



# COCOA SUSTAINABLE LIVELIHOODS LANDSCAPE STUDY: CÔTE D'IVOIRE AND GHANA

A critical review of initiatives across the cocoa sector that aim to achieve sustainable livelihoods for cocoa farmers and their communities in West Africa

## RESEARCH TEAM



Cocoa farmer drying cocoa beans on his farm

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# FAIRTRADE MONDELEZ INTERNATIONAL SUSTAINABLE LIVELIHOODS FOREWORD

Together at Mondelez International and Fairtrade, we are proud of our longstanding partnership to secure the long-term future of cocoa farming communities. Fairtrade started working alongside Cadbury in 2009, when cocoa sourced for Cadbury Dairy Milk was Fairtrade-certified for the very first time. In 2012, Cadbury became a part of Mondelez International, and the Cadbury Cocoa Partnership evolved into what is now Cocoa Life: Mondelez International's global cocoa sustainability programme.

In 2016, Mondelez International approached the Fairtrade Foundation to discuss how we could work together to integrate the rigour of the Fairtrade standards and approach into the Cocoa Life programme. So our relationship has evolved over the years to scale up impact in farming communities, from certification to working together on the ground with farmers where it matters most.

Today, we work together to ensure cocoa is sourced in a way that's right for farmers, communities, and the land. We operate on a shared value approach, seeking to create measurable value for cocoa farmers, their communities and wider society by bringing our skills together. We stand as equal partners in the belief that the impact of joint working exceeds what could be accomplished alone.

But the challenges of improving cocoa farmer livelihoods, and achieving the Sustainable Development Goal ambition of leaving nobody behind, are massive. Progress at the scale needed to see real change – like farmers moving out of extreme poverty – will only ever happen if we combine our energies and efforts.

*For Fairtrade, change means multiplying our reach by working across more than five times the amount of cocoa than was previously certified, and ensuring benefits across those cocoa volumes that are of an equivalent value to what farmers had previously received under certification. This includes long-term contracts and premium or loyalty payments critical to attaining a stable livelihood.*

*For Cocoa Life, change means scaling up our holistic approach to provide the opportunity for all Mondelez International chocolate brands to source their cocoa from the program by 2025, fully leveraging Fairtrade's expertise to make cocoa farming a sustainable, resilient business of choice. This also requires measuring our impact so we can understand when and how transformation happens.*

From the start, the Fairtrade and Cocoa Life partnership has been about learning. This report is a proof-point of our joint commitment to understand the drivers of resilient livelihoods for cocoa farmers, and to tackle the root causes of any challenges. This research is the first step. We wanted to

understand why - despite the huge industry wide investment in time and money from cocoa brands, traders and the Ghanaian and Ivorian Governments - the majority of cocoa farmers still live in poverty. Something is not working. How can we do things differently to ensure that the farmers growing the cocoa that enables chocolate lovers worldwide to continue to enjoy their favourite chocolate aren't living in abject, worsening poverty? What will it take to create a step-change in their income?

The research tells us that if we want to achieve breakthrough impact, together Cocoa Life and Fairtrade, as well as the wider cocoa sector, should:

- 1 Take a whole industry view to growing farmer incomes**, to address an overlap in sustainability programmes.
- 2 Mitigate farmer uncertainty through contractual security**. The gains that productivity increases bring to farmer livelihoods are quickly undermined by this uncertainty about who they will sell their cocoa to.
- 3 Leave no one behind**. Initiatives must reach beyond those farmers ready to professionalise to youth, sharecroppers and labourers.

Cocoa Life and Fairtrade both believe that a different future is possible for cocoa farmers to reach a sustainable livelihood, where they can earn a decent income and live dignified lives. We will need to continue working strategically together and combine resources if we are to bring about the change we want to see. It is by holding each other to account in addressing these research findings that Cocoa Life and Fairtrade hope to bring about change for cocoa farmers in the years to come – and in doing so lead transformation of the cocoa sector.

Our research goes some way towards providing us with a pragmatic roadmap on where we must focus our attention next. We will also be undertaking a second phase of the research in 2020 that will aim to better define how all the different players – from governments, traders and brands, to cocoa unions and cooperatives might best bring their collective skills and energies to the table to deliver a future where cocoa farmers and workers thrive.

We encourage others in the sector to join Mondelez International in implementing changes based on this report's learnings so that together we can tackle the systemic issue of farmer poverty. Together, we can transform the cocoa sector, and create a movement for lasting change.

**Louisa Cox, Director of Impact, Fairtrade Foundation**  
and **Cathy Pieters, Global Director Cocoa Life, Mondelez International**

# EXECUTIVE SUMMARY

Between them, Côte d'Ivoire and Ghana produce 60 percent of the world's cocoa each year.<sup>1</sup> And yet recent studies have found that the average cocoa farmer in these two countries lives on \$1.50 or less each day.<sup>2</sup> In light of this, the cocoa sector's current focus on sustainability and living incomes for cocoa farmers is welcome. But with it comes the risk that lots of players act in an uncoordinated way.

This landscape study was commissioned by Mondelez International, and designed and managed by the Fairtrade Foundation. Our core objective was to understand what interventions – which we call sustainable livelihood initiatives, or just initiatives, in this report – are being implemented in Côte d'Ivoire and Ghana to support cocoa farming communities to make a living they can depend on. By mapping out initiatives operating in the cocoa sector in this part of the world for the first time, we hope to achieve two overall aims; Firstly, to improve the relevance and effectiveness of future sustainability initiatives in the cocoa sector by enabling implementers to understand the cocoa sustainability landscape in this region of the world. And secondly, to avoid potential overlaps and instead focus on newly uncovered areas and learn from other programmatic designs.

Using a mixed-methods approach, we identified initiatives through systematic desk research, further informing the study through literature review, key informant interviews with critical sector stakeholders and field research involving farmer representatives in Ghana. We set out three calls to action for the sector to improve the design, effective delivery and relevance of future sustainability initiatives.

We hope our study will help progress the conversation around sustainability in cocoa, and we invite others to engage with our analysis and add their own thoughts and perspectives. But ultimately, we hope this report goes some way to supporting cocoa farming communities in their journey towards sustainable livelihoods for themselves and future generations.

Below, we lay out our core findings, set against our key research questions.

## WHO ARE THE PEOPLE IN THE COCOA FARMING COMMUNITIES IN WEST AFRICA AND HOW DO THEY RELATE TO THE COCOA SECTOR?

**Cocoa plays a major socio-economic function for multiple demographics experiencing specific enablers and barriers to farming.** Cocoa is a vital source of income for the economies of both countries, generating an average of \$2 billion in foreign exchange<sup>3</sup> annually for Ghana and representing over 30 percent of total GDP in Côte d'Ivoire.<sup>4</sup> Cocoa supports approximately 2 million farmers in the region.<sup>5</sup> We found that estimates place 50 to 89 percent of farmers (up to 1.69 million people) as not being part of co-operatives across both Côte d'Ivoire and Ghana. This has a huge implication for implementers of sustainable livelihood initiatives that often rely on the structures of co-operatives to deliver activities to farmers. Cocoa is also more than just a means of earning an income. It carries national and historic symbolism for both countries. Cocoa farms represent an important way for individuals to acquire land. Young people often consider starting work in cocoa as a pathway to owning land, providing for later life, although an expensive business to start. Most of the farmers need labourers, yet this seasonal employment is generally informal, with many farmers relying on family members to do the work and putting in place informal contracts with sharecroppers or labourers. Finally, women carry an additional burden of productive, reproductive and care work in the household. Different groups face different issues in the cocoa economy, and any initiative should be tailored accordingly.

## WHO ARE THE REGIONAL, NATIONAL AND GLOBAL PLAYERS IMPLEMENTING INITIATIVES IN WEST AFRICA?

**There are currently 92 sustainable livelihood initiatives operating in Côte d'Ivoire and Ghana, all implemented by five groups motivated by very specific drivers.**

**Cocoa buyers**, made up of chocolate manufacturers, traders and retailers, are responsible for the vast majority of initiatives in our research base – 42 percent of them. A total of 22 percent of initiatives are run by multi-actors, implementers from the five groups working in partnership. Not-for-profits are responsible for 17 percent of the initiatives we identified – a total of 16 interventions delivered by certification schemes, non-governmental organisations and private foundations. We identified that international donors

<sup>1</sup> ICCO (2018) taken from Fountain and Hütz-Adams, (2018)

<sup>2</sup> Bymolt, Laven, Tysler, (2018), Fountainband Hütz-Adams, (2015), True Price (2017)

<sup>3</sup> Ghana Cocoa Board (COCOBOD), [https://www.cocob0od.gh/home\\_section.php?sec=1](https://www.cocob0od.gh/home_section.php?sec=1) (accessed 4.3.19)

<sup>4</sup> Gayi and Tsowouk, (2016)

<sup>5</sup> Fountain and Huetz-Adams, (2018)

are implementing 13 percent of the total, or 12 initiatives, with an equal split between government agencies and international organisations. The smallest group of implementers are the local actors, accounting for 5 percent of the total number of initiatives. It is important to note that just because there are less initiatives in a group, this does not indicate that there is less investment or activity in those initiatives than one of the bigger groups. It was unfeasible to robustly estimate the size of investment, or all possible cross connections between different initiatives, using only publicly available data.



