooperative employees, local authorities (teachers, traditional chief, security forces, and administration) and community members, within CocoaAction communities

#### **Data Details:**

---

- Community name
- GPS location
- List of relevant groups of actors to count (depending on program setup)
- List of training participation, enabling to differentiate relevant groups of actors

#### **Method of data collection:**

---

- Review of training records

#### **Tools or existing sources for data collection:**

---

- Training records (e.g., from implementer)

#### **Location:**

---

- At implementer (collect training records)
- At trainings directly in the community
- In the community (GPS coordinates)

#### **Frequency and suggested timing of data collection:**

---

- Reported annually for activities in the past 12 months

#### **Analysis:**

---

- Aggregating the single relevant male/ female actors training into two total numbers for each

#### **Milestones:**

---

- For this indicator there are no specific targets at present.

#### **Suggested verification and validation methods:**

---

- Verify with spot-checks that actors participating in the offered trainings were relevant to progress gender issues in the community.
- Verify by reviewing curriculum and participant interviews that training that has been offered was relevant to progress gender issues in the community.

#### **Indicator Risks:**

---

- Men and women in the communities need to see value and choose to participate in the gender awareness and sensitivity trainings

#### **Evaluation:**

---

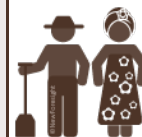
- A study could help to understand more clearly which topics are considered crucial for community members' perception of gender relations.

- A study could also help to understand more clearly which training components are seen as most valuable in progressing understanding on gender relations.
- Generally, Knowledge/ Attitude and Practice (KAP) studies are helpful to understand change and awareness of gender relations.

## WOMEN'S EMPOWERMENT

Output: 2.3.2) Increased participation by women in farmer and/or community organizations.

Indicator: 2.3.2a) # and % of women members in farmer org. and/or community org.



### Clarification on the indicator:

An important means of increasing women's influence in their communities is supporting their participation in farmer and community organizations. While this includes supporting the role of women in leading positions in such organizations, increasing the participation of women in these organizations can already be a tremendous step forward.

### Definitions related to the indicator:

- Members in farmer organization or community organizations: these can include "cooperatives"; "other professional groups of farmers"; "women groups in a community"; "CPCs"; "SMCs"; or other groups that are recognized formal or informal institutions with influence on cocoa farming or broader life in the community. Excluded from this list are distinct *community governance structures*, which are addressed in a separate indicator below. A member can an individual who, for example, pays a membership fee, is formally recognized by the organization as a member, or holds a formal position within the organizations.
- Membership in Cooperatives:
  - Ghana: Member should be a cocoa farmer but does not have to own cocoa farm; should pay share capital (if part of legally registered coop; this is a requirement. Members decide on the amount to be paid by each person); should pay dues as agreed by members (for welfare and other purposes); should commit to attending meetings.
  - Cote d'Ivoire: In cooperatives a member: 1.) pays membership fee as defined in the statutes and 2.) delivers all of his/ her cocoa to the cooperative.

### Reporting numbers to WCF:

- Total number of overall members in relevant farmer org. and/or community org.
- Total number of women members in relevant farmer org. and/or community org.

### Target group:

- Farmer and/or community organizations in CocoaAction communities

### Data details:

- Community name
- GPS location
- Name/ ID of relevant organizations
- Total number of members in the relevant farmer organization/ community organization



- Number of women in the farmer organization/ community organization in the respective year

#### **Method of data collection:**

---

- Implementation of the Community Needs Assessment as baseline
- Review of membership records of relevant organizations
- Review of implementation records of implementing partners for groups such as newly established IGA groups
- Interviews with the leadership of relevant organizations

#### **Tools or existing sources for data collection:**

---

- Existing records at implementer and/ or organizational level

#### **Location:**

---

- At implementer, at relevant organization, directly in the community

#### **Frequency and suggested timing of data collection:**

---

- Reported annually for activities in the past 12 months

#### **Analysis:**

---

- Aggregation of the number of overall and the number female members of all relevant organizations into each one aggregate figure.

#### **Milestones:**

---

- For this indicator there are no specific targets at present.

#### **Suggested verification and validation methods:**

---

- Spot-checks that relevant organizations are existing and operational at community level.
- Spot-checks that the total number of members and female members is representative.

#### **Indicator Risks:**

---

- Relevant organizations need to accept and sustain in communities over time.
- Women need to be interested and able to participate in relevant organizations.

#### **Evaluation:**

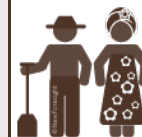
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- A study could help to understand more clearly which kinds of organizations are able to attract female participants most effectively.
- A study could also help to understand more clearly the challenges that women face to participate in the relevant organizations.

**WOMEN'S EMPOWERMENT**

Output: 2.3.2) Increased participation by women in farmer and/or community organizations.

Indicator: 2.3.2b) # and % of women members in community governance structures.

**Clarification on the indicator:**

An important means of increasing women's influence in their communities is supporting their participation in farmer and community organizations. While this includes supporting the role of women in leading positions in such organizations, increasing the participation of women in these organizations can already be a tremendous step forward.

**Definitions related to the indicator:**

- Community governance structures are community decision-making committees that decide on the future development of issues pertaining to the community as a whole.

**Reporting numbers to WCF:**

- Total number of overall members in community governance structures.
- Total number of women members in community governance structures.

**Target group:**

- Community governance structures in CocoaAction communities

**Data details:**

- Community name
- GPS location
- Name/ ID of relevant governance structure
- Total number of members in community governance structures.
- Number of women in community governance structures.

**Method of data collection:**

- Implementation of the Community Needs Assessment as baseline
- Review of membership records of relevant governance structures
- Interviews with the leadership of relevant governance structures

**Tools or existing sources for data collection:**

- Existing records at the level of governance structures

**Location:**

- At relevant governance structures, directly in the community

**Frequency and suggested timing of data collection:**

- Reported annually for activities in the past 12 months

**Analysis:**

- Aggregation of the number of overall and the number female members of all relevant governance structures into each one aggregate figure.

**Milestones:**

- For this indicator there are no specific targets at present.

**Suggested verification and validation methods:**

- Spot-checks that relevant governance structures are existing and operational at community level.
- Spot-checks that the total number of members and female members is representative.

**Indicator Risks:**

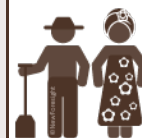
- The community needs to principally accept women in the relevant positions within governance structures.
- Women need to be interested and able to participate in relevant governance structures.

**Evaluation:**

- A study could help to understand more clearly which kinds of organizations are able to attract female participants most effectively.
- A study could also help to understand more clearly the challenges that women face to participate in the relevant organizations.

**WOMEN'S EMPOWERMENT**

Output: 2.3.3) Increased capacity of women to undertake IGAs  
Indicator: 2.3.3a) # of women supported to undertake or strengthen IGA

**Clarification on the indicator:**

One of the core CocoaAction interventions is to support Income Generating Activities (IGA) as requested by women. When women are supported to undertake IGA, their power to perform tasks and their authority in the household and in the community is increased along with the increased or more stable stream of income. This in turn can impact the overall well-being of the household as women are better able to support their children's livelihoods.

**Definitions related to the indicator:**

- Income Generating Activities (IGA) are activities that people take on to earn income. Activities can range from food drying, processing or preservation and marketing of products; agricultural products; establishment or improvement of livestock or poultry raising to handicrafts or sewing. The specific IGA may vary according to the specific conditions of the village needs to be closely informed by local community needs assessments.
- Support for IGAs: Through the support to IGA, companies should focus on increasing women's knowledge, skills and self-confidence, all of which is necessary for women to

participate fully in the development process. Then, women will be better able to participate in the planning and decision making in their households and the community at large.

#### **Reporting numbers to WCF:**

---

- Total number of women who have been supported to undertake or strengthen IGA

#### **Target group:**

---

- Women in the CocoaAction community

#### **Data details:**

---

- Community name
- GPS location
- Number of women who were supported to undertake or strengthen an IGA in the respective year
- Company may collect details per support/ training event per woman regarding what type of support the woman received

#### **Method of data collection:**

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- Implementation of the Community Needs Assessment as baseline,
- Review of training and/ or activity records,
- Review of attendance records,
- Interview or survey with women who undertake IGA and/ or have been supported by CocoaAction

#### **Tools or existing sources for data collection:**

---

- Existing company implementation records,
- No template for interviews or focus group discussion is required by CocoaAction.

#### **Location:**

---

- In the community (with women supported by CocoaAction), at implementers/ company internal records

#### **Frequency and suggested timing of data collection:**

---

- Reported annually for activities in the past 12 months

#### **Analysis:**

---

- Aggregation of all women who have been supported to undertake IGAs into one total figure

#### **Milestones:**

---

- For this indicator there are no specific targets at present

#### **Suggested verification and validation methods:**

---

- Spot-checks that support activities have been carried out accordingly in the communities.

**Indicator Risks:**

- The economic environment in the communities needs to be stable,
- Women need to be able to participate in IGA,
- Women in the community need to be motivated and participate to undertake or strengthen IGA.

**Evaluation:**

- A study could help to understand more clearly which kinds of IGA support was able to attract and support female participants most effectively.

**Post 2016 Collection****EDUCATION**

Outcome: 2.1) Increased number of primary schools, that are 'functioning effectively'.

Indicator: 2.1b) # and % of primary schools that have received CocoaAction interventions and are meeting specified functioning effectively requirements.

**Clarification on the indicator:**

The hypothesis in CocoaAction is that by improving SMC effectiveness and by providing critical supplies, materials or infrastructure, the overall school will function more effectively. Further, if the school is functioning more effectively it can motivate children to enroll and attend. This indicator will relate to those schools that have received CocoaAction interventions (which should include both SMC support and provision of materials and/or supplies and/or infrastructure).

**Definitions related to the indicator:**

- 'Effectively functioning school' Scorecard (to be developed) - measuring a number of items present (some will include criteria of effectively functioning SMC (which would be outlined in 2.1c.) and need to track broader school items)
- Need to determine definition of 'minimum functioning school environment'
  - Proposed categories from best practice (Save the Children's QLE tool):
    - Learning environments must ensure children's emotional and psycho social protection (i.e. capacity building of school staff)
    - Learning environments must be physically safe (i.e. sanitation facilities, school canteen within the school)
    - There must be an active child centered learning process (i.e. number of classrooms, and number of children enrolled, pupil-teacher-ratio, no. of trained government teachers and voluntary teachers at a minimum)
    - Parents and communities must actively support the children's learning process (i.e. coordination with SMCs)
  - Focus on government definitions of minimum functioning school environment.
  - Add to these criteria elements around equipped, enrollment & attendance.
  - Embed Scorecard metrics into the Community Needs Assessment
- Denominator of % = # of schools that have received interventions

**Target group:**

- Primary schools in CocoaAction communities

**Location:**

- Collection directly at the primary schools in CocoaAction communities

**Indicator Risks:**

- Government and other stakeholders need to play their roles in improving the quality of education.
- The SMC system needs to be appreciated in the community with enough participation and authority to influence the school environment.

**Evaluation:**

- This indicator is not recommended for individual company collection in 2016. The CocoaAction partnership will jointly decide on the best approach for an evaluation study.

**EDUCATION**

Outcome: 2. 1) Increased number of primary schools, that are 'functioning effectively'.

Indicator: 2.1c) # SMCs or equivalent that have received CocoaAction support that are effectively functioning.