Cocoa farm in Ghana

## WHO ARE THE MAIN TARGET GROUPS AND WHAT IS THE GEOGRAPHIC SPREAD OF INITIATIVES?

**Initiatives tend to duplicate their efforts, working repeatedly with the same farmers, and many have chosen to focus their work specifically on women and children – 42 percent and 38 percent of the total respectively. They also tend to concentrate their activities on more productive geographic areas within the region.** Other demographic groups such as young people, sharecroppers or labourers are not explicitly targeted by SLIs, accounting for less than 15 percent of the work-streams being run by initiatives. Farmers appear to participate in multiple initiatives, as the total number of farmers reported to be targeted by the identified SLIs exceeds the estimated number of cocoa farmers present in the region by 0.8 million. This indicates that some farmers must be benefiting from multiple SLIs. This trend may be in reality more marked, considering only 39 out of all identified initiatives clearly report their target numbers, and furthermore that only a fraction of farmers are involved in cooperatives (between 50 to 89 percent as identified above) which are the typical conduit for SLIs.

**The majority of SLIs tend to work across both Côte d'Ivoire and Ghana, targeting areas with the highest quantities and quality of cocoa.** Although only 21 percent of initiatives reported where they were working on a regional level, we were able to deduce from these figures, supported by key informant interviews, that SLIs most commonly operate in regions where the most and best quality cocoa is produced.

## WHAT ARE THE DIFFERENT APPROACHES USED BY THE INITIATIVES IDENTIFIED AND WHAT CHANGES ARE THEY SEEKING TO ACHIEVE THAT CONTRIBUTE TO SUSTAINABLE LIVELIHOODS FOR COCOA FARMERS AND THEIR COMMUNITIES?

**We classified the approaches used by the 92 identified initiatives into six key delivery models used in Côte d'Ivoire and Ghana. We also identified 30 thematic work-streams underpinning the six delivery models. The delivery models are:**

- 1 Skills training and provision of agricultural inputs
- 2 Upgraded value chain position and monetary incentives<sup>6</sup>
- 3 Advocacy and partnerships
- 4 Building improved facilities
- 5 Knowledge generation and information transfer
- 6 Changes to the regulatory environment.

Most initiatives target the first model – skills training and input provision as their core delivery model. This is largely driven through running work-streams covering productivity, environmental practices and women's empowerment. By contrast, the delivery model with the least number of initiatives is number two – upgrading the value chain position of farmers and provision of monetary incentives. When looking at the thematic work-stream level, the most utilised are productivity interventions and the least popular of them is improving the land rights of farmers as part of model number six – change to the regulatory environment.

**Using a Theory of Change approach, we find that the initiatives we analysed focus on five specific long-term outcomes contributing to sustainable livelihoods.**

For our study, we created a sector-wide Theory of Change to describe how all 92 initiatives are contributing towards sustainable livelihoods for cocoa farming communities in the region. Our analysis shows how all of the initiatives are contributing to five well-defined areas of long-term outcomes:

- 1 Farming communities gain higher incomes from their economic activity
- 2 The cocoa sector has inclusive social systems and policies to protect the most vulnerable
- 3 Farming communities experience better connectivity, health and education outcomes
- 4 The forest is recovering and the farming communities become more resilient to climate change
- 5 Demand for sustainable cocoa increases as a result of coordinated and evidence-based initiatives

<sup>6</sup> For more information please visit <https://www.marketlinks.org/good-practice-center/value-chain-wiki/types-upgrading> (accessed 19.6.19)

## WHAT ARE THE VIEWS OF COCOA FARMERS ABOUT HOW THE SECTOR IS SEEKING TO ACHIEVE CHANGE?

**Feedback from farmer groups showed that the priorities of farmers are to improve incomes, transport, and health and education outcomes.** Through direct consultations with farmers in Ghana, we were able to map their priorities against the Theory of Change we created for this study. Our research suggests there were a number that were aligned. Firstly, farming communities prioritise becoming more professional and increasing their incomes (outcome 1), as well as clearly asking for improved infrastructure to achieve better health, education and transport options for their communities (outcome 3). To a lesser extent, but still significant, farmers also see value in protecting the rights of vulnerable members of communities (outcome 2), and forming alliances with the cocoa sector (outcome 5). We found little traction from farmers on protecting the forest and strengthening resilience to climate change (outcome 3). It is important to note that this does not mean that farmers do not consider this to be important (indeed many flagged the importance of climate change resilience in ensuring their cocoa crops do not fail) – but that there are immediate needs that farmers flagged as a higher priority. Overall, this evidence shows that there is a good match between what the initiatives identify as priorities for change, and what farmers say they need. But the urgency each group attaches to those changes varies.

## WHAT INSIGHTS CAN WE OFFER IMPLEMENTERS OF CURRENT AND FUTURE INITIATIVES SEEKING A WAY FORWARD FOR ENSURING SUSTAINABLE LIVELIHOODS FOR WEST AFRICAN COCOA FARMING COMMUNITIES?

Based on the research, we formulated three calls to actions, underpinned by a series of key insights, which we explore more fully later in this report.

### 1) MAKE PARTNERSHIPS WORK IN NEW AND BETTER WAYS

**We call for current and future initiatives to strive for better coordination and new and impactful ways of collaborating, recognising each other's strengths and supporting areas of weakness.**

Our analysis shows that there is a significant amount of overlap between initiatives in the region. The total targeted number of farmers (2.8 million) significantly exceeds the total estimated number of cocoa farmers in West Africa (2

million). Roles and responsibilities need better definition and more transparency and sharing of learning is paramount to enhance lasting impact. What is the role of the market actors? What is the role of the farmer unions and societies? How much support is the sector obliged to give and in what form? Questions like these need to be explored carefully in the near future.

Farmer co-operatives may, for example, have a role to play in coordinating the activities of different initiatives and taking more ownership over implementation. As the largest group of implementers, the cocoa buyers have great potential to deliver effective initiatives if they are able to redirect resources and resolve the current duplication through skilful partnering and integrating the governments of Cote d'Ivoire and Ghana into their initiatives. Governments can also play a crucial role in organising the sector thanks to their long-lasting relationships with farmers, and their status as critical gatekeepers to important information.

### 2) IMPROVE SUPPORT FOR FARMERS THAT ARE BEING LEFT OUT

**We call on the sector to consider redirecting current initiatives and design future programmes to improve their support for sharecroppers, labourers and farming communities living in marginalised geographic areas.**

We find that a large proportion of initiatives are not recognising the needs of particular groups of often-informal cocoa farmers (up to 1.7 million farmers), especially sharecroppers and labourers. Only 7 percent of all the sustainable livelihood initiatives analysed had tailored interventions for the needs of these groups. Sharecropping is widespread across the two countries, seen as a route into cocoa farming and an important form of land ownership, with estimates stating that as much as three quarters of cocoa production may come from sharecropped farms.<sup>7</sup>

Equally concerning is that farmers consistently emphasised the need for labour to manage their farms, and yet farm labourers are also being left behind. This is due to informal contractual protection and little recognition in farmer organisations. We also find that there is a tendency for initiatives to operate only in geographic areas where cocoa productivity and quality are higher. This leaves a large number of farmers from non-target areas that cannot benefit from these initiatives, despite cocoa being a national crop, putting them at a greater competitive disadvantage.

### 3) DESIGN NEW INITIATIVES CONSIDERING BOTH FARMER VOICE AND HOW THE SECTOR FUNCTIONS

**We call for the sector to put the needs highlighted by farmers at the centre of new initiatives, integrating their views with detailed analysis of where the system is not working for them.**

<sup>7</sup> Robertson, A.F. (1987) *The dynamics of productive relationships. African share contracts in comparative perspective*. Cambridge University Press, Cambridge citing Hill, P. (1963) *The migrant cocoa farmers of Southern Ghana: A study in rural capitalism*. Cambridge University Press, Cambridge

Our analysis highlights that the vast majority of initiatives are using training mechanisms to upskill farmers. Meanwhile, fewer are applying a holistic approach that takes into consideration market dynamics and the context in which farmers operate. This implies that the current sector approach assumes that it is the farmer who solely needs to take action to improve their livelihood with limited effort made by initiatives to engage with and improve general market structures and processes. If, for example, more initiatives were active in changing market structures, addressing issues such as land rights, putting in place long term contracts as source of stability as part of their sustainability initiatives or looking carefully at monetary rewards for farmers, there is a possibility for farmers to take increasing ownership of core

decisions that are made in the sector and direct resources effectively towards achieving sustainable livelihoods for themselves and their communities.

Furthermore, our analysis also found that the priorities of farmers lay with improving incomes and improving infrastructure, such as schools and roads, and secondarily on deforestation issues and resilience to climate change. As mentioned previously, this does not mean that this area is not important to them, but simply that implementers and farmers do not put it at the same level of priority. To get this right, current and future initiatives need to put in place a meaningful dialogue with cocoa farming communities to ensure that they are aligned with what initiatives are seeking to achieve, and listening closely to what farmers are saying they need.



A farmer harvesting cocoa, Côte d'Ivoire

# ABBREVIATIONS

<b>CAP</b>	Community Action Plan
<b>CCC</b>	Le Conseil du Café-Cacao
<b>CDI</b>	Côte d'Ivoire
<b>CHED</b>	Cocoa Health and Extension Division (part of COCOBOD Ghana)
<b>CLMRS</b>	Child Labour Monitoring and Remediation System
<b>COCOBOD</b>	Ghana Cocoa Board
<b>DFID</b>	UK's Department for International Development
<b>GAP</b>	Good Agricultural Practices training
<b>GDPR</b>	EU General Data Protection Regulation
<b>GIZ</b>	Deutsche Gesellschaft für Internationale Zusammenarbeit
<b>ICI</b>	International Cocoa Initiative
<b>ICCO</b>	International Cocoa Organisation
<b>KIIs</b>	Key Informant Interviews
<b>KPIs</b>	Key Performance Indicators
<b>LBCs</b>	Licensed Buying Companies
<b>LSE</b>	London School of Economics
<b>M&amp;E</b>	Monitoring and Evaluation
<b>MEL</b>	Monitoring, Evaluation and Learning
<b>NGOs</b>	Non-Governmental Organisations
<b>PCs</b>	Procurement Clerks
<b>R&amp;D</b>	Research and Development
<b>SLF</b>	DFID's Sustainable Livelihoods Framework
<b>SLI</b>	Sustainable Livelihood Initiative
<b>UNDP</b>	United Nations Development Programme
<b>USAID</b>	United States Agency for International Development
<b>VSLA</b>	Village Savings and Loans Association



Women in Côte D'Ivoire

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# INTRODUCTION – OBJECTIVES AND STUDY DESIGN

## OBJECTIVES OF THE STUDY

Côte d'Ivoire and Ghana produce 60 percent of the world's cocoa each year.<sup>8</sup> And yet recent studies have found that the average cocoa farmer in these two countries lives on \$1.50 or less each day.<sup>9</sup> This means the cocoa sector needs to work together to address the social and economic challenges affecting farming communities while ensuring a sustainable cocoa supply for the future.

Current attention on sustainability in cocoa, especially in West Africa, is welcome but it comes with the challenge of local, national, regional and global players acting in an uncoordinated way. This study aims to address this challenge, and build on existing sector efforts to provide a comprehensive and detailed analysis of the Côte d'Ivoire and Ghana sustainability context, including views from sector experts and cocoa farming communities living in the region.

The Fairtrade Foundation research team and Cocoa Life, Mondelez International's cocoa sustainability programme, collaboratively defined three distinct objectives for this study:

- 1 Provide a contextualisation, mapping and comparative analysis of initiatives implemented by main sector players to bring about sustainable livelihoods for cocoa farmers and their communities in Côte d'Ivoire and Ghana.**
- 2 Extrapolate a Theory of Change for the cocoa sector in the region, to be used as a framework to describe what initiatives are seeking to achieve to reach sustainable livelihoods.**
- 3 Provide a critical analysis of the current model, point the direction of travel for the sector and start informing next steps for the design of a relevant future Cocoa Life strategy to strive towards sustainable livelihoods for cocoa farmers and their communities in West Africa.**

The definition of these objectives, in line with the goals laid out by the Fairtrade Foundation and Cocoa Life at the start of the partnership, was a fundamental first step to pave the way forward and ensure the study followed a practical structure.

We hope this report will allow implementers and those working towards sustainable livelihoods for cocoa farming communities to partner effectively, analyse how individual SLIs compare to what others in the sector are doing and hold discussions surrounding overlaps, (mis)alignments and the roles of different stakeholders in the future.

## HOW DOES THIS STUDY ADD TO THE EXISTING BODY OF KNOWLEDGE?

We looked at publicly available research on sustainability, and found that previous comparable studies in this area<sup>10</sup> have followed three clear trends.

Firstly, some studies focus on discussing the effectiveness of existing models based on a limited set of socio-economic and agricultural outcomes, especially incomes and productivity, in order to assess whether their key assumptions withstand the test of reality. A recent example is the paper by Oya et al<sup>11</sup> where main active certification schemes are assessed against their impact on incomes, productivity, health and education outcomes.

Secondly, other studies take a single-issue approach, trying to evaluate the worthiness of specific methods to result in better (or sustainable) livelihoods for farmers. For example, Bosompem et al<sup>12</sup> offer a valuable review of the effectiveness of the Cocoa High Technology Programme, run by Ghana's government, to result in better productivity and income outcomes for the farmers.

Thirdly, some studies are looking into how the increasing focus on responsible production and consumption is affecting the motivations and behaviours of corporate players operating in the sustainability landscape. Barrientos,<sup>13</sup> for example, looks into the incentives for companies to invest in a sustainable supply of cocoa.

This study is uniquely positioned to add to the existing body of knowledge. No other study, to our knowledge, has identified, mapped and compared all the work that is currently being implemented in this region that, to different extents, contribute to sustainable livelihoods for cocoa farming communities, prioritising breadth over depth. The study sets out to achieve this by using a version of the DFID Sustainable Livelihoods Framework<sup>14</sup> tailored to the cocoa sector, thus utilising a comprehensive (and clear) definition of what sustainability means in the context of this work. The framework allowed us to identify, map and compare the SLIs currently implemented in the region in a consistent and systematic way based on a pre-established protocol.

<sup>8</sup> ICCO (2018) taken from Fountain and Hütz-Adams, (2018)

<sup>9</sup> Byrnolt, Laven, Tyszler, (2018), Fountain and Hütz-Adams, (2015), True Price (2017)

<sup>10</sup> Evidence on sustainability standards can be found at [www.evidensia.eco](http://www.evidensia.eco), alongside the references provided in this paper. Specific studies were reviewed in detail: Barrientos (2011), Bosompem et al, (2011), Dalberg and Wageningen University (2018), Ingram et al (2017), Odijie (2018), Oya et al (2017) Potts, et al (2014), Wessel and Quist-Wessel (2015)(2017)

<sup>11</sup> Oya et al., (2017)

<sup>12</sup> Bosompem et al, (2011)

<sup>13</sup> Barrientos, (2011)

<sup>14</sup> Department for International Development (1999)

# STUDY DESIGN

## Research questions

Integrated within the three objectives, we formulated seven leading research questions that we address over the course of the study. The table below maps the questions to their objective.

Objectives	Research questions
<p><b>1</b> Context mapping and comparative analysis</p>	<p><b>1.1</b> Who are the people in the cocoa farming communities in West Africa, and how do they relate to the cocoa sector?</p> <p><b>1.2</b> Who are the regional, national and global players implementing activities in West Africa?</p> <p><b>1.3</b> Who are the main target groups and what is the geographic spread of initiatives?</p> <p><b>1.4</b> What are the different approaches used by identified initiatives?</p>
<p><b>2</b> Sector Theory of Change</p>	<p><b>2.1</b> What changes are these initiatives seeking to achieve at sector level?</p> <p><b>2.2</b> What are the views of cocoa farmers on how the sector is seeking to achieve change?</p>
<p><b>3</b> Sector wide critical analysis</p>	<p><b>3.1</b> What insights can we offer to Cocoa Life and other implementers seeking a way forward for ensuring sustainable livelihoods for West African cocoa farming communities?</p>

With the structure of the report aligned to the key three objectives of the study, we address these questions in order.

## Methodology

We used a mixed-methods research design, combining systematic desk research with qualitative key informant interviews of key cocoa sector stakeholders, and field research across cocoa farming communities.

### *Definition of a Sustainable Livelihood Initiative (SLI)*

Our definition of ‘sustainable livelihoods’ stems from an existing framework developed by the UK’s Department for International Development (DFID) in the late 1990s. Since its introduction, the ‘Sustainable Livelihoods Framework’<sup>15</sup> has become a commonly used model to tackle poverty in low and middle-income settings, including in West Africa’s cocoa farming communities.

The framework defines five ‘capitals’ as key assets constituting the livelihoods of an individual, a household or a community. These are human, social, financial, natural and physical capitals. The framework also defines external factors affecting the accumulation of capitals by grouping them into two main areas. These are the ‘vulnerability context’ – defined as the economic and seasonal shocks over which people

have little or no control – and the ‘transforming structures and processes’ – defined as institutions, organisations, policies and legislation that shape livelihoods at all levels. In adapting this framework to the cocoa sector and our analysis, we use an augmented version of the original by adding an information capital to our model, defined as endowment of information used by farming individuals, households and communities to make decisions in pursuit of their sustainable livelihood objectives.<sup>16</sup>

We started the research through first identifying eligible initiatives through systematic desk search. Therefore, we needed to define some criteria on how to select initiatives that are relevant. These were:

- 1** The initiative must aim to make improvements to sustainable livelihoods i.e. in line with DFID’s Sustainable Livelihoods Framework.
- 2** The initiative must be currently active and target cocoa farming communities in Côte d’Ivoire and/or Ghana.
- 3** For the purposes of grouping them together, if the initiative was part of a wider programme, or being implemented on behalf of another initiative, we considered the overarching initiative the implementer<sup>17</sup>

<sup>15</sup> Ibid

<sup>16</sup> Otero 2006: [https://www.researchgate.net/publication/288954113\\_Information\\_capital\\_6th\\_asset\\_of\\_sustainable\\_livelihood\\_framework](https://www.researchgate.net/publication/288954113_Information_capital_6th_asset_of_sustainable_livelihood_framework)

<sup>17</sup> For example, organisations using a certification scheme as their exclusive sustainable livelihoods approach were integrated within the certification scheme rather than being featured as an individual initiative

### *Systematic desk research*

Internet search was the primary desk research method used, primarily to identify the long list of SLLs to include in our analysis – totalling 194 initiatives (the full list is available in Annex A and B). From this list, we identified 92 valid initiatives to be included in the study, and excluded the remaining 102 initiatives for not fully meeting the inclusion criteria. Our list of search phrases and key websites that came up are available in Annex E.

Literature review was the other method we used to support the desk research. We identified an initial list of documents through internet searches. We then used snowball sampling to identify additional documents not captured in the first iteration. We identified and reviewed 167 core publicly available documents overall.

### *Key informant interviews (KIIs) with sector stakeholders*

We interviewed 24 sector stakeholders representing 16 organisations from the cocoa sector. These were a mix of company representatives, governmental departments (including COCOBOD in Ghana), international partnerships, and members of the non-profit and academic community. We identified these individuals through snowball sampling, starting with key contacts in the Fairtrade system and Mondelēz International. Although our key informants are unnamed for the purposes of research, we provide an anonymised list in Annex F as to the background of each individual we interviewed.