**Clarification on the indicator:**

- Effectively functioning SMCs or equivalent play a critical role in the effective functioning of schools. As identified by national legislation:
  - A School Management Committee is a group of volunteers responsible for
    - Continuously developing school policies and programs, and
    - Helping designing and managing school term budgets, for example the School Performance and Improvement Plan (SPIP).
    - The SPIP lists school expenses and has to be approved by the Ministry of Education.
- Regarding child labor, SMCs support other structures (i.e. CPC, CLMRS) to:
  - Identify and track child labor issues,
  - Act as an intermediary between cases of child labor and CPCs and
  - Promote and stimulate the abolishment of child labor through for example engaging chiefs and encouraging parents,
  - SMCs do not track enrollment or attendance rates or literacy and numeracy levels.
- CocoaAction interventions are specifically focused on strengthening SMCs with the goal that they will become effectively functioning.

**Definitions related to the indicator:**

- Effectively functioning SMC will depend on a set of criteria which CocoaAction needs to develop in collaboration with government and national educational authorities. For example, types of criteria include:
  - SMC composition as per official guidelines,
  - SMC has a School Performance Improvement Plan (SPIP),
  - SMC has an Action Plan,
  - SMC meets at least twice annually,
  - SMC members have received Terms of References (ToRs) on their roles and responsibilities,
  - SMC have received specialized trainings.

#### **Target group:**

---

- SMCs that CocoaAction members are working with

#### **Location:**

---

- Data needs to be collected at the school, in the community, with SMC members

#### **Indicator Risks:**

---

- Government and other stakeholders need to play their roles in strengthening SMCs.
- The SMC system needs to be appreciated in the community with enough participation and authority to function effectively.

#### **Evaluation:**

---

- This indicator is not recommended for individual company collection in 2016. The CocoaAction partnership will jointly decide on the best approach for an evaluation study.

### **CHILD LABOR**

Outcome: 2.2) Increased child protection in CocoaAction communities and significantly reduced child labor in CocoaAction farming households and CocoaAction communities.

Indicator: 2.2a) # and % of CA communities with a CPC or similar structure demonstrating effectiveness.



#### **Clarification on the indicator:**

---

- CPC or similar structures are community based structures that deliver child labor monitoring and remediation and other child protection activities to the whole community (CocoaAction and non CocoaAction farmers). CPCs' mandates are defined in national decrees and their membership is typically comprised of 6-8 members, most on an unpaid voluntary basis. Similar structures which fulfill the same or similar functions as a CPC could include: community development committees, child labour committees (Comités du luttre ou comités de vigilance), CAP committees child welfare communities, orphans and vulnerable children committees, child rights committees.
- CPC or similar structures typically:
  - Mobilize the community, raising resources and following up on child protection and community development actions;



- Conduct awareness raising sessions with community members;
- Contribute to the adoption of community by-laws;
- Identify vulnerable and at-risk children and families;
- An effective CPC should be able to generate data to answer following questions:
  - Is there a Community Child Protection Committee (CPC) or a similar committee established?
  - How often does the CPC meet? (At least once: a month, every 3 months, every 6 months, other – specify) – (Document check – minutes)
  - Have CPC members received any specialized training relevant for the role?
  - If yes, what trainings have CPC members received? Tick all that apply - (child protection, case management, child labor monitoring and remediation)
  - How many members were trained? (disaggregated by gender)
  - Does the CPC have strong links with relevant local government officials at the district level (e.g. social workers, DCPCs, police, NGOs, education and health workers?)

#### Target group:

---

- CPC or similar structure.

#### Location:

---

- Data needs to be collected in the community and with CPC members

#### Indicator Risks:

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- Government and other stakeholders need to play their roles in strengthening CPCs.
- The CPC system needs to be appreciated in the community with enough participation and authority to function effectively.

#### Evaluation:

---

- This indicator is not recommended for individual company collection in 2016. The CocoaAction partnership will jointly decide on the best approach for an evaluation study.

### CHILD LABOR

Outcome: 2.2) Increased child protection in CocoaAction communities and significantly reduced child labor in CocoaAction farming households and CocoaAction communities.

Indicator:

2.2b) # and % of children living in CA farmers' households participating in child labor (cocoa-related or other) as defined per ILO 138 and ILO 182

2.2c) # and % of children living in non-CA farmers' households participating in child labor (cocoa-related or other) as defined by ILO 138 or ILO 182

2.2d) # and % of assisted child labor cases found that are no longer in child labor (cocoa-related or other) after the assistance



#### Clarification on the indicators:

---

- One of the critical aims of CocoaAction is to reduce child labor significantly. Note that at the outset as there is stronger awareness and openness to reporting Child Labor in the

community and better structures in place to monitor it, the numbers in child labor reported may increase due to increased reporting (even though the number in child labor could decrease).

- Because all CocoaAction farmers' households will ultimately be covered by a CLMRS CocoaAction is separately tracking child labor in CocoaAction farmers' households and child labor in non CocoaAction farmers' households.
- Data against this indicator should ultimately be provided by the CPC and CLMRS systems.

#### **Definitions related to the indicators:**

---

- ILO 138<sup>1</sup>: Convention concerning Minimum Age for Admission to Employment (Entry into force: 19 Jun 1976)
  - Children: A child is an individual aged below 18 years
- ILO 182<sup>2</sup>: Convention concerning the Prohibition and Immediate Action for the Elimination of the Worst Forms of Child Labour (Entry into force: 19 Nov 2000)
- CocoaAction farmers' households: households in which one or more adult members participate in CocoaAction training and / or benefit from CocoaAction productivity programs
- Being "no longer in child labor": consistent reporting over a minimum time-frame (typically 6 to 9 month) of data collection without indication that child labor occurred

#### **Target group:**

---

- Children living in CocoaAction communities and/or CocoaAction farmers' households

#### **Location:**

---

- At the CPC and CLMRS

#### **Indicator Risks:**

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- Government and other stakeholders need to play their roles in preventing and remediating child labor.
- The monitoring systems and initiatives to prevent and remediate child labor need to be appreciated in the community with enough participation and authority to function effectively.

#### **Evaluation:**

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- This indicator is not recommended for individual company collection in 2016; it will depend on effectively functioning CPCs and/or CLMRS. The CocoaAction partnership will jointly decide on the best approach for an evaluation study.

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<sup>1</sup> [http://www.ilo.org/dyn/normlex/en/f?p=NORMLEXPUB:12100:0::NO::P12100\\_ILO\\_CODE:C138](http://www.ilo.org/dyn/normlex/en/f?p=NORMLEXPUB:12100:0::NO::P12100_ILO_CODE:C138)

<sup>2</sup> [http://www.ilo.org/dyn/normlex/en/f?p=NORMLEXPUB:12100:0::NO:12100:P12100\\_ILO\\_CODE:C182](http://www.ilo.org/dyn/normlex/en/f?p=NORMLEXPUB:12100:0::NO:12100:P12100_ILO_CODE:C182)



## CHILD LABOR

Outcome: 2.2) Increased child protection in CocoaAction communities and significantly reduced child labor in CocoaAction farming households and CocoaAction communities.

Indicator: 2.2e) # and % of CocoaAction farmers' households covered by an effectively functioning child labor monitoring and remediation systems (CLMRS).

### Clarification on the indicator:

---

- CLMRS are community and/ or supply chain based systems implemented within CocoaAction communities through child protection structures and any supply chain based structure.
- CLMRS combine monitoring and remediation capabilities, unlike CPCs which typically lack remediation capabilities and therefore rely on the existence and strength of external structures, such as national child labor legislation and structures (described in more detail in the CLMS section below).

### Definitions related to the indicator:

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- CocoaAction farmers' households: households in which one or more adult members participate in CocoaAction training and / or benefit from CocoaAction productivity programs. For purposes of child labor measurement, a CocoaAction farmer is a farmer who receives the CocoaAction productivity package.
- Covered by CLMRS means: a farmer or farmer household counts as covered if it appears in the database of the CLMRS system.
- An effective CLMRS should be able to generate data against the following issues:
  - Average number of hours of CL awareness-raising per year / per community delivered by the system.
  - Average number of hours of training undergone by those responsible for monitoring and remediation.
  - Percentage of farmers (coop-members or community members) covered by the system.
  - Average number of monitoring visits/contacts per farmer covered, per year.
  - Number of CL cases identified as a % of children monitored (compared to known local baselines).
  - Percentage of identified CL cases followed-up.
  - Percentage of identified CL cases assisted (through remediation or referral).
  - Percentage of assisted CL cases no longer in child labor (cocoa-related or other) after the assistance.

### Target group:

---

- CLMRS or similar structure.

### Location:

---

- Data needs to be collected in the community and with CLMRS members

### Indicator Risks:

---

- Government and other stakeholders need to play their roles in strengthening CLMRS.

- The CLMRS system needs to be appreciated in the community with enough participation and authority to function effectively.

#### Evaluation:

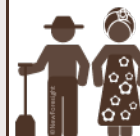
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- This indicator is not recommended for individual company collection in 2016. The CocoaAction partnership will jointly decide on the best approach for an evaluation study.

#### WOMEN'S EMPOWERMENT

Outcome: 2.3) Increased capabilities and opportunities of women to generate increased income and influence decisions.

Indicator: 2.3a) # and % of women in farmers org./community org. in CocoaAction communities contributing to decision making.



#### Clarification on the indicator:

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Women empowerment is giving legitimate power or authority to women to be able to fulfill roles of leadership within a community or farmer organizations. If women are empowered they are expected to be able to participate in the planning and decision making in their households and community at large. To achieve this, CocoaAction focuses on increasing women's knowledge, skills and self-confidence necessary to participate fully in the development process. Progress along these indicators will indicate that women are not only increasingly becoming leaders and taking on influential positions, but that women participate in and are recognized for their roles in income-generating organizations and activities, such as interest groups or women's associations.

#### Definitions related to the indicator:

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- Contributing to decision-making: It is important to consider the type of decisions made by farmer/ community organizations and the role of the women in making those decisions. A woman should be counted as having "contributed to decision-making" if she indicates that she was able to feed her own opinion into a decision making process; if she indicates that she was able to make a decision jointly with others; or, if she indicates that she was able to make a decision by herself that determined the outcome of a decision making process.
- Members in farmer organization or community organizations: these can include "cooperatives", "other professional groups of farmers", "women groups in a community", "decision making bodies of a community", "CPCs", "SMCs" or other groups that are recognized formal or informal institutions with influence on cocoa farming or broader life in the community. A member can an individual who, for example, pays a membership fee, is formally recognized by the organization as a member, or holds a formal position within the organizations.
- Membership in Cooperatives:
  - Ghana: Member should be a cocoa farmer but does not have to own cocoa farm; should pay share capital (if part of legally registered coop; this is a requirement. Members decide on the amount to be paid by each person); should pay dues as agreed by members (for welfare and other purposes); should commit to attending meetings.

- Cote d'Ivoire: In cooperatives a member: 1.) pays membership fee as defined in the statutes and 2.) delivers all of his/ her cocoa to the cooperative.

**Target Group:**

- Women in the CocoaAction communities

**Location:**

- In the community with members of the respective organizations (especially the women reported on)

**Indicator Risks:**

- Women need to be allowed to participate in farmer organizations / community organizations if they desire to.
- Women and men in the community need to participate and appreciate the interventions and take on behaviors for change to happen.

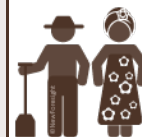
**Evaluation:**

- This indicator is not recommended for individual company collection in 2016. The CocoaAction partnership will jointly decide on the best approach for an evaluation study.

**WOMEN'S EMPOWERMENT**

Outcome: 2.3) Increased capabilities and opportunities of women to generate increased income and influence decisions.