We used KIIs to capture their perspectives and insider insights on the sector. The interviews were also a chance for them to react to and provide a critique of our early findings, and highlight additional resources we did not identify through our desk research. We also used an adapted version of snowball sampling to build upon the key informants' own network and deepen our reach within the sector. For more details on our KIIs approach, please see the guidance provided by USAID Center for Development Information and Evaluation,<sup>18</sup> which we used as our key methodological reference.



Recording volumes in Côte D'Ivoire

### *Field research*

The field research took place over two-and-a-half weeks in November 2018 in Ghana, and covered communities in the Ashanti, Brong-Ahafo and Eastern regions.<sup>19</sup> We ran 12 focus groups in Ghana – five with union executives, and seven with societies, sitting underneath union governance structures. The views of these groups gave us an insight into how farmers perceive their own needs and requirements for the future, which allowed us to refine our initial identification and mapping of the initiatives. They also shared their views on our interpretation of the sector's approach to achieve sustainable livelihoods for their communities (objectives 2 and 3 of the study). For further details on the field research, please see Annex G.

The views captured were not designed to be statistically representative of all farmers in the region, but provide a critical perspective. This is important considering the union executives we talked to are elected by societies to represent the views of some 20,000 farmers.<sup>20</sup>

<sup>18</sup> USAID Center for Development Information and Evaluation (1996)

<sup>19</sup> Since the fieldwork conducted by the research team in November 2018, the Ghanaian government has approved the creation of six new regions. We use here the older regions of Ghana that were in place at the time of field research.

<sup>20</sup> This is a ballpark figure based on the total sum of current membership statistics of the unions that we interviewed.

## KEY LIMITATIONS OF THE STUDY AND MITIGATION STRATEGIES

### Limitations to the methodology

**Côte d'Ivoire was not represented in the primary data gathered from the field research.** We addressed this limitation by carrying out KIIs with sector stakeholders based and working in Côte d'Ivoire and expanding our internet search criteria to allow for identification of complementary documentation on the Ivorian context. In addition, the Ivorian African Fairtrade and Cocoa Life teams supported with contextualisation and validation of findings.

**We could not interview and contact all representatives of identified SLIs.** We addressed this limitation by interviewing international cocoa bodies, such as the World Cocoa Foundation, that could help identifying where our analysis was not conciliating with the work of their members. We are also publishing this report to welcome input from all industry players that would like to engage and challenge our analysis as this is an ongoing area of debate and analysis. This we hope will result in uncovering information not publicly available that sector stakeholders would like to share.

**Farmers associations and local government initiatives may be under-represented in the analysis.** It was clear from the field research that unions are themselves delivering sustainability programmes for their members. However, information was not easily and publicly available on these initiatives (including because of technology constraints), which we could not then identify through the desk research. Whilst we then assume that findings are skewed to represent initiatives driven by actors providing publicly available documentation online, we realised that overlap and joint operations exist. Our field research also helped us to mitigate for this limitation, allowing us to complement for some of the missing details.

### Contextual limitations

**Cocoa is a particularly fast-moving sector.** In less than a year, during the implementation of the study, a productivity ban was imposed by the government of Côte d'Ivoire, and more recently both the Ivorian and Ghanaian governments declared a joint intent to introduce a Living Income Differential for the cocoa season starting in October 2020, then threatening to suspend sustainability programmes as the two governments were frustrated by the response from industry to the LID regarding upfront commitments.<sup>21</sup> Over the same period, some of the SLIs changed and augmented their approaches (at least in outward appearance in the documentation available) or closed their activities. This is just a snapshot of a very fast-moving cocoa sector that made it necessary for the team to constantly review and reinterpret our findings to reflect this dynamism.

**There are varying and sometimes diverging statistics being quoted.** When reading the documentation available, there are a wide variety of different statistics on key cocoa sustainability data. This could be related to these being generated at different times, but large differences between statistics also point towards a lack of uniform data on the cocoa sector in this region. Whilst we think that highlighting this gap is a strength of our research, where this challenge was apparent, we recognised it and openly expressed our reservation on the credibility of these estimates.

**The research is conducted by Fairtrade and commissioned by Mondelēz International, which may limit the independent nature of the work.** This study is led by the Monitoring, Evaluation and Learning team at the Fairtrade Foundation. The role of this team is by constitution to be a critical friend to other parts of the Fairtrade system and likewise to our commercial partners, such as Mondelēz International, with our key driver being serving the producers through responsible and rigorous use of data, research-evidence and learning. We also recognise that the field research and interviews conducted may be affected by other individual's perceptions of this partnership and therefore how they respond to interview questions. We are confident that our transparent approach and technical rigour significantly compensated for this limitation. Furthermore, as part of the research team, we appointed two independent advisors, having access and reviewing all data collection tools and feeding back to this report, since its earliest drafts.



<sup>21</sup> Confectionary News (October 2019)

# SECTION 1: CONTEXT MAPPING AND COMPARATIVE ANALYSIS

An important step before starting to look at identified sustainable livelihoods initiatives (SLIs) and how they compare is to provide an overview of the cocoa sector in these two countries. In this part of the report, we will cover the history and the scale of cocoa in the two countries and provide a general description of key groups defining the farming communities.

## THE SCALE OF COCOA IN CÔTE D'IVOIRE AND GHANA

Cocoa has played a critical role in Côte d'Ivoire and Ghana during both colonial and post-colonial

history.<sup>22</sup> Over the 20th century and until today cocoa has gained an increasingly important role for the two economies, contributing to increasing international exports and generating growth, employment and tax revenues domestically. A crucial milestone in the history of cocoa in West Africa is the foundation of the bodies COCOBOD in Ghana (1947) and the Conseil du Café-Cacao in Côte d'Ivoire (2012),<sup>23</sup> marking the centralisation of the cocoa sector at the national level – with their functions spanning from industry regulation and coordination to price setting, economic development and market facilitation. In addition, through these bodies the two countries are increasingly coordinating efforts and external facing actions.

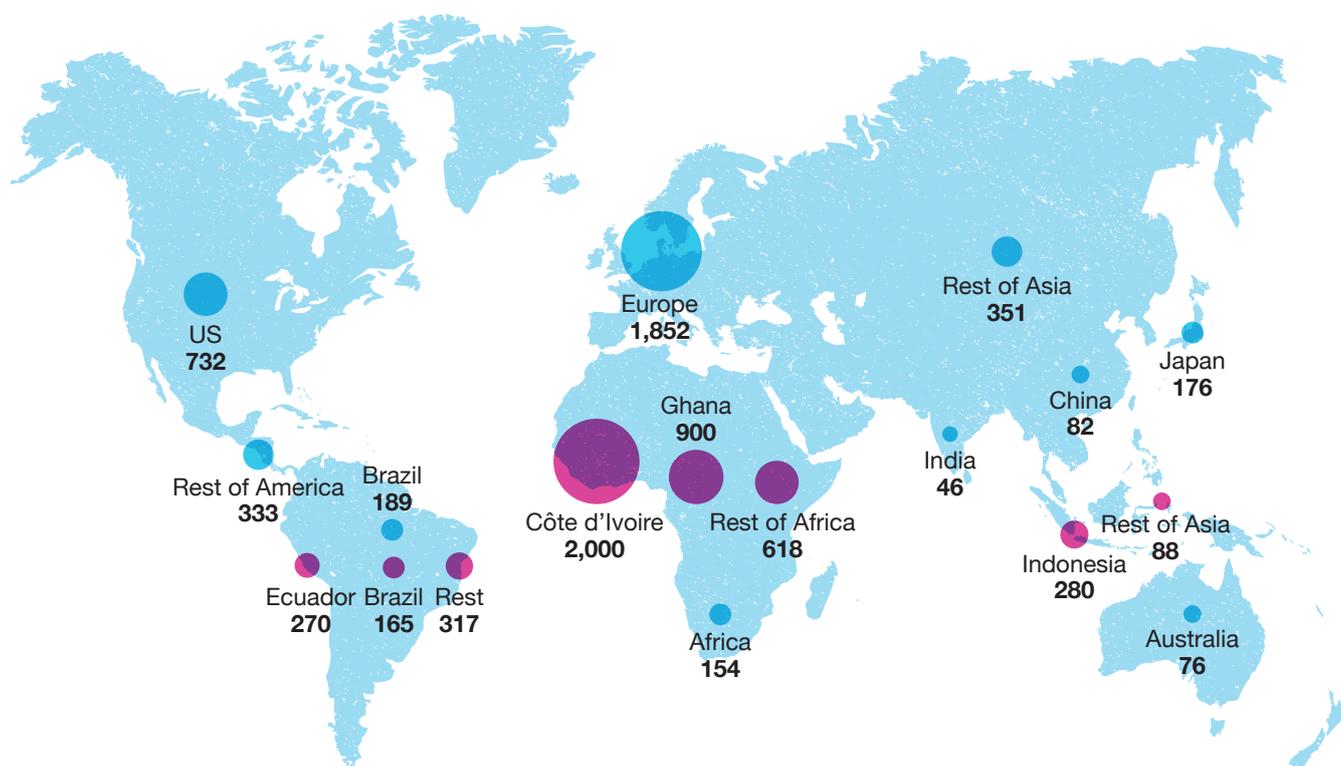


Figure 1: Total production (dark red) / consumption (blue) figures of cocoa (in '000 metric tonnes)