Indicator: 2.3c) # and % of women in CocoaAction communities who report an increased control of income.

**Clarification on the indicator:**

Women empowerment is giving legitimate power or authority to women to be able to fulfill roles of leadership within a community or farmer organizations. If women are empowered they are expected to be able to participate in the planning and decision making in their households and community at large. To achieve this, CocoaAction focuses on increasing women's knowledge, skills and self-confidence necessary to participate fully in the development process. Progress along this indicator will indicate that women are not only increasingly becoming leaders and taking on influential positions, but that women participate in and are recognized for their roles in income-generating organizations and activities, such as interest groups or women's associations.

**Definitions related to the indicator:**

- Control of income is the power to influence or direct behavior or the course of events concerning the money earned and contributed to the household on a regular basis.

**Target Group:**

- Women in the CocoaAction communities

**Location:**

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- In the community with members of the respective organizations (especially the women reported on)

**Indicator Risks:**

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- The economic environment in the communities needs to be stable and women need to be allowed to participate in IGA.
- Women and men in the community need to participate and appreciate the interventions and take on behaviors for change to happen.

**Evaluation:**

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- This indicator is not recommended for individual company collection in 2016. The CocoaAction partnership will jointly decide on the best approach for an evaluation study.

# CocoaAction Data Management & Verification

## Data Management

The chapter is based on best currently available knowledge as of February 2016 and certain details are pending confirmation.

- (1) Data received by CocoaAction from members through the data exchange portal will remain linked to each individual company online account.
  - a. Each member is free to take past submissions off their account or let them remain online within the secured space.
  - b. Each member's "Data Steward" (compare chapter 3 "M&E Design", section f "Data Submission") has the ability to remove submitted data from the company account.
  - c. Data received via email can be requested to be deleted from WCF's email server—please note that email submission is not recommended (review chapter 3 "M&E Design" section b "Data Sensitivity and Security").
- (2) Data submissions are to be submitted via the required "Data Submission Template" (review Annex e) and will be reviewed and cleaned by WCF. This template is required for data entry and represents a first pilot for a common template. WCF will assist companies who require support with data entry. Based on experience and input, the template will evolve in 2017. During this process, company "Data Stewards" need to be available for clarifications via email/ phone contact.
- (3) Data will be entered into the aggregate CocoaAction data base by WCF to generate a partnership perspective of the whole data. Details about the database technology and tools used will be separately available from WCF and are not covered in this M&E Guide.
- (4) Analysis will be performed against the data by WCF to illustrate current performance against the CocoaAction indicators and their targets. Details about the analysis procedure, technology and tools used will be separately available from WCF and are not covered in this M&E Guide.
- (5) The results of the analysis will become available through CocoaAction's reporting channels to each CocoaAction member. The reporting channels—the technology and means of distribution are in planning and review by the respective CocoaAction decision-making bodies. Details about the reporting channels will be separately available from WCF and are not covered in this M&E Guide.

## Verification

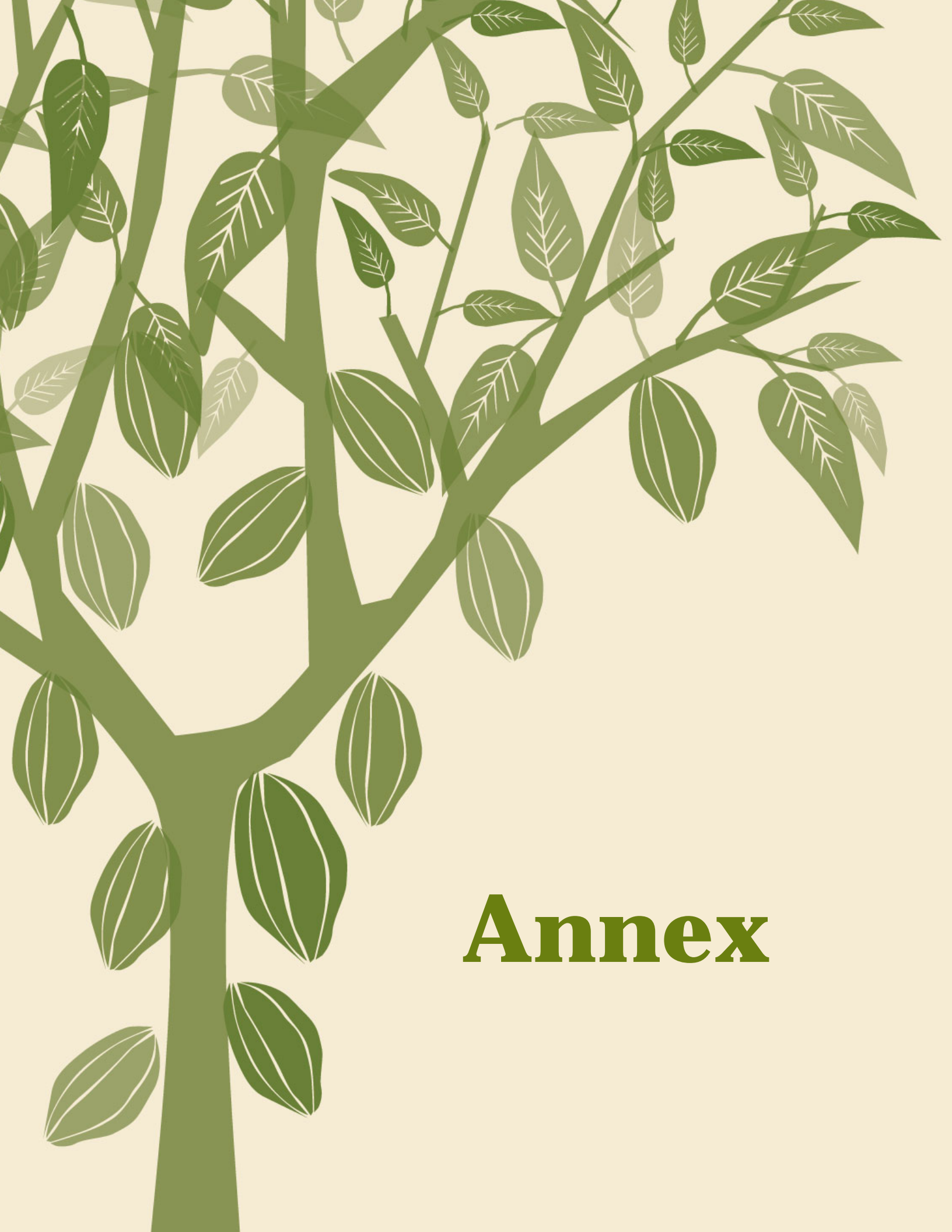
- (1) Before CocoaAction data is reported externally, it is required to be verified by a 3<sup>rd</sup> party who will verify the CocoaAction processes to convert the company data into CocoaAction data ready to report.
- (2) This third party verifier will be hired as a central CocoaAction verifier. Details on the requirements for this verifier and the associated processes will be finalized in late 2016 to ensure the verifier is contracted to verify the 2016 annual data.



## Learning and Improvement

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- (1) CocoaAction has a big emphasis on learning and improvement. There is a broader Learning Agenda for CocoaAction; information on that can be found in other resources being developed.
- (2) With respect to data collection and this M&E Guide there are a variety of learning and improvement components.
  - a. First in terms of the M&E Guide and M&E process itself: This guide is intended to be used as companies for the first time collect official 'CocoaAction data'. We recommend that companies document
    - Areas of the guide that work very well for them
    - Feedback on what is needed to improve this guide for future years
    - Specific actions or assumptions companies made based on what is included in the guide.
  - b. Throughout the year the CocoaAction team will discuss this feedback. In late 2016, the CocoaAction team will meet to discuss the experience and develop the recommended changes to make to improve the M&E processes and resources for 2017 and beyond.
- (3) Further the CocoaAction data being collected and submitted in accordance with this M&E Guide will be used as critical input into broader CocoaAction learning activities aligned with the Learning Agenda mentioned above. CocoaAction is looking to answer questions about what is working and what should be improved in order for the CocoaAction partnership to have a greater impact. The data collected is crucial for this continuous learning process.






# **Annex**

Annex a) Results-Framework

Productivity Results Statements Overview

**Productivity Package – Results Framework**



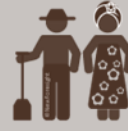
Vision: A rejuvenated and economically viable cocoa sector that provides opportunities to cocoa farmers and cocoa communities

Long-Term Outcome	Increased Cocoa Yield for targeted CocoaAction farmers. (1)			
<b>2020 Outcomes</b>	 <p><b>Good Agricultural Practices</b></p> <p>Farmers adopt recommended good agricultural practices, if required. (1.1)</p>	 <p><b>Replanting &amp; Rehabilitation</b></p> <p>Farmers adopt rehabilitation techniques using recommended planting materials, if required. (1.2)</p>	 <p><b>Fertilizer &amp; Soil Fertility</b></p> <p>Farmers adopt soil fertility management, if required. (1.3)</p>	
<b>Outputs</b>	Farmers trained on recommended practices (GAPs, Rehabilitation, Soil Fertility), with improving inclusion of women farmers. (1.1.1)	Recommended planting material is made available to farmers. (1.2.1)	Fertilizer is made available to farmers. (1.3.1)	Soil mapping completed and fertilizer recommendations adapted to results. (1.3.2)
<b>Activities</b>	Carry out GAP, farm rehabilitation and soil fertility training with farmers.	Establish a distribution network for improved planting materials to allow access by farmers.	Establish a distribution network for fertilizer and input material to allow access by farmers.	Conduct soil mapping analysis and formulate fertilizer recommendations.

**Community Results Statements Overview**

## Community Package – Results Framework

Vision: A rejuvenated and economically viable cocoa sector that provides opportunities to cocoa farmers and cocoa communities

Long-Term Outcome	In the originally targeted CA communities women are empowered, child protection is enhanced, children are attending primary school and child labor is significantly decreased. (2)					
<b>2020 Outcomes</b>	 <p><b>Primary Education</b></p> <p>Increased # of effectively functioning primary schools. (2.1)</p>	 <p><b>Child Labor</b></p> <p>Increased child protection and significantly reduced child labor. (2.2)</p>	 <p><b>Women’s Empowerment</b></p> <p>Increased capabilities and opportunities of women to generate increased income and influence decisions. (2.3)</p>			
<b>Outputs</b>	Improved educational infrastructure, equipment or materials based on comm. needs. (2.1.1)	SMC or equivalent committees are strengthened or promoted. (2.1.2)	Increased # of operating CLMRS and CPCs (or equivalent). (2.2.1)	Increased awareness among relevant actors on women’s empowerment. (2.3.1)	Increased participation by women in relevant organizations. (2.3.2)	Increased capacity of women to undertake IGAs. (2.3.3)
<b>Activities</b>	Improve infrastrct./ equipment/ materials.	Support/ Train School Mngmt Committee (SMC) or equivalent.	Raise awareness on child protection. Build/ operationalize Child Monitoring and Remediation System (CLMRS). Form/ Train Child Protection Committee (CPC).	Train relevant actors from community/ implementers/ supply chain partners.	Support women to participate in relevant organizations.	Support Income Generating Activities (IGA).



**Productivity Indicator Overview**

CocoaAction Vision: A rejuvenated and economically viable cocoa sector that can compete with alternative crops and provide opportunities to cocoa farmers and cocoa communities.				
Impact (working statement): Increased socio-economic opportunities for cocoa growing households (linking community & productivity pillars)				
Long Term Outcome	Result Statement	1) Increased Cocoa Yield for targeted CocoaAction farmers		
	Indicator	1.a) Metric tons of dried cocoa beans produced per hectare of overall farm area		
Short Term Outcome	Result Statement	1.1) <b>GAP</b> <i>Farmers adopt recommended good agricultural practices, if required.</i>	1.2) <b>Planting Material</b> <i>Farmers adopt rehabilitation techniques using recommended planting materials, if required.</i>	1.3) <b>Fertilizer and Soil</b> <i>Farmers adopt soil fertility management, if required.</i>
	Indicator	1.1.a) Percentage of targeted farmers applying basic Good Agricultural Practices.	1.2.a) Percentage of targeted farmers rehabilitating their cocoa farms to a minimum degree.	1.3.a) Percentage of targeted farmers applying soil fertility management practices.
Output	Result Statement	1.1.1.) <i>Farmers trained on recommended practices (GAPs, Rehabilitation, Soil Fertility), with improving inclusion of women farmers.</i>	1.2.1) <i>Recommended planting material made available to farmers.</i>	1.3.1) <i>Fertilizer made available to farmers.</i> 1.3.2) <i>Soil mapping completed and fertilizer recommendations adapted to results.</i>
	Indicator	1.1.1.a) Percentage of targeted farmers attending minimum amount of training and percentage of farmers trained who are women.	1.2.1.a) Percentage of targeted farmers with access to planting material distribution points.	1.3.1.a) Percentage of targeted farmers with access to fertilizer distribution points:      1.3.2.a) Soil map of CocoaAction countries is available and regional formula for CocoaAction recommended fertilizer is available.
Productivity Core Interventions (Activities)		<b>GAP</b> A. Carry out GAP, farm rehabilitation and soil fertility training with farmers.	<b>Planting Material</b> A. Distribute improved planting material to farmers.	<b>Soil Fertility</b> A. Distribute fertilizer and input material to farmers. <b>Soil Fertility</b> B. Conduct soil mapping analysis and formulate fertilizer recommendations.

**Community Indicator Overview**

CocoaAction Vision: A rejuvenated and economically viable cocoa sector that can compete with alternative crops and provide opportunities to cocoa farmers and cocoa communities.										
Impact (working statement): Increased socio-economic opportunities for cocoa growing households (linking community & productivity pillars)										
Long Term Outcome	Result Statement	2) In the originally targeted CA communities women are empowered, child protection is enhanced, children are attending primary school and child labor is significantly decreased								
	Indicator	2.a) [working statement] Percentage of originally targeted CocoaAction communities that improve across all three community results areas.								
Short Term Outcome	Result Statement	2.1) Education Increased number of primary schools, that are 'functioning effectively'		2.2) Child Labor Increased child protection in CocoaAction communities and significantly reduced child labor in CocoaAction farming households and CocoaAction communities			2.3) Women's Empowerment Increased capabilities and opportunities of women to generate increased income and influence decisions			
	Indicator	2.1a) # girls and boys enrolled in schools that have received CocoaAction education interventions  2.1b) # and % of primary schools that have received CocoaAction interventions and are meeting specified functioning effectively requirements	2.1c) # SMCs or equivalent that have received CocoaAction support that are effectively functioning	2.2a) # and % of CA communities with a CPC or similar structure demonstrating effectiveness  2.2c) # and % of children living in non-CA farmers' households participating in child labor (cocoa-related or other) as defined by ILO 138 or ILO 182  2.2d) # and % of assisted child labor cases found that are no longer in child labor (cocoa-related or other) after the assistance	2.2b) # and % of children living in CA farmers' households participating in child labor (cocoa-related or other) as defined per ILO 138 and ILO 182  2.2e) # and % of CocoaAction farmers' households covered by an effectively functioning child labor monitoring and remediation systems (CLMRS)	2.3a) # and % of women in farmers org./ community org. in CocoaAction communities contributing to decision making	2.3b) # and % of women in CocoaAction communities who report on increased income as a result of IGA	2.3c) # and % of women in CocoaAction communities who report an increased control of income		
Output	Result Statement	2.1.1) Improved educational infrastructure, equipment or materials based on community needs  2.1.2) School management or equivalent committees are strengthened, and where absent or not functioning are advocated to be established		2.2.1) Increased number of operating child labor monitoring and remediation systems and CPCs (or similar structure)			2.3.1) Increased awareness among community and farmer organizations on women's empowerment		2.3.2) Increased participation by women in farmer and/or community organizations	2.3.3) Increased capacity of women to undertake IGAs
	Indicator	2.1.1a) # of primary schools benefiting from CocoaAction educational infrastructure, equipment and/or material interventions	2.1.2a) # school management or equivalent committees that have received support	2.2.1a) # and % of CocoaAction communities with an operating child protection committee (CPC) or similar structure	2.2.1b) # and % of CocoaAction farmers' households covered by operating CLMRS	2.3.1a) # of farmer and/or community facing people trained through gender awareness or sensitivity programs	2.3.2a) # and % of women members in farmer org. and/or community org.	2.3.2b) # and % of women members in community governance structures	2.3.3a) # of women supported to undertake or strengthen IGA	
Community Core Interventions (Activities)	All CocoaAction community interventions need to be informed by an obligatory community needs assessment within each community (except for CLMRS interventions).									
	<b>Education</b> A. Carry out improvements to existing formal schooling infrastructure, materials and equipment  B. Support for formation and/or strengthening of community-based school management committee (SMC) or equivalent structure, including support for their ability to monitor attendance and enrollment		<b>Child Labor</b> A. Raise awareness in community on child labor  B. Form and/or train Child Protection Committee (CPC) or other community - based structure or person  C. Build and operationalize child labor monitoring and remediation capabilities (CLMRS)			<b>Women's Empowerment</b> A. Train on gender sensitivity for women, men, implementing program staff, farmer organizations and the community  B. Support participation of women in farmer organizations and community governance structures		<b>Women's Empowerment</b> C. Support Income Generating Activities (IGA) as requested by women		

## Annex b) Informed Consent

### What is informed consent and what is it not?

- Informed consent is a legal pre-requisite for most data collection from individual actors<sup>3</sup>.
- Informed consent is an ethical guideline that has been framed in international declarations such as the ICC World-ESOMAR guidelines<sup>4</sup>.
- Informed consent ensures that study-subjects understand the research they are supposed to participate in and have the option to withdraw from participation.
- Informed consent does not represent an official permit to conduct a data collection.

### What is the recommended format?

- First, an informed consent should be prepared and documented in accordance with national legal recommendations, if existing<sup>5</sup>.
- Second, it should conform to local context and conditions.
  - If study-subjects are not literate it is appropriate to read out content, or to include illustrations.
  - If local customs necessitate, it is appropriate to establish additional consent with local gatekeepers (e.g. village leader).
- Third, informed consent procedures need to be aligned with individual program needs and processes for accountability. Usual practices include:
  - Minimum: existence of written procedures and protocols, instructing data collection teams to establish informed consent.
  - Recommended: data collection teams indicate on a form the date and time when informed consent has been established.
  - High-bar, if you anticipate increasing scrutiny on your data collection: study-subjects are asked to sign (also ‘thumb-print’ if appropriate) consent forms to prove the establishment of informed consent.

### What is the recommended content of an informed consent procedure?

In accordance with ICC World-ESOMAR guidelines:

- Transparency
  - Researchers shall promptly identify themselves and unambiguously state the purpose of the research.
  - Respondents shall be able to check the identity and bona fides of the researcher without difficulty.
- Professional responsibility
  - Respondents’ co-operation in a market research project is entirely voluntary at all stages. They shall not be misled when being asked for their co-operation.
- Recording and observation techniques
  - Respondents shall be informed before observation techniques or recording equipment are used for research purposes, except where these are openly used in a public place and no personal data are collected.
  - If respondents so wish, the record or relevant section of it shall be destroyed or deleted.
  - In the absence of explicit consent respondents’ personal identity shall be protected.

<sup>3</sup> Review: Côte d’Ivoire LAW No. 2013-450 dated June 19, 2013 on the protection of personal data; Ghana Data Protection Act, 2012, Act 843 May 10, 2012

<sup>4</sup> Source: [https://www.esomar.org/uploads/public/knowledge-and-standards/codes-and-guidelines/ICCESOMAR\\_Code\\_English\\_.pdf](https://www.esomar.org/uploads/public/knowledge-and-standards/codes-and-guidelines/ICCESOMAR_Code_English_.pdf)

<sup>5</sup> Note: No specified format/ documentation requirements for CDI or Ghana in above mentioned laws



- Data protection and privacy
  - *Privacy policy*: Researchers shall have a privacy policy which is readily accessible to respondents from whom they are collecting data.
  - *Collection of data*: When collecting personal information from respondents researchers shall ensure that:
    - Respondents are aware of the purpose of the collection; and
    - Respondents are aware of any quality control activity involving re-contacts
- Rights of the respondent
  - Appropriate measures shall be taken to ensure that respondents understand and can exercise their rights not to participate in a market research project;
  - To withdraw from the market research interview at any time;
  - To require that their personal data are not made available to others; and
  - To delete or to rectify incorrect personal data which are held on them.

### **Example Routine to Establish Informed Consent:**

*Generic example for an informed consent procedure which is read out—this routine will take ca. 5 minutes.*

1. *Data collector introduces him/ herself with:*
  - a. Name,
  - b. Organization, and
  - c. Purpose of the visit, for example: “To collect information about cocoa farming and cocoa farmers, to learn what effect existing support for farming and farming families has and how cocoa farming can be supported better in the future.”
2. *Data collector presents personal credentials:*
  - a. Identification card which shows: organization, name, contact (phone number) and photo of data collector
  - b. Research permit from authorities, if required: if a local gate-keeper (i.e. village leader) is consulted for informed consent first, then it can be enough to present evidence of informed consent with the gate keeper to further research subjects thereafter.
3. *Data collector asks for collaboration:*
  - a. Outline the expected time needed, for example: “This process will take about 1 hour.”
  - b. Clearly present a choice to participants, for example: “Do you agree that I ask you my questions?”
4. *Data collector introduces recording equipment:*
  - a. Introduce every recording tool that you use (i.e. camera, voice recorder, photograph, GPS, tablet notes, paper notes) to record the answers and ask for agreement, for example: “Do you agree that I use these tools?”
5. *Data collector introduces privacy protection:*
  - a. Ensure the participant that their information will not be shared with third parties or published in any form that could identify the participant.
  - b. Explain to the participant that his/her answers will be added to many other farmer’s answers from different cocoa growing regions and cooperatives in a research group.
  - c. Explain to the participant that he/she might be re-contacted in the future to learn if things have changed.
6. *Data collector outlines rights of participant:*
  - a. Right to withdraw, for example: “If you want to stop the interview, please let me know.”

- b. Right to future change of mind, for example: “If you change your mind, you can contact me or let me know at a future visit and we delete your answers.”
- c. Right to correct information, for example: “If you feel that you need to change an answer at any point, please contact me and we change your answers.”