More than four million metric tonnes of cocoa beans are produced each year.<sup>24</sup> The cocoa produced from Côte d'Ivoire and Ghana far exceeds the production from other countries, with approximately 60 percent of the global production coming from these two countries alone, followed by Indonesia, Ecuador and Brazil<sup>25</sup> (Figure 1). COCOBOD reports that cocoa

generates average \$2 billion in foreign exchange<sup>26</sup> for Ghana annually and recent estimates show that cocoa represented 30 percent of total GDP in Côte d'Ivoire in 2016.<sup>27</sup> The taxes generated from cocoa exports are a major source of government revenue, and formed an important part of development of the economies post-independence.<sup>28</sup>

<sup>22</sup> Poelmans and Swinnen (2016)

<sup>23</sup> For more background on the formation of these two bodies, please see Villema et al (2015) and Skalidou (2019)

<sup>24</sup> ICCO (2017)

<sup>25</sup> Fountain and Huetz-Adams, (2018) from ICCO (2018)

<sup>26</sup> Ghana Cocoa Board (COCOBOD), [https://www.cocobod.gh/home\\_section.php?sec=1](https://www.cocobod.gh/home_section.php?sec=1) (accessed 4.3.19)

<sup>27</sup> Gayi and Tsowouk, (2016)

<sup>28</sup> Abbot and Wilcox (2004)

Cocoa exports being such an important component for the two economies, prices are a critical variable too, affecting how the two countries position themselves within the international cocoa market, especially in recent history. In 2018, Côte d'Ivoire suspended any programme aiming to increase cocoa productivity in an effort to tackle over-supply and counteract the deepest price drop in a decade.<sup>29</sup> More recently, in June 2019, Côte d'Ivoire and Ghana announced their suspension of sales of 2020 harvest with the aim to set up a higher guaranteed floor price at the point of export,<sup>30</sup> introducing the industry to the Living Income Differential. When covering the historical influence and the socio-economic significance of cocoa in Côte d'Ivoire and Ghana, we cannot separate this from the scale and implications for the cocoa farming communities.

**“OUT OF ALL THE COMMERCIAL CROPS FARMERS ARE GROWING, COCOA IS ALMOST THE ONLY ONE THAT HAS CONSISTENT POLICY AND INDUSTRY SUPPORT (...). THE STRUCTURAL SUPPORT FROM THE GOVERNMENT AND INDUSTRY FOR COCOA HAS BEEN THE REASON THAT COCOA HAS BECOME THE MAJOR LIVELIHOOD CHOICE FOR SO MANY (...) FAMILIES.”**

Industry informant, non-profit research organisation

The best available estimates suggest there are 2 million cocoa farmers in the two countries<sup>31</sup>, constituting approximately 8 percent of their rural population.<sup>32</sup> A recent piece of research from KIT<sup>33</sup> also finds that on average more than 70 percent of farming households consider cocoa as their first or second most important crop. The same research identified the reasons why Ivorian and Ghanaian farmers decide to grow cocoa over other commodities<sup>34</sup>, revealing that they perceive cocoa to generate higher income relative to other agricultural products as well as seeing it as a national emblem and driver for the development of their economies. To add to that, using the words of one of our key industry informants, ‘cocoa is almost the only commercial crop with consistent policy and sector support across both countries’.

When looking at how the broader cocoa sector is looking in the region, there is an emerging consensus that issues like deforestation and climate change, low yields, child labour, low incomes, pests, ageing farmers, modern slavery, and fears of supply shortages<sup>35</sup> need addressing. This led to an increasing number of players investing in sustainability initiatives.<sup>36</sup> These began to operate in the mid-2000s and have scaled up significantly in the last few years. Our research suggests that there is a desire amongst industry for this trend to continue for years to come.

In summary, cocoa represents a central asset to the region and its relevance to market demand trends<sup>37</sup> and the expansion of sustainability initiatives is only expected to grow in the future. The importance of cocoa transcends its economic value, with our study supporting existing literature on the topic<sup>38</sup>, which highlights how this commodity is integrated into the social fabric of the region and way of life for the farmers, beyond being simply a means to earning an income.



Cocoa Farmer in Ghana

<sup>29</sup> Reuters (April 2018)

<sup>30</sup> Reuters (June 2019)

<sup>31</sup> Fountain and Huetz-Adams, (2018), Pp 6 (source CocoaAction)

<sup>32</sup> The World Bank: <https://data.worldbank.org/indicator/sp.rur.totl.zs> (accessed 30.7.19)

<sup>33</sup> Bymolt, Laven, and Tyszler, (2018), Pp 132

<sup>34</sup> Ibid. Pp 133

<sup>35</sup> Ibid. and Fountain and Huetz-Adams (2018)

<sup>36</sup> Barrientos (2011), Ingram et al (2017)

<sup>37</sup> ICCO <https://www.icco.org/> (accessed 30.7.19)

<sup>38</sup> Asamoah, and Owusu-Ansah, (2017), Barrientos (2008), Bymolt, Laven, and Tyszler, (2018), McCarthy and Moon (2018), Skolidou (2019),

## WHO ARE THE COCOA FARMING COMMUNITIES IN WEST AFRICA?

Cocoa farmers are often described as a homogenous group by SLIs – with only a few sub-groups, especially women and young farmers, being looked at more specifically as we explore later on in this section. Here, we developed a taxonomy to illustrate some key demographics within the cocoa farming communities in West Africa, and have defined some of the key data points from a recent analysis on farmer numbers, yields and farm sizes.<sup>39</sup> Where available data allows us, we also seek to extrapolate the scale of these groups and the specific challenges they face growing and selling cocoa on the market. Our analysis draws on triangulation of a literature review, key informant interviews and in-country fieldwork.

	<b>Total no. of farmers in the region:</b> <b>Ghana:</b> 800,000 <b>Côte d'Ivoire:</b> 1,200,000 (assumed)
	<b>Average yields</b> <b>Ghana:</b> 423 kg/ha <b>Côte d'Ivoire:</b> 352 kg/ha
	<b>Average farm sizes</b> <b>Ghana:</b> 2.74 ha <b>Côte d'Ivoire:</b> 4.17 ha

### Organised and non-organised farmers and how farmers sell cocoa

A first important distinction to make is between organised and non-organised farmers. The former are farmers that are generally part of co-operatives, the latter are not organised in formally recognised entities. To understand how co-operatives work, it is important to consider how each country enables farmers to sell their cocoa – as neither country requires farmers to register themselves or join to a co-operative in order to be able to trade cocoa. This makes identifying and accounting for non-organised farmers a challenging undertaking, and also means that farmers' incentives to join co-operatives are not driven by commercial requirements.

Our research found that COCOBOD has 266 registered co-operatives, within which 466 associations or society groups exist<sup>40</sup>, whilst Le Conseil du Café-Cacao identifies 32 certified co-operatives<sup>41</sup>, with over 3,000 smaller societies underneath

them.<sup>42</sup> Looking at a combination of the best available evidence<sup>43</sup> we can deduce that out of the 2 million cocoa farmers in the region, a range between 50 percent to 89 percent (1 to 1.7 million farmers) are not part of co-operatives or other formally organised groups.

Whilst a significant number of cocoa farmers are not organised into co-operatives, they still gain access to the cocoa market through formally recognised local traders.

In Ghana, farmers sell their cocoa to Procurement Clerks (PCs) that sit within their communities and are contracted by Licensed Buying Companies (LBCs) that are regulated by COCOBOD. Interviewees told us that there can be up to six PCs within each community, and these are selected by the LBCs for their credibility in the community and financial standing, to encourage farmers to sell to them as well as secure any repayment of loans against the harvest. Our research suggests there may be a growing trend of co-operatives in Ghana becoming LBCs too – with this status allowing them to buy cocoa directly from farmers (including non-organised ones) and increasing their commercial value to their membership. That said, only a small part of the cocoa, less than 7 percent of the total in the 2015/2016 season<sup>44</sup>, is sold to co-operatives in Ghana.

In Côte d'Ivoire, farmers have the option of either selling their cocoa through a co-operative, or through local traders known as *pisteurs*. Available estimates suggest that 20 percent of cocoa is sold directly to co-operatives, while the remaining 80 percent is sold through the *pisteur* channel.<sup>45</sup> *Pisteurs* are independent entities similar to the Ghanaian PCs, and are attached to larger licensed traders known as *traitants* which play a similar role to LBCs. *Pisteurs* travel from farm to farm, typically using trucks, to buy cocoa paying cash upfront and typically trade with approximately 25 to 30 farmers. They may also have their own storage facilities where they store cocoa before delivering to the *traitant*. *Pisteurs* must obtain a license from the Conseil du Café-Cacao to operate and work on commission based on the quantity of cocoa beans delivered to the *traitant*. *Traitants* vary in size from being a single individual to large companies, and do not have formal farmer members.

In this context, with only a minor proportion of cocoa being purchased by co-operatives from their members, both in Côte d'Ivoire and Ghana their main role is to coordinate inputs for farmers from government, representing farmers

<sup>39</sup> **Total cocoa production levels and number of farmers taken from:** Fountain and Huetz-Adams, (2018) Estimates for Ghana having 800,000 farmers taken from COCOBOD ([https://cocabod.gh/home\\_section.php?sec=1](https://cocabod.gh/home_section.php?sec=1)) accessed 26.6.19. Remaining 1.2 million farmers assumed to be in Côte d'Ivoire. **Total average yields and farm sizes taken from:** Bymolt, Laven, and Tyszler, (2018), Pp 117 and Pp 197.