## Annex c) Sampling Approaches

### Precision bases Calculation to estimate population performances:

$$\text{sample size} = \frac{z \text{ score}^2 * \text{exp. Standard Deviation}^2}{\text{exp. Margin of Error}^2}$$

### Precision bases Calculation to estimate population proportions:

$$\text{sample size} = \frac{z \text{ score}^2 * \text{exp. proportion} * (1 - \text{exp. proportion})}{\text{exp. Margin of Error}^2}$$

### Calculation for population adjusted sample sizes:

$$\text{adjusted sample size} = \frac{\text{sample size} * \text{population}}{\text{sample size} + (\text{population} - 1)}$$

### Example calculation to survey population performances (with population adjustment):

- *population*: company X has an actual CocoaAction commitment of 5000 farmers
- *distribution*: it is expected that the real performance of farmers is roughly normal distributed (bell shape)
- *expected standard deviation*: in previous studies most individual yield fell between 100 and 800kg/ha → for a normal distribution: expected mean of 450kg/ha, expected standard deviation=175kg/ha
- *margin of error*: adapting the CocoaAction maximum of 5% of the real mean (equal to 22.5kg/ha for an expected mean of 450 kg/ha)
- *level of confidence*: adapting the CocoaAction minimum of 90% (determines your z-score<sup>6</sup>)
- *Oversampling*: adapting the CocoaAction requirement of 10%

$$\text{sample size} = \frac{z \text{ score}^2 * \text{exp. Standard Deviation}^2}{\text{exp. Margin of Error}^2} = \frac{1.645^2 * 175^2}{22.5^2} \approx 164$$

$$\text{adjusted sample size} = \frac{\text{sample size} * \text{population}}{\text{sample size} + (\text{population} - 1)} = \frac{164 * 5000}{164 + (5000 - 1)} * 110\% \approx 174$$

### Example calculation to survey population proportions (with population adjustment):

- *population*: company X has an actual CocoaAction commitment of 5000
- *expected proportion*: in previous studies adoption rates were 61.5% for GAP application
- *margin of error*: adapting the CocoaAction maximum of 5%
- *level of confidence*: adapting the CocoaAction minimum of 90% (determines your z-score<sup>7</sup>)
- *Oversampling*: adapting the CocoaAction requirement of 10%

$$\text{sample size} = \frac{z \text{ score}^2 * \text{exp. proportion} * (1 - \text{exp. proportion})}{\text{exp. Margin of Error}^2} = \frac{1.645^2 * 0.615 * (1 - 0.615)}{0.05^2} \approx 256$$

$$\text{adjusted sample size} = \frac{\text{sample size} * \text{population}}{\text{sample size} + (\text{population} - 1)} = \frac{256 * 5000}{256 + (5000 - 1)} * 110\% \approx 268$$

<sup>6</sup> Z-Score comes from a look-up table; z-score for 90% = 1.645

## Annex d) Enumerator Guidance Documents

- (1) The following set of documents is meant to guide the field data collection teams and the individual enumerator when implementing the field observations.
- (2) The enumerator guidance is not meant as a checklist: the details that an enumerator can observe at a certain point in time in the field depend on many factors such as time of the year, part of the country, variety of cocoa grown etc.
- (3) The enumerator guidance emphasizes that enumerators must be able to make an informed decision about the state of the application of management practices on the cocoa farm in the farm's specific context—the guidance documents cannot replace experience and training of the enumerators.

Overview and Links to Available Enumerator Guidance:

Productivity Indicator	Guidance Document
<b>Basic GAP 1: Pruning</b> <i>1.1a) Percentage of targeted farmers applying basic Good Agricultural Practices.</i>	<a href="#">Enumerator Guide: Pruning</a>
<b>Basic GAP 2: Pest and Disease Mngmt.</b> <i>1.1a) Percentage of targeted farmers applying basic Good Agricultural Practices.</i>	<a href="#">Enumerator Guide: Pest Management</a>
<b>Basic GAP 3: Weed Management</b> <i>1.1a) Percentage of targeted farmers applying basic Good Agricultural Practices.</i>	<a href="#">Enumerator Guide: Weed Management</a>
<b>Basic GAP 4: Shade Management</b> <i>1.1a) Percentage of targeted farmers applying basic Good Agricultural Practices.</i>	<a href="#">Enumerator Guide: Shade Management</a>
<b>Basic GAP 5: Harvest Management</b> <i>1.1a) Percentage of targeted farmers applying basic Good Agricultural Practices.</i>	<a href="#">Enumerator Guide: Harvest Management</a>
<i>1.2a) Percentage of targeted farmers rehabilitating their cocoa farms to a minimum degree.</i>	<a href="#">Enumerator Guide: Farm Rehabilitation</a>
<b>Practice 1: Soil Health Mngmt.</b> <i>1.3a) Percentage of targeted farmers applying soil fertility management practices.</i>	<a href="#">Enumerator Guide: Soil Health Management</a>
<b>Practice 2: Nutrient Replenishment</b> <i>1.3a) Percentage of targeted farmers applying soil fertility management practices.</i>	<a href="#">Enumerator Guide: Soil Nutrient Replenishment</a>
<b>Practice 3: Soil Erosion Protection</b> <i>1.3a) Percentage of targeted farmers applying soil fertility management practices.</i>	<a href="#">Enumerator Guide: Soil Erosion Protection</a>

## Enumerator Guide: Pruning

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Not every tree needs to fulfill every pruning criteria listed below.

In accordance with the CocoaAction guidelines, observe multiple trees (at least 10 at each observation spot) and judge if the spot as a whole shows that the farmer manages the positive growth development of his/ her trees.

As cocoa farm enumerator, you have to apply your knowledge to decide if the cocoa farm at a certain age and in the local context is properly maintained—below criteria help you to guide your observations.

Step 1: Move to the first randomly selected observation point.

Step 2: Identify cocoa trees central to where you are standing (at least 10 trees).

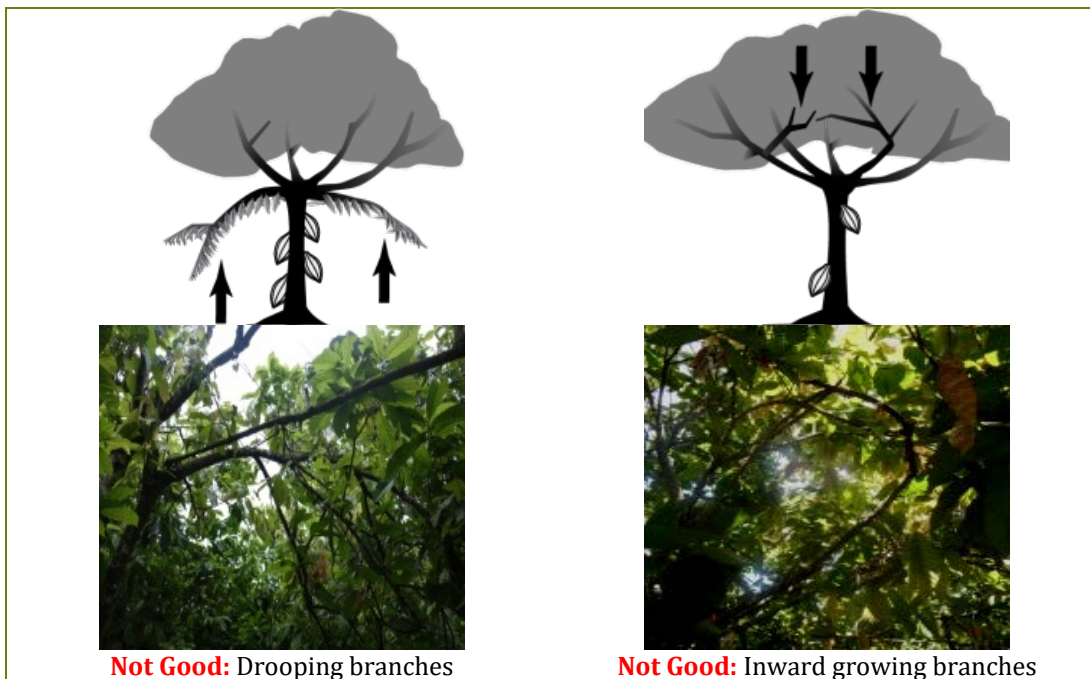
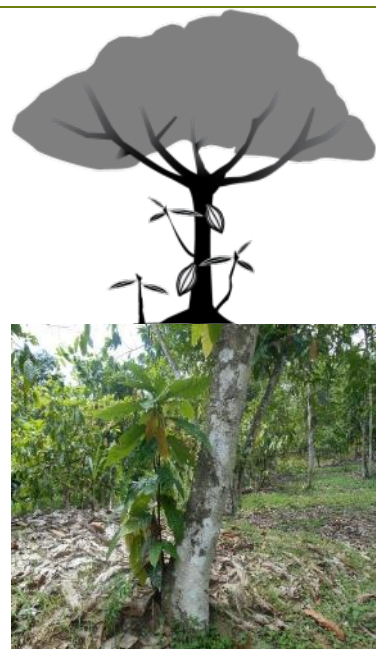
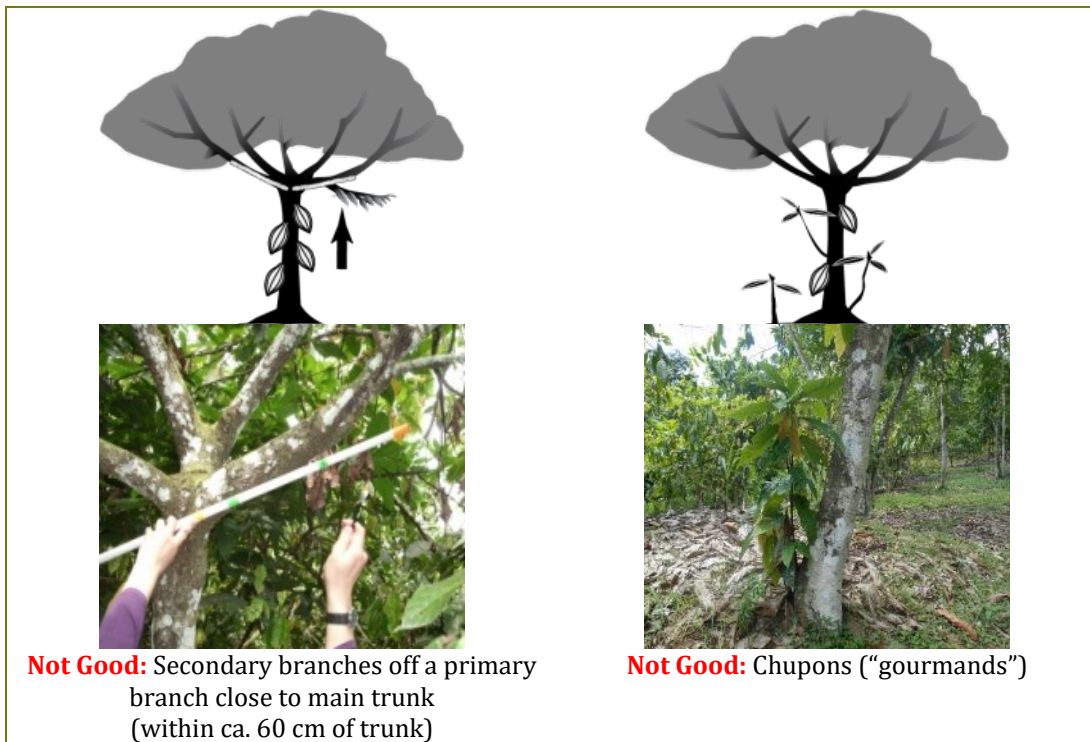
Step 3: Observe the cocoa trees, with help by the visual guides/pictures below.

Step 4: Record the observations and continue with the next GAP observations for the same trees, before moving to the next observation point.