<sup>40</sup> From an interview with COCOBOD as of December 2018. Although information is available within Fairtrade and Cocoa Life on the numbers of farmers within these co-operatives, it is not representative of the wider region and therefore we have not included it here in our estimations.

<sup>41</sup> As of the 2013-2014 campaign, found here [http://www.conseilcafecacao.ci/index.php?option=com\\_contentandview=articleandid=78andItemid=147](http://www.conseilcafecacao.ci/index.php?option=com_contentandview=articleandid=78andItemid=147) (accessed 20.6.19)

<sup>42</sup> Le Conseil du Café-Cacao (2017)

<sup>43</sup> GEFAK. (no date). from Bymolt, Laven, and Tyszler, (2018), Fairtrade internal statistics and Kapoor, (2016)

<sup>44</sup> COCOBOD (2016)

<sup>45</sup> Fair Labor Association (2016)

to local leaders and implementers of initiatives rather than a commercial counterpart.

To sum up, although there is a significant challenge issue in identifying the exact total number of cocoa farmers active at any one time, it appears evident that the overwhelming majority of farmers sit outside of organised structures, engaging with the market through agents and traders, whilst co-operatives largely play the role of coordinator of inputs to their membership.

### Sharecroppers and hired labour

'Sharecropping' is a form of cocoa farming where the farmer-sharecropper rents farmland from the landowner, which could take a variety of agreements as per the local custom for that area. From our literature review, we found very little mention of sharecroppers and their specific needs in Côte d'Ivoire and Ghana and could not establish an updated estimate of total number of sharecroppers in the region. Understanding sharecropping is not made any easier when looking at land tenure arrangements and security in the region.

There are currently 166 laws pertaining to land in Ghana, although their implementation is often limited in rural areas, resulting in very few registrations as to where cocoa is grown.<sup>46</sup> Historically, agreements over land were made through traditional authorities, often unwritten and varied depending on which area the farmer was in. In Côte d'Ivoire, land was also controlled largely through traditional authorities, and with the commercialisation of coffee and cocoa, planting trees became a legitimised form of land control. There have been numerous attempts to define the structure of property rights, for example the Rural Land Law in 1998 that reserved rural land ownership for Ivorian citizens, but was largely viewed as a challenge to implement. In 2017, a new rural land policy formalised the government's intention to clarify land property rights, but land tenure is still regarded as complicated and costly nowadays in the country.<sup>47</sup> In summary, land rights remains an important issue and is closely tied to traditional norms surrounding cocoa in both countries. Acquiring new land through planting trees on virgin forest land is no longer legally possible, which adds to the importance of land rights issues and impacts upon the scarcity of farmland.

In this context, sharecropping is then often seen as a means to acquire cocoa land for the first time. In both Côte d'Ivoire and Ghana there are two different methods of sharecropping, namely *abunu* and *abusa*<sup>48</sup>, although in Côte d'Ivoire the *abunu* contracts may also be known as *Partager-Travailler* (Work-and-Share) or *Planter-Partager* (Plant-and-Share).

*Abunu* is a system whereby the sharecropper brings the entire farm to maturity within a period of 5 to 12 years, with the sharecropper acquiring permanent farming rights of 50 percent of the land by the completion of this period.<sup>49</sup> *Abusa* is a system whereby the owner takes two thirds of the harvest, and the sharecropper takes the remaining part while managing the whole farm. The most recent estimates for Ghana<sup>50</sup> calculate that 22.7% of all cocoa farms are *abunu*, 14.5% of farms are *abusa*, with the remaining 62.7% being instead managed and cultivated by a single owner. Unfortunately we were not able to identify figures for Côte d'Ivoire – adding to the difficult task to understand the scale of this practice in the region.

The status of benefits and freedom an individual may have over a farm can vary greatly depending on local customs and norms. There seems to be widely varying practices that apply to how the landowner and the sharecropper receive the benefits of being recognised in formal structures as the 'farmer' on the cocoa farm. The membership of farmer groups and which individual (whether the farm owner or the sharecropper) benefits from premium payments varies depending on the governance structures of the co-operatives, some telling our researchers that it is whoever is the member of the co-operative, and others that there is only recognition of the farm owner. There are also different observed degrees of independence the sharecroppers enjoy when working in farms, including the requirement for them to obtain formal permission from the landowner when they want to be part of community development programmes or introduce new practices on the farm. One possibility is that more junior sharecroppers that are considered labourers are required to seek permission, whereas more experienced sharecroppers that have built up a trusting relationship with the farm owner do not.<sup>51</sup> At present, we are unsure how this applies across the sector, but it is likely that practices change according to local area custom and the nature of the agreements historically made for a specific farm.

### **FARMERS (LANDOWNERS) NEED TO APPROVE THE IMPLEMENTATION OF THE NEW PRACTICES OR PAY FOR THE INPUTS ON THE FARM.**

Sharecropper, Ghana Eastern region

All farmer groups interviewed identified the need for labour (hired workers) to help the farmer manage the farm, particularly during the harvest season, although it was a challenge to establish any figures from the literature surrounding the total number of labourers in the region. The workers themselves, unless also acting in a sharecropping

<sup>46</sup> Kolavelli and Vigneri (2011), Asamoah, and Owusu-Ansah, (2017) and USAID, (2015).

<sup>47</sup> Bymolt, Laven, and Tyszler, (2018), Pp 93

<sup>48</sup> Asamoah, and Owusu-Ansah, (2017)

<sup>49</sup> Boni (2005) and Skalidou (2019)

<sup>50</sup> Asamoah, and Owusu-Ansah, (2017)

<sup>51</sup> Skalidou (2019)



Women drying beans in Ghana

capacity, were an elusive group to reach with our research. From insights through engaging the farming groups, it emerges that workers would do part-time jobs in various sectors and would usually also be farming their own or their relatives' farms, and therefore making it hard to estimate how many labourers the sector has at any one time. Many "labourers" are actually farmers in their own right – making use of standing social capital to assist each other during periods that require intense work on the farm. Recent detailed qualitative research also highlights that many workers are hired by older farmers as a kind of internship for young people to gain experience in the cocoa sector before they seek their first sharecropping contract as a way to enter into cocoa farming. Such placements appear to occur due to social or family connections and are usually paid in terms of room and board within the village, instead of a direct payment.<sup>52</sup> We also found in our research that hired workers are not formally recognised as part of the cocoa co-operatives, and do not attend co-operative meetings in their own right which indicates that they lack an organising structure altogether to meet specific needs and address the constraints they face. Hired labour therefore forms a fluid category involving different types of farmers working in the cocoa sector in diverse ways.

In conclusion, farmers in both Côte d'Ivoire and Ghana seem to view sharecropping as a means to land ownership, and much of the de facto rules around land ownership sit with traditional authorities, with little progress made in reality by formal legislation. Labourers on farms appear to be a largely unprotected, informal group that are not governed by formal rules and regulations, but nevertheless are crucial for farmers to successfully deliver a cocoa harvest.

## Women

Cocoa has long been seen as a male crop, this perception confirmed through both the literature<sup>53</sup> and our field research. It has proved challenging for researchers to estimate the proportion of the cocoa workforce that women make up in West Africa, with estimates varying between 20 percent to 58 percent.<sup>54</sup> Further estimates place women carrying out 45 percent of the work on cocoa farms, most of which is unpaid family labour,<sup>55</sup> yet earning only 21 percent of the generated income.<sup>56</sup> Women cocoa farmers are actively involved in most stages of the production process – land clearing, planting and weeding and in post-harvest activities such as collecting and transporting the harvested pods from the fields, extracting, drying and sorting the beans. The cocoa sector presents several gender-specific constraints for women<sup>57</sup> and from literature available and complemented by our research, we particularly identified four of them.

### “COCOA ACTIVITIES ARE FOR MEN, SO WHEN OTHER WOMEN SEE A WOMAN COCOA FARMER THEY GET ENCOURAGED.”

Female cocoa farmer, Ghana Eastern region

First, some tasks on the cocoa farm are typically considered not appropriate for female farmers to perform, such as pruning, harvesting and applying agro-chemicals. Hence, women who own their own farms need to have more labourers to help them, and in turn have higher costs of production than their male counterparts, to be able to maintain and grow their farms.<sup>58</sup> Furthermore, many women in our focus groups claimed that men took more agro-

<sup>52</sup> Ibid.

<sup>53</sup> Barrientos and Bobie, (2016) and Löwe, (2017), Pp 8

<sup>54</sup> Fair Labour Association (2014), Hiscox and Goldstein (2014) and Greene and Robles, (2014) in Barrientos and Bobie (2016)

<sup>55</sup> Hiscox and Goldstein (2014) and Greene and Robles, (2014)

<sup>56</sup> African Development Bank (2015)

<sup>57</sup> Ashby, et al . (2008) and Bymolt, R., Laven, A. Tyszler, M. (2018),

<sup>58</sup> Fair Labor Association (2015)

chemicals when they were supplied to their communities as a free agricultural input.

Second, women farmers have multiple social roles to play within the society, (productive, reproductive and care), which makes them less available than men to take part in activities organised by the co-operatives and other actors in the community.

Third, women are less likely to hold leadership positions than men<sup>59</sup> with previous field research conducted by Fairtrade in 2016 in Côte d'Ivoire finding that less than 5 percent of leadership positions were taken up by women in co-operatives. This is confirmed to be the case in the household too, with recent surveys finding in Côte d'Ivoire that only 26 percent of women self-identified as the head of the household as opposed to 90 percent of men. In Ghana, a higher proportion of women identified themselves as head of the household at 45 percent, with 95 percent of men claiming themselves as heads.<sup>60</sup>

Finally, but no lesser constraint, women have less access to land than men,<sup>61</sup> partly due to traditional norms where men would clear virgin forest as a rite of passage towards land ownership, whereas women gain access through marriage, and perform conjugal duties to assist the husband on his farm. Inheritance patterns are complex and vary by locality and ethnic group, but generally the norm is to pass land to male members of the family. In recent years however a trend emerged of 'land gifting' from husbands to wives<sup>62</sup>, to secure an income for a wife after a husband's death and an increased focus on the nuclear family.<sup>63</sup> Recent surveys have found that there are also differences in the amount of overall land (not just cocoa farms) owned by female and male-headed households, particularly in Côte d'Ivoire, where women were reported to own on average 4.5 ha of land, compared with 8.2 ha of land for male-headed households.<sup>64</sup>

It is clear from this brief analysis that women's experience of the cocoa sector is significantly different from their male counterparts, in terms of social expectations both as primary care-givers and carrying out tasks on the farm, access to land, and through a lack of female leadership within co-operatives.

**INITIATIVES... ARE NOT BENEFITTING EVERYONE, ESPECIALLY ON FREE INPUTS... MEN TAKE TWO BOTTLES AND ONE BOTTLE LEFT FOR WOMEN.**

Female cocoa farmer, Ghana Ashanti region

**IT IS HARDER (TO JOIN THE NEARBY COCOA LIFE COMMUNITY) AS A WOMAN DUE TO OTHER RESPONSIBILITIES.**

Female cocoa farmer, Ghana Brong-Ahafo region



Female Cocoa farmer in Côte D'Ivoire

<sup>59</sup> Bymolt, Laven, and Tyszler, (2018)

<sup>60</sup> Ibid. Pp 38

<sup>61</sup> CRIF and WCF, (2017) and Zoen, (2015)

<sup>62</sup> Barrientos and Bobie, (2016)

<sup>63</sup> Amanor, (2006) taken from ibid.

<sup>64</sup> Bymolt, Laven, and Tyszler, (2018), Pp 109

## Young people

According to Ghana's National Youth Policy, 'the youth' are defined as those between 15-35 years,<sup>65</sup> whereas in Côte d'Ivoire sources define young people as being aged either between 15-29 or 16-35,<sup>66</sup> with no national definition in place. Unfortunately, we could not find in the literature an accurate representation of how many young cocoa farmers are in the region, although the 2010 Ghanaian census<sup>67</sup> and the CIA fact book for Côte d'Ivoire<sup>68</sup> found that 20 percent of the population were aged between 15-24 in both countries.

Although recent reports have found that that younger farmers continue to start working in cocoa at a rate that replaces older farmers stepping out<sup>69</sup>, a consistent theme from our research – also confirmed by existing literature on the topic and government policies<sup>70</sup> – is the movement of youth from rural communities to urban areas. As a young farmer that has no inherited land, it can take time to earn money in cocoa, and urban centres offer a potential faster way of earning an income. It is possible that young people try to escape farming but return when they are about to set up a family and seek more stability, or also that they are working as sharecroppers or labourers and are simply not visible.<sup>71</sup>

**I SEE THE COCOA BUSINESS AS PROFITABLE, BUT IT IS DIFFICULT TO START. YOU HAVE TO CULTIVATE THE FARM FOR THREE YEARS, AND WHERE WILL MONEY COME FROM DURING THAT TIME?**

Young cocoa farmer, Ghana Eastern region

Our research showed that nearly the totality of young people we interviewed are sharecroppers. This finding correlates with other studies<sup>72</sup> suggesting that young people see sharecropping as a feasible route to land ownership through cocoa farming. This is also confirmed in the trend we observed of some young farmers telling us that they had spent grants received from the unions on deposits to become sharecroppers and buy agricultural inputs for their farms. To complement this, the trend seems to be that younger households across both Côte d'Ivoire and Ghana are less likely to own land compared to other age groups.<sup>73</sup> On the other hand, the deposit required by sharecroppers to start farming land, as well as the three year incubation period often makes it challenging for young farmers to start work in cocoa, and many take advantage of the 'internships' we described earlier.



**AS A YOUTH I HAVE VERY LITTLE MONEY. I GAIN MONEY THROUGH WORKING ON THE FARMS. I WORK ON FOUR FARMS NOW, THREE BELONGING TO OTHERS, AND OWN MY OWN FARM.**

Young cocoa farmer, Ghana Eastern region

We also identified social norms playing a significant role in creating barriers to young people participating in cocoa. Participants in separate focus groups agreed on the perception that the older members of the community heap respect upon those that leave the rural villages to work in the towns, and ignore or belittle those who choose to stay in farming in the community, resulting in young people not feeling particularly motivated to stay to work on the cocoa farms.

**WE ARE DEMOTIVATED AS YOUTH AS EVEN THE ONES (WHO STAY) HERE DO NOT HAVE RESPECT, AND THERE IS RESPECT RATHER FOR THOSE THAT LEAVE.**

Young cocoa farmer, Ghana Eastern region

In all, there are mixed views on whether cocoa is seen to be a respectable investment for the future given the social norms around travelling to towns, but there seems to be the consensus that cocoa is a long term investment when it involves access to land, although extremely difficult and hard work to start up in. Young farmers need a quick income, access to land and finance to become established farmers in the region, which is not necessarily in place today.

<sup>65</sup> Ghana Ministry of Youth and Sports (2010), *National Youth Policy of Ghana*, Accra

<sup>66</sup> A study by the OECD defines youth in Côte d'Ivoire as being 15-29, (Organisation for Economic Cooperation and Development (2017), *Examen des politiques et du bien-être des jeunes en Côte d'Ivoire*, Paris) whereas the Youth card in Côte d'Ivoire is available to all citizens aged 16-35

<sup>67</sup> Ghana Statistical Services, (2013)

<sup>68</sup> Central Intelligence Agency factbook statistics on Côte d'Ivoire. Available at <https://www.cia.gov/library/publications/the-world-factbook/geos/iv.html> (accessed 21.6.19)

<sup>69</sup> Ibid.

<sup>70</sup> COCOBOD set up the Youth in Cocoa Programme in 2014 to discourage rural-urban migration and boost cocoa yields, targeting 30,000 young people aged 20 to 40 with the hope that younger, better-educated farmers will take up a career in cocoa, and be more likely to adopt new farming techniques. The programme has not been evaluated yet.

<sup>71</sup> Skalidou (2019)

<sup>72</sup> ibid. and Bymolt, Laven, and Tyszler, (2018), Skalidou (2019)

<sup>73</sup> ibid., Pp 47

## PROFILING SUSTAINABLE LIVELIHOOD INITIATIVES (SLIS)

The landscape study identified 92 SLIs across Côte d'Ivoire and Ghana,<sup>74</sup> reviewing and excluding a further 103 initiatives that did not meet the inclusion criteria.

Having discussed the nature of the cocoa sector and different farming groups, we now move on to explore the breadth of the SLIs implemented in Côte d'Ivoire and Ghana. This section looks at who the regional, national and global players are, and what they are doing to contribute to sustainable livelihoods for cocoa farming communities.

### Definition of an SLI

As per the methodology section, our definition of an SLI is that it:

- ▶ Must aim at making improvements to sustainable livelihoods – i.e. in line with DFID Sustainable Livelihoods Framework
- ▶ Must be currently active and target deliberately cocoa farming communities in Ghana and/or Côte d'Ivoire
- ▶ If an initiative was part of a wider programme, or being implemented on behalf of another initiative – the overarching takes precedence over the latter

### Actors

A wide variety of actors design, fund and implement sustainable livelihoods initiatives, creating a multifaceted picture of programme implementation in the two countries. Actors can choose to collaborate with each other, creating multi-actor initiatives and joining resources to coordinate their activities, but often they also work by themselves, navigating the competing and aligning incentives that exist between different actor groups. Whilst by definition we have only accounted for an overarching actor owning the initiative, it is important to note that these overarching initiatives will often contract and partner with other actors, such as NGOs, private foundations or consultancies to carry out work on the ground.<sup>75</sup> Using this definition, the landscape analysis identified eleven different types of actors implementing these initiatives, further organised in five groups as displayed in figure 3. It is also very important to note that the numbers below do not represent the level of funding or programmatic effort being used within each group of actors.