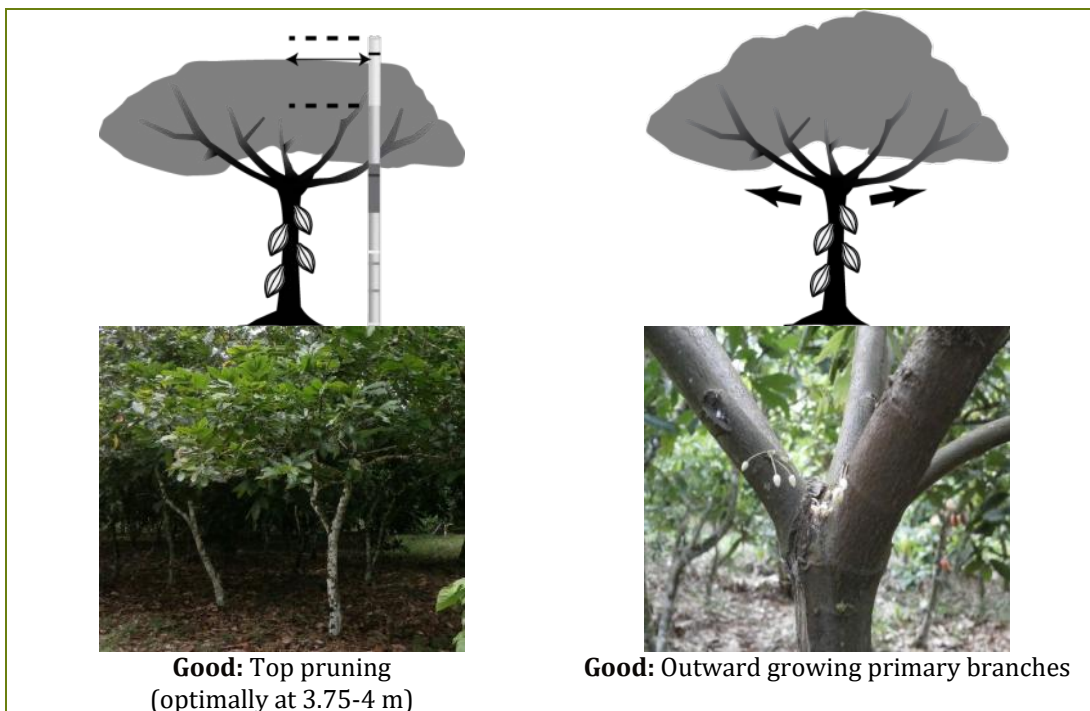
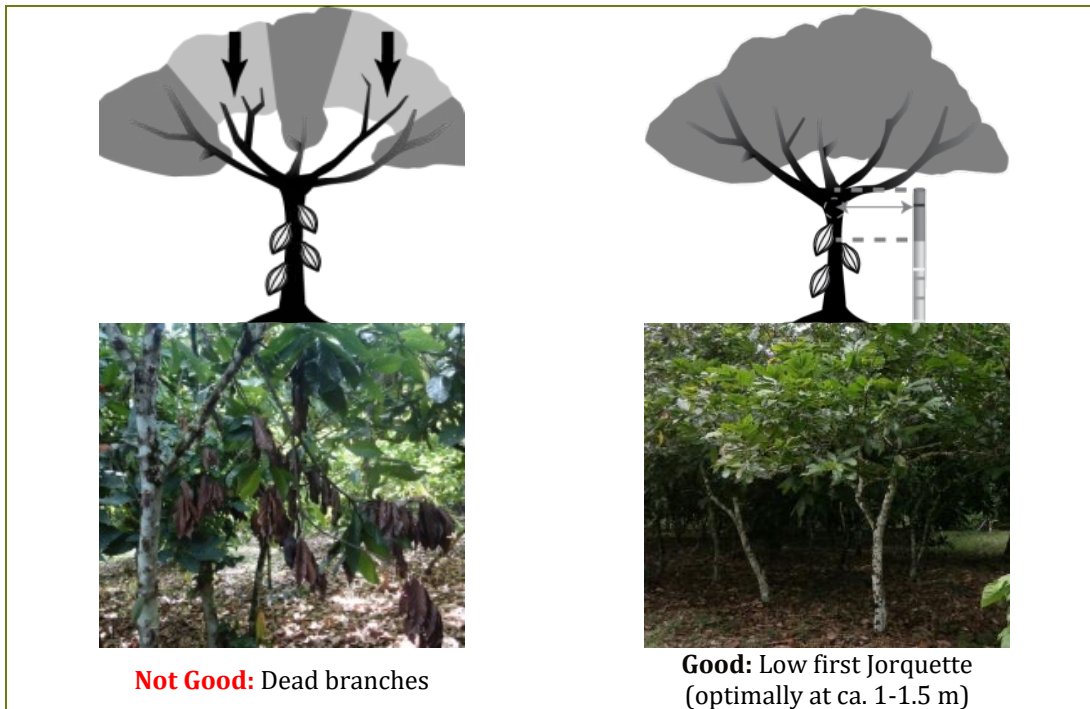
- \* ***no evidence of pruning management,***  
\* ***evidence but insufficient,***  
\* ***evidence and sufficient,***  
\* ***Not able to indicate, Pruning not necessary***



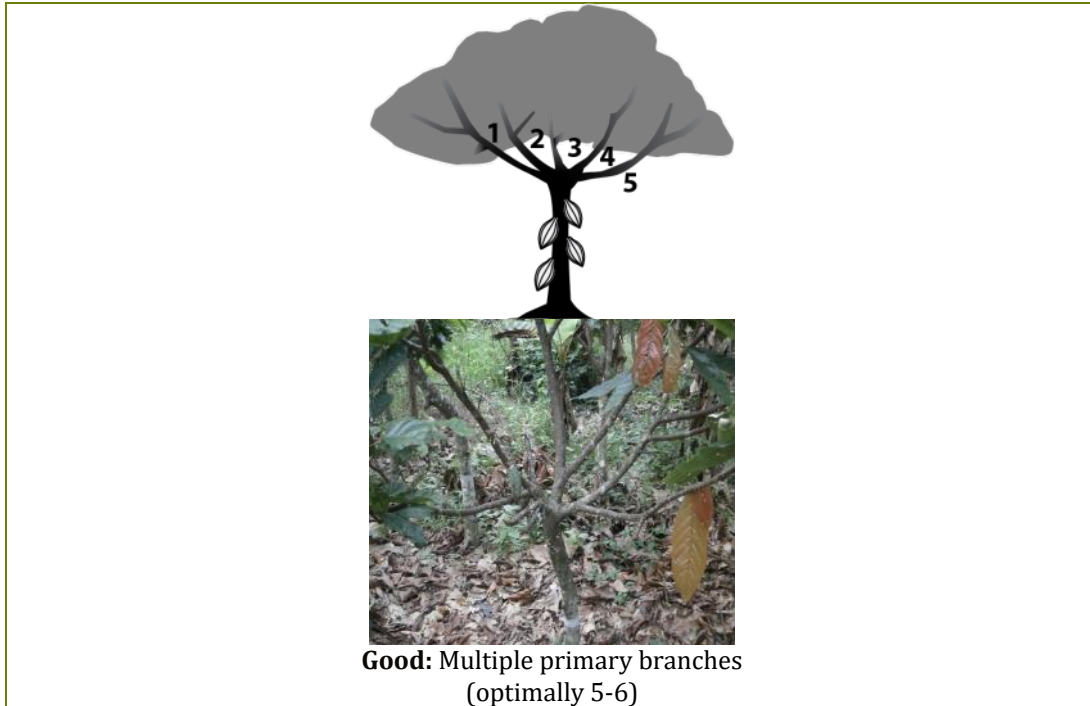
Well pruned cocoa farm











## Enumerator Guide: Pest Management

Remember: Some pests and diseases are very common and cocoa trees will not have to be entirely free of these pests to show that a farmer applies good management.

In accordance with the CocoaAction guidelines, observe multiple trees (at least 10 at each observation spot) and judge if the spot as a whole shows that the farmer manages the health of his/ her trees.

As cocoa farm enumerator, you have to apply your knowledge to decide if the cocoa farm at a certain age and in the local context is properly maintained—below criteria help you to guide your observations.

Remember: do not spend a long time to try and observe every detail at every tree—if a farm is infected and no counter management has been introduced, then you will recognize signs of infestation with some practice. Use this guide to remind yourself of what to be aware of.

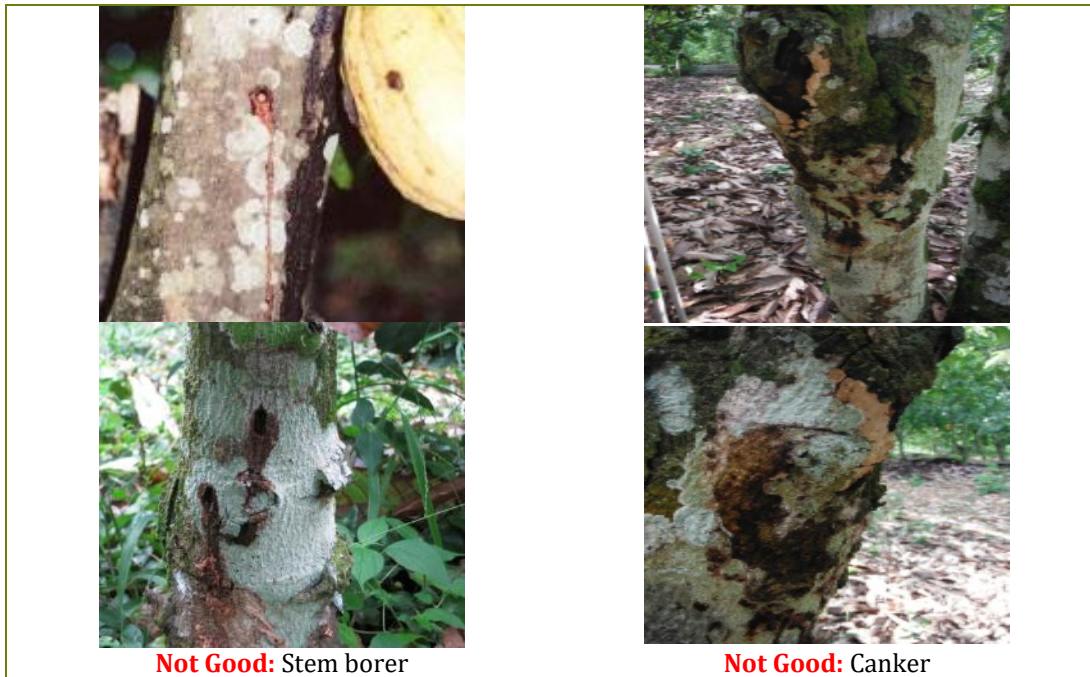
Step 1: (After pruning,) observe the same cocoa trees with help by the visual guides/pictures below, for the presence or absence of each common cocoa pest and diseases.

Step 2: Record the observations for each pest and disease and continue with the next GAP observations for the same trees, before moving to the next observation point.

- \* ***no evidence of pest/ disease management (serious infection observed),***
- \* ***evidence but insufficient (few infections observed),***
- \* ***evidence and sufficient (no infections observed),***
- \* ***Not able to indicate, Pest and disease management not necessary***



Healthy cocoa farm (no or few black-pods, vigorous crown layer, deep green leaves...)







**Not Good:** Signs of black-pod infestation (look on the tree and on the floor)



**Good:** Farmer applies counter-management to prevent or control infestation

## Enumerator Guide: Weed Management

---

Remember: Not every patch of farm needs to be entirely free of weeds if it does not impact the cocoa trees.

In accordance with the CocoaAction guidelines, observe the farm as a whole while you walk through it and judge if it shows that the farmer manages the farm floor layer of his/her farm.

As cocoa farm enumerator, you have to apply your knowledge to decide if the cocoa farm at a certain age and in the local context is properly maintained—below criteria help you to guide your observations.

Step 1: As you walk through the farm, ask yourself if you can walk easily and if you are not impeded by dense weeds.

Step 2: Use the enumerator guidance below for additional help to make decision on weed management.

Step 3: Record your observations as appropriate at the end of the farm visit.

- \* *no evidence of weed management,*
- \* *evidence but insufficient,*
- \* *evidence and sufficient,*
- \* *Not able to indicate, weed management not necessary*

Remember that, especially for young cocoa trees, weed control is very critical.



Well maintained farm floor



Badly maintained farm floor



**Not Good:** vast layers of standing weed



**Good:** cut weed on the floor



**Good:** supportive, low growing ground cover



## Enumerator Guide: Shade Management

Remember: Not every farm needs to be shaded to the same extent; if a farmer can afford to fertilize every year, the soil could stay productive even with less shade.

In accordance with the CocoaAction guidelines, observe the farm as a whole and judge if the farm requires shade management and what type of shade management is required. Under certain conditions (depending on age, variety and location where it is grown) the cocoa trees may need little to no shading, or shade tree planting is not possible. Judge if required shade management has been implemented adequately.

As cocoa farm enumerator, you have to apply your knowledge to decide if the cocoa farm at a certain age and in the local context is properly maintained—below criteria help you to guide your observations.

Step 1: As you walk through the farm, observe what shade is needed and available.

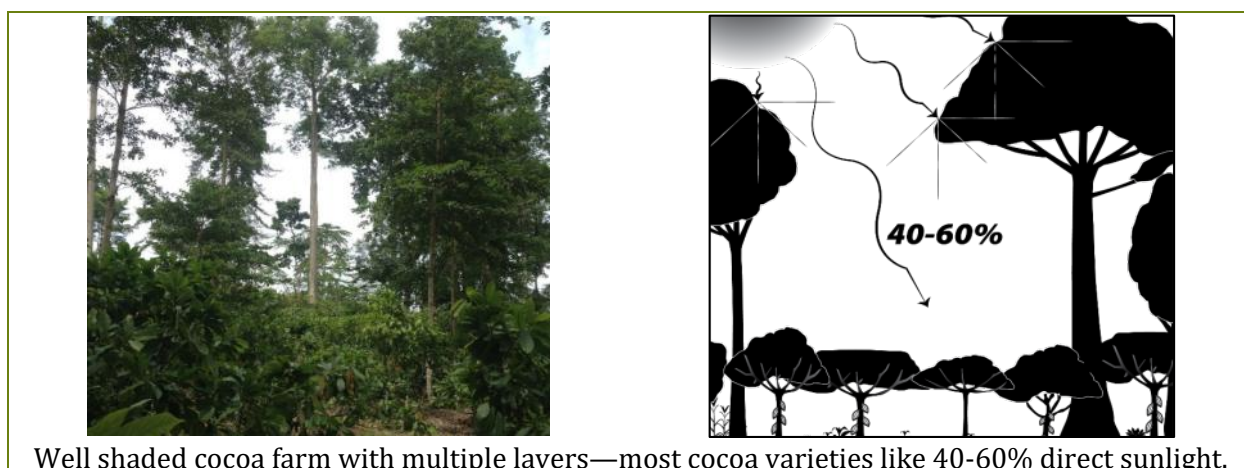
Step 2: Use the enumerator guidance below for additional help to make decision on shade management.

Step 3: Record your observations as appropriate at the end of the farm visit.

- \* **Farm is currently in need of permanent shade management,**  
\* **farm is currently in need of temporary shade management,**  
\* *Not able to indicate, Shade management not necessary*
- \* **no evidence of needed shade management,**  
\* **evidence but insufficient,**  
\* **evidence and sufficient,**  
\* *Not able to indicate, Shade management not necessary*

Step 4: At the end of the visit, ask the farmer if he/ she can show you what he/ she is currently doing to manage shade on farm and visit the spot together. Then, record your observation.

- \* **Farmer was able to present on-farm evidence of new shade management actions,**  
\* **farmer was not able to show on-farm evidence of new shade management actions,**  
\* *Not able to indicate*



Well shaded cocoa farm with multiple layers—most cocoa varieties like 40-60% direct sunlight.





## Enumerator Guide: Harvest Management

---

Remember: Harvest management can differ by season, variety and local conditions.

In accordance with the CocoaAction guidelines, observe multiple trees (at least 10 at each observation spot) and judge if the spot as a whole shows that the farmer manages the timely harvest of cocoa trees.

As cocoa farm enumerator, you have to apply your knowledge to decide if the cocoa farm, surveyed at a specific point in time during the yearly season, shows signs of the quality of harvest management.

Step 1: (After pest management,) observe the same cocoa trees with help by the visual guides/pictures below.

Step 2: Record the observations before moving to the next observation point.

- *\* no evidence of harvest management,*
- *\* evidence but insufficient,*
- *\* evidence and sufficient,*
- *\* Not able to indicate, harvest management not necessary*

Step 3: At the end of the visit, ask the farmer when harvest started for the main and minor season and how often he/ she collected pods during the main/ minor season. Then, record the answers.

- “How often does farmer collect pods during main harvest?”: **number**, *Not able to indicate*
- “When did the main harvest start?”: **January, February, March, April, May, June, July, August, September, October, November, December**, *Not able to indicate, Harvest management not necessary*
- “How often does farmer collect pods during mid-crop harvest?”: **number**, *Not able to indicate*
- “When did the mid-crop harvest start?”: **January, February, March, April, May, June, July, August, September, October, November, December**, *Not able to indicate, Harvest management not necessary*



**Good:** Harvesting did not leave a scar in the growth tissue and new flowers sprout around an old pod-link



**Good:** Only good pods across all age classes are found on this tree.



**Bad:** A large horizontal harvesting scar might prevent new pods from growing at this spot



**Bad:** Rotting pods on the trees can indicate insufficient harvest management.

## Enumerator Guide: Farm Rehabilitation

---

The need for farm rehabilitation is directly driven by the current productive potential of a farm's cocoa trees. A cocoa tree's productivity, on the other hand, depends to a large degree on characteristics of the tree and the farm it is grown on. Tree rehabilitation can replace trees with bad characteristics with better trees to produce more cocoa in the future—some bad characteristics are: old trees, diseased trees, or unfavorable varieties of trees. It is important to maximize the potential of new trees through proper planting techniques. Planting techniques need to be adapted to the farm situation and it is difficult to make a general statement about what is proper replanting.

In accordance with the CocoaAction guidelines, ask a farmer who rehabilitates a farm (or has rehabilitated the farm within the last 5 years) to present on-farm evidence to you and then observe the rehabilitated area as a whole. It is also possible that a farmer does not need to rehabilitate a farm at all.

As cocoa farm enumerator, you have to apply your knowledge to decide if the rehabilitated spot shows the use of best planting practices.

Step 1: At the end of the visit, ask the farmer if he/ she replanted, grafted or rehabilitated parts of the farm within the last 5 years. Then, record the answers.

- **Yes, No, Not able to indicate**

Step 2: If the farmer indicates replanting rehabilitation, ask what type of planting material is typically used (this can also be assessed via a proxy question such as “source of planting material”), how many plants were received last year and how many plants were used for rehabilitation last year. Then, record the answers.

- “Type of planting material”: **improved planting material, conventional planting material, Not able to indicate**
- “Number of improved planting material received during the last year”: #, **Not able to indicate**
- “Number of improved planting material used on own farm(s) during the last year”: #, **Not able to indicate**

Step 3: If the farmer indicates replanting/ rehabilitation, ask the farmer if he/ she can show you what he/ she is currently doing to rehabilitate the farm and visit the spot together. Then, record your observation.

- On-Farm Evidence: **Farmer was able to present on-farm evidence of replanting or rehabilitation, Farmer was not able to present on-farm evidence of replanting or rehabilitation, Not able to indicate**
- Best Practice: **Replanting or rehabilitation was accomplished according to best practices, Replanting or rehabilitation was not accomplished according to best practices, Not able to indicate**

Step 4: As you walk through the farm for GAP observations, determine if the cocoa farm encroaches into protected land such as forest and conservation areas. Then, record your



observations: *there is indication that the farm extends into protected land, there is no indication that the farm extends into protected land, Not able to indicate*



**Good:** temporary shade through cassava, cocoa is planted in line and row with a good planting distance



**Good:** refill-planting in gaps under old cocoa



**Bad:** Growing cocoa without shade and outside of a planting arrangement with other cocoa trees



**Good:** the young plant is undamaged and healthy



**Depends:** a new area with cocoa, planted in line and row with a good planting distance, but still missing shade.



**Good:** young cocoa under plantain, in line and row with a good planting distance.

## Enumerator Guide: Soil Health Management

---

Soil health management is a generally applicable approach to strengthen the soil and increase its fertility over the long run through measures to improve its micro-climate, soil fauna & flora, soil composition and soil texture.

In accordance with the CocoaAction guidelines, observe each observation spot and judge if it shows that the farmer manages the health of the farm's soil adequately.

As cocoa farm enumerator, you have to apply your knowledge to decide if the cocoa farm shows signs of soil health management.

Step 1: As you visit the observation spots for GAP observations, record the state of soil health management per each spot.

- *\* no evidence of soil health management,*
- *\* evidence but insufficient, evidence and sufficient,*
- *\* Not able to indicate, Soil health management not necessary*

Step 2: At the end of the visit, ask the farmer if he/ she can show you what he/ she is currently doing to promote soil health and visit the spot together. Then, record your observation.

- *\* farmer was able to present on-farm evidence of new soil health management actions,*
- *\* farmer was not able to show on-farm evidence of new soil health management actions,*
- *\* Not able to indicate*



**Good:** Crushing and using cocoa pod left-overs as natural fertilizer for shade trees



**Good:** Leaving the cuttings from weeding and pruning in the farm improves soil health



**Bad:** Leaving the broken pods on big piles increases the growth of pests and disease, while slowing the rotting for organic fertilization



**Good:** Ground cover can assimilate nutrients and improves soil health.



## Enumerator Guide: Soil Nutrient Replenishment

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Soil Nutrient Replenishment is only recommended on farms within a certain age range, productivity range and if good agricultural practices are applied (fertilizer ready farms). For very young trees and new plantations, special fertilizer formulas are available to assist the early stages of growth. Fertilizing very old and already unproductive trees on a farm with no maintenance is not recommended. Most information to appraise this practice have to be collected via recall, however, it is sometimes possible to make direct observations.

In accordance with the CocoaAction guidelines, observe the farm as a whole while you walk through it and judge if it shows that the farmer cares for soil nutrient replenishment.

As cocoa farm enumerator, you have to apply your knowledge to decide if the cocoa farm, surveyed at a specific point in time during the yearly season, shows signs of effective soil nutrient replenishment.

Step 1: As you walk through the farm for the GAP observations, observe if you see any indications of soil nutrient replenishment. Then, record your observations.

- \* ***no evidence of soil nutrient replenishment,***
- \* ***evidence but insufficient,***
- \* ***evidence and sufficient,***
- \* ***Not able to indicate, Soil nutrient replenishment not necessary***

Step 2: At the end of the visit, ask the farmer if he/ she can remember the type and quantity of fertilizer applied, if any was fertilizer was used. Then, record your observation.

- “Estimate the quantity of fertilizer used (g per tree, or, kg per farm, or, kg per ha)”: #, ***Not able to indicate, Soil nutrient replenishment not necessary***
- “Fertilizer type used (composition formula, or, brand name)”: ***free text, Not able to indicate, Soil nutrient replenishment not necessary***



**Good:** The crown layer looks healthy and dark green



**Bad:** Sometimes you can see that leaves are discolored, less green and the tree crown is sparse. That can be an indicator for a lack of nutrients.



**Depends:** If you find trees with fertilizer granules, it is important that the ground is freed from leaves to allow the fertilizer to seep into the soil. However, the granules should be 30-90cm from the main trunk to optimally reach the root-system.



**Bad:** Piles of fertilizer on top of leaves will decrease the efficiency of nutrient replenishment

## Enumerator Guide: Soil Erosion Protection

Soil Erosion Protection needs and practices are very dependent on the direct cultural and topographic context—i.e. protection against gravitational erosion will only be necessary if a farm is planted on slopes or against a hillside.

In accordance with the CocoaAction guidelines, observe the farm as a whole while you walk through it and judge if it shows that the farmer manages the erosion protection of his/her farm adequately. It is also possible that a farmer does not need to do anything to protect against erosion, because her/ she is not in danger of erosion.

As cocoa farm enumerator, you have to apply your knowledge to decide if the cocoa farm in its specific location and time shows signs of necessary erosion protection.

Step 1: As you walk through the farm for the GAP observations, observe if you see any indications of soil erosion protection. Then, record your observations.

- *no evidence of soil erosion protection replenishment, evidence but insufficient, evidence and sufficient, Not able to indicate, Soil erosion protection not necessary*

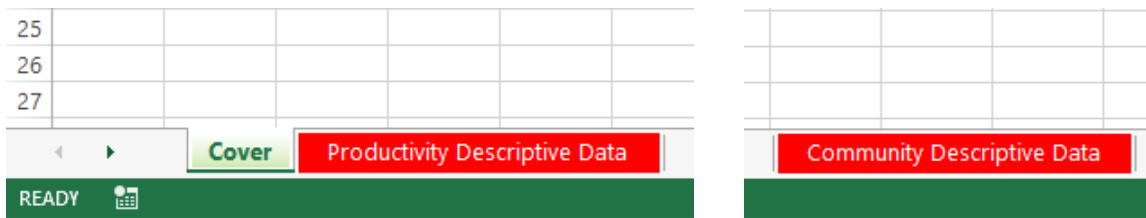
Step 2: At the end of the visit, ask the farmer if he/ she can show you what he/ she is currently doing to promote soil erosion protection and visit the spot together. Record your observations.

- *Farmer was able to present on-farm evidence of new shade management actions, farmer was not able to show on-farm evidence of new shade management actions, Not able to indicate*

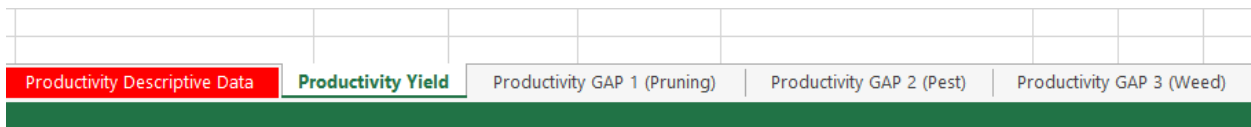


### Annex e) Data Submission Template

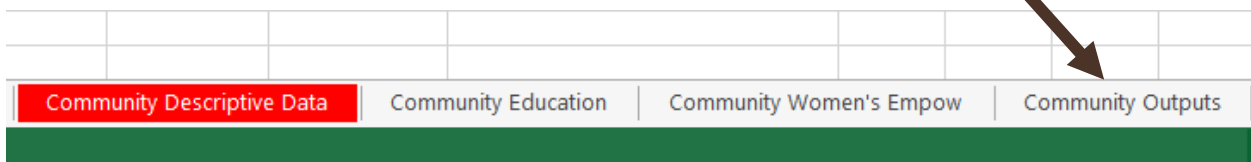
- (1) To improve data consistency, CocoaAction requires members to use the CocoaAction data submission template. This template is required for data entry and represents a first pilot for a common template. WCF will assist companies who require support with data entry. Based on 2016 experience and input we will update the template for 2017.
  - a. The full data submission template is available directly from the WCF M&E team ([MandE\\_Guide@worldcocoafoundation.org](mailto:MandE_Guide@worldcocoafoundation.org)). The document will be made available online (to be announced).
- (2) The data submission template is an MS excel template and requires MS Office, or an open-source alternative like Open-Office to use.
- (3) The data submission template is organized by tabs into a cover-sheet and sections for CocoaAction’s productivity and community indicators. The template starts with a descriptive section, covering details such as “Age of Sampled Farmer” for CocoaAction farmers visited on the productivity side, or “Name of Community” for CocoaAction communities on the community side.



- (4) Following each descriptive tab, all outcome indicators (Yield, Good Agricultural Practices, Soil Fertility, Planting Material, Education, Women’s Empowerment, Child Labor) have their own data entry tab.
  - a. Good Agricultural Practices has a separate tab for each practice.
  - b. Child-Labor has no tab due to the fact that no data will be collected on outcome level by individual companies in 2016.



- (5) The output level indicators for productivity and community are captured on an additional tab each.



- (6) The opening of any tab presents you with a headline, instruction, description of units and detailed comments about how to fill-in the sheet.

**Productivity: Descriptive Data**

<b>Instruction</b>	<b>This sheet needs to include</b>		
<b>Unit/ Scores</b>	<b>Farmer #:</b> unique consecutive number or other ID code (doesn't need to match internal company ID)	<b>Age:</b> absolute age in years 999 = Does not know 888 = Refused to answer	<b>Sex:</b> indicate with a
<b>Additional instructions/ comments</b>			
	<b>Farmer #</b>	<b>Age</b>	<b>Sex/ Male</b>
	<i>insert value here</i>	<i>elect class her</i>	<i>put 'x' here</i>

- (7) The main part of each tab consists of the data-entry fields that should be used to copy/paste your data from your sources.

Farmer #	Farmer Characteristics			
	Age	Sex		Participation in Training
		Male	Female	
<i>insert value here</i>	<i>elect class her</i>	<i>put 'x' here</i>	<i>put 'x' here</i>	<i>insert value here</i>

- (8) Following each tab for descriptive data (“Productivity Descriptive Data”/ “Community Descriptive Data”), certain fields will automatically fill on all following tabs to assist you in filling in the data consistently.

<b>Farmer #</b>	<b>Observation Spot 1</b>
<i>Field fills automatically</i>	<i>insert farmer score here</i>
<i>Field fills automatically</i>	
<i>Field fills automatically</i>	
<i>Field fills automatically</i>	
<i>Field fills automatically</i>	

- (9) If you encounter difficulties using the template, do not hesitate to contact the WCF M&E team for assistance ([MandE\\_Guide@worldcocoaoundation.org](mailto:MandE_Guide@worldcocoaoundation.org)).

## Annex f) List of Definitions/ Abbreviations

The definitions included in the following list represent terms otherwise not straightforward yet useful for the monitoring and evaluation (M&E) activities of CocoaAction company members. The list is therefore not exhaustive and excludes basic terms on elements of an M&E system and agricultural farming.

The definitions provided here relate especially to the content of this document; further concept and definition guidance that has been prepared for CocoaAction (i.e. M&E Terms, Community Development Terms) will be centralized and distributed in a different fashion in the future.

Term	Definition
Community Assessment Needs	The process of identifying community needs. Please find additional details concerning the preparation of community needs assessments in the CocoaAction Community Development Manual.
Convenience Criteria	Exceptions that are included in a sampling routine to account for impasses that would make data collection inefficient (i.e. locations that are very difficult to reach are categorical excluded from sampling)
Data Steward	A person designated by a CocoaAction member to serve as the main focal point for submitting data to CocoaAction and for inquiry, training and feedback on data submission.
Enumerator	A person designated by a CocoaAction member to collect data on the ground (collection of the "Data Details" that form the basis of the "Reporting Numbers to WCF" as identified in the indicator details) on behalf of a CocoaAction member.
Farmer Commitment (also "CocoaAction commitment")	The total number of cocoa farmers pledged by a member company to reach the CocoaAction goals and receive the CocoaAction intervention packages.
Fertilizer Readiness Criteria	Set of farm characteristics that indicate if a farmer should be using fertilizer. <ul style="list-style-type: none"> <li>• The age of the majority of trees on the cocoa farm should be lower than 25 years and different fertilizer practices should be applied for young cocoa trees (below 3-5 years) and fully productive cocoa trees (5-25 years).</li> <li>• Cocoa Pest Management should be properly implemented</li> <li>• Tree density should be between 800 trees per ha to 1500 trees per ha</li> <li>• Yield should be at least 400 kg/ha (for minimum of 800 productive trees per ha)</li> <li>• Yield should be considered a crucial criteria; a well yielding farm, that is not in the optimal age bracket or density bracket, might still be recommended for fertilizer; this can be case dependent</li> </ul>
Gender Adjusted Sampling	Modification of the sample distribution through gender quotas in order to influence the sample composition to allow certain forms of analysis or to best represent a certain population (i.e. in the case of CocoaAction the sample composition should mirror the overall value chain feature).
Observation Point	For farm-visits, an observation point is the spot on a cocoa farm that the enumerator selects to perform visual measurements. For CocoaAction, on-farm observation points need to follow principles of randomization. The random selection procedure needs to be formalized (i.e. captured in writing) for verification procedures.
Population	The overall pool of all cases relevant for data collection in a program/ project.
Proxy	A substitute data point which is chosen because of its close correlation with an original data point, while being easier to collect than the original data point.
Random Selection	Every case of the total pool of subjects for data collection has the exact same probability to be chosen as a sample-case.
Recall Items	Data points which are collected through methods of interview during which the interviewee is asked to remember and retell a past event.
Requirement ('requires')	Describes a demand by CocoaAction than needs to be met by all members.
Recommendation ('recommends')	Describes a non-binding agreement, perceived as best practice.



Sampling	Drawing of a statistically representative sub-set of cases for data collection from the overall pool of all cases in a program/ project.
Spot Checks	Drawing of small, statistically not representative sub-set of cases for the validation of already collected data from an overall pool of relevant cases (i.e. drawing cases of an original sample).
CocoaAction community (also “CocoaAction targeted community”)	A community which is described as “CocoaAction community”, or a “CocoaAction targeted community” is any community which has participated in a community needs assessment exercise. Please find additional details concerning the CocoaAction communities in the CocoaAction Community Development Manual.
CocoaAction farmer (also “CocoaAction targeted farmer”)	A cocoa farmer who is described as a “CocoaAction farmer” or a “CocoaAction targeted farmer” is any cocoa farmer who received benefits or participated in interventions through the CocoaAction productivity package (i.e. any farmer who participated in GAP trainings).

### List of Acronyms

CA	CocoaAction
CCC	Le Conseil Café-Cacao
CPC	Child Protection Committee
COGES	Comité de Gestion des Etablissements Scolaires
CLMRS	Child Labor Monitoring and Remediation System
CLMS	Child Labor Monitoring System
CLP2	Cocoa Livelihoods Program 2
DCPC	District Child Protection Committee
GAP	Good Agricultural Practices
GLONASS	GLObal NAVigation Satellite System
GPS	Global Positioning System
ID	Identification (Farmer)
IGA	Income Generating Activity
ILO	International Labor Organization
QLE	Quality Learning Environment
SMC	School Management Committee
SPIP	School Performance Improvement Plan
ToR	Terms of Reference
WCF	World Cocoa Foundation
WGS84	World Geodetic System of 1984