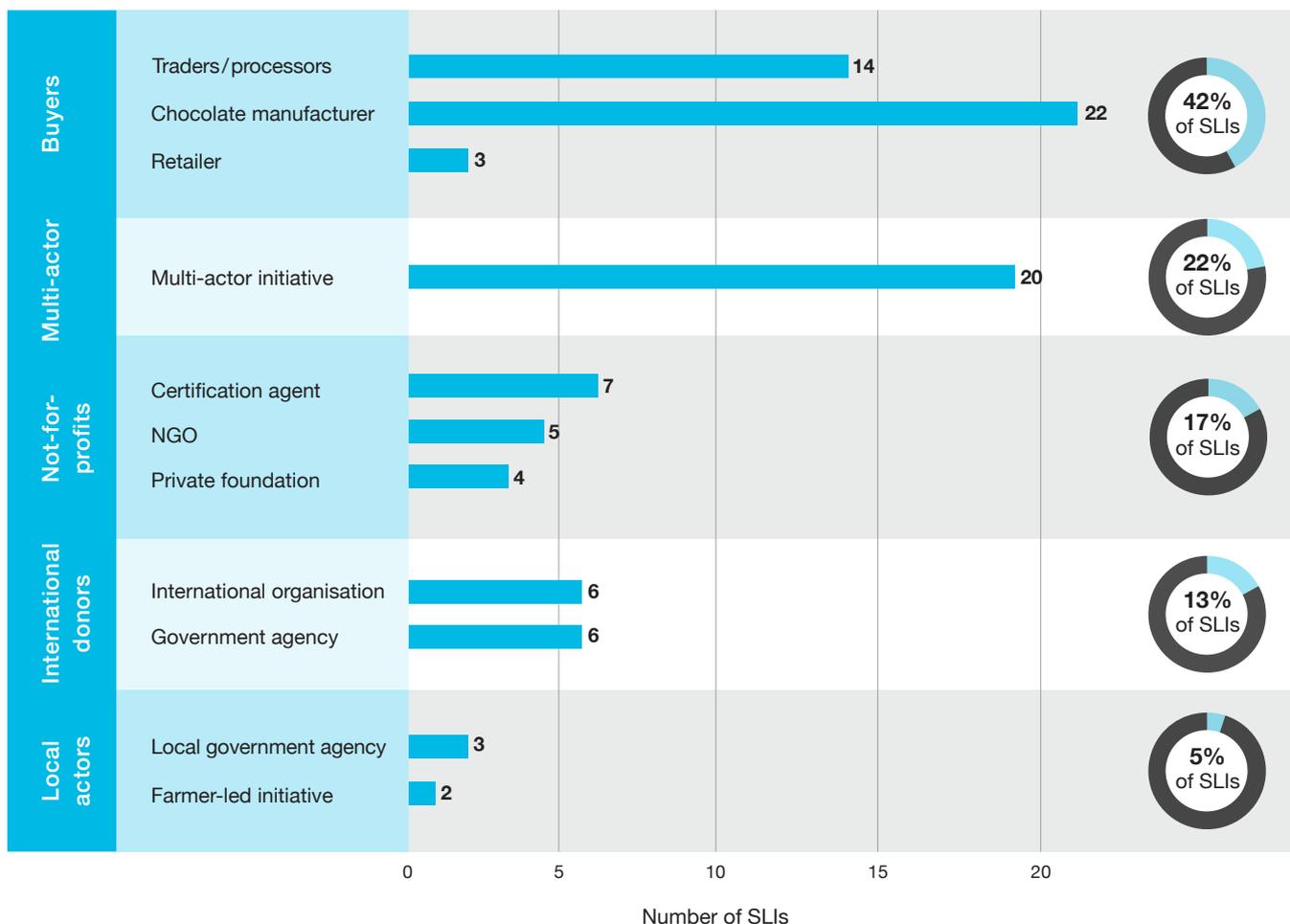


Figure 2: Number of overarching SLIs delivered per actor group – note this is not reflective of amount of effort or funding (Author's own)

<sup>74</sup> The full list of SLIs is available in Annex A

<sup>75</sup> The actors implementing these activities are often not visible in the public domain, and hence it was challenging to identify the extent of contracting between actors to deliver work.

## Buyers

Buyers represent the largest group of SLI owners, taking responsibility for 39 initiatives, 42 percent of the total SLIs being delivered in the region. Within this group, chocolate manufacturers are the largest group of actors, delivering 22 initiatives, almost a quarter of all regional SLIs. We then find the traders (or processors) and the retailers, delivering respectively 14 and three initiatives. This is a very important group of actors, with the six largest chocolate manufacturers covering around 40 percent of the consumer market, and the eight largest traders covering three quarters of cocoa commercial transactions worldwide.<sup>76</sup>



When adding the retailers to the picture, recent estimates show that these three actor groups alone add 87 percent of the value of the end cocoa products.<sup>77</sup> Retailers also play a crucial role in the sector, having an influencing role determining cocoa products market prices and increasingly selling more cocoa as part of their own brands, controlling as much as 30 percent of national markets as is the case for example in Germany.<sup>78</sup>

Our analysis also looked at the key drivers for buyers to invest in SLIs, identifying two common themes crosscutting all three actors within this group. First, buyers emphasise their responsibility to play a critical role to bring about sustainable development for the cocoa farming communities they source from; and second, an explicit recognition exists that investing in sustainability will result in higher financial returns in the long term, becoming a value-add to the organisation. What it means to 'invest in sustainability' remains a matter of some debate within the industry and different actors emphasise different approaches that we will explore later on in this report when analysing current Implementing models.

**“...SUSTAINABILITY SHOULD ALWAYS BE LINKED TO SUSTAINABLE BUSINESS. SO YOU REALLY SHOULDN'T DO SUSTAINABILITY UNLESS YOU CAN FIGURE OUT HOW IT CAN BE A VALUE ADD TO YOUR ORGANISATION.”**

Industry informant, multi-actor initiative

We also sought to define what specific drivers lead each different group within the overall subset of “Buyer” to allocate substantial capital and resource towards investing in sustainability initiatives. Chocolate manufacturers want to manage the risk to their reputation should any abuses be uncovered in the supply chain and ensure a sustainable future supply of cocoa. Traders are implementing these initiatives as a response to the market, ensuring they maintain their position as the preferred supplier of sustainable cocoa to the chocolate manufacturers. Furthermore, initiatives also offer traders an effective way to manage operations and build commercial loyalty to farmers. Retailers appear to be driven by their need to maintain their reputation to and trust with their shoppers; this is also in line with the finding that retailers appear to be largely absent as direct implementers of initiatives, with the majority of them relying on certification mechanisms to assure their sustainable approach to cocoa.

### Multi-actor initiatives

The second largest group is formed by multi-actor initiatives, representing 20 individual initiatives or 22 percent of the total. This group of SLIs represents all initiatives being implemented under the guise of a partnership between different sector actors, between sector and government or between governments.

The group represents some of the largest programmes, such as the Cocoa and Forests Initiative that joins together 34 leading cocoa companies with the governments of Côte d'Ivoire and Ghana.<sup>79</sup> This initiative involves ensuring and implementing commitments across sector, local farming actors and governments, running for many years and involving multi-million dollars investments. The programmes implemented by the World Cocoa Foundation and IDH make up the vast majority of initiatives within this group, collectively accounting for nine out of the total. The World Cocoa Foundation is a membership organisation providing a forum for sector actors to streamline programmatic activities, discuss best practice and negotiate with public actors. It is important to note that the main goal of these initiatives is to convene actors of other programmes to align industry members. In actual fact, the delivery vehicle for this work sits with the members of that group. For example, the WCF implements large programmes such as Cocoa Action that

<sup>76</sup> Fountain and Huetz-Adams, (2015), Pp 7

<sup>77</sup> *ibid*, Pp 34-35

<sup>78</sup> *ibid*, Pp 27

<sup>79</sup> The Cocoa and Forests Initiative, World Cocoa Foundation, <https://www.worldcocoafoundation.org/initiative/cocoa-forests-initiative/> (accessed 26.6.19)

'convenes the industry in order to align complementary roles and responsibilities, leverage scale and efficiency through collaboration, and catalyse efforts to accelerate sustainability in the cocoa sector'.<sup>80</sup> IDH convenes cross-sector actors to develop public-private partnerships. It implements a series of SLIs styled as grants with the key objective of making the cocoa sector more sustainable for cocoa farming communities.

Whilst it is likely that most of the commitments enforced by these multi-actor initiatives align with actors' individual initiatives, with the aim to report collectively on progress in the pursuit of collaboration and partnership, there is no publicly available information on how multi-actor initiatives compare with the progress made by individual actors. Our analysis also identified two key drivers for the establishment of multi-actor initiatives. First, there is a sense that collaborative and coordinated efforts have a multiplier effect on the impact of individual initiatives; second, there is a consensus among the sector players that working in partnership is the most effective way to achieve change for cocoa farmers.

**... THE GOOD THING IS THAT ORGANISATIONS MEET AND TALK AND LEARN FROM ONE ANOTHER. SO THAT CROSS LEARNING IS ALSO HELPING ORGANISATIONS TO DESIGN AND RE-DESIGN THEIR APPROACH AND ENSURE THAT THE BEST WORK APPROACHES ARE ADOPTED.**

Industry informant, chocolate manufacturer



Kra Zelna Madeleine speaks to others as part of the Women's School of Leadership, Côte d'Ivoire

## Not-for-profits

Not-for-profits are responsible for 17 percent of the initiatives we identified, 16 unique across certification agents, NGOs and private foundations. Within this group, certification agents represent the largest component, delivering seven initiatives, including their certification mechanisms and any programming efforts that they implement alongside their sourcing model. Non-governmental organisations (NGOs) represent five initiatives and private foundations represent four of them.

The number of SLIs being executed by this group may appear relatively small – this is due to most of the buyers contracting not-for-profits to deliver parts of their initiatives. This would mean that we accounted the work of that not-for-profit within the “Buyers” group, for example with Care International taking on board some of the delivery for Cocoa Life.<sup>81</sup> In addition, private foundations are likely to offer donations to initiatives being run by others.<sup>82</sup> It is also notable that the three important certification schemes, Fairtrade, Utz and Rainforest Alliance,<sup>83</sup> are all complementing their certification schemes with programmatic activity, and have a wide reach through their sourcing models that many buyers adopt alongside their own initiatives.

Through our consultation with key sector players, we found that not-for-profit organisations are often considered experts and credible to deliver initiatives, or parts of initiatives that are tailored to their areas of focus. One key attribute of local not-for-profit organisations

**... THEY (NOT FOR PROFIT ORGANISATIONS) CAN BE OFTEN THE TRUSTED PARTY IN THE ROOM SO THAT LOCAL COMMUNITIES TEND TO TRUST THESE LOCAL NGOS MORE THAN OTHERS. AND WITH TRUST A LOT OF THINGS BECOME POSSIBLE.**

Industry informant, advisor to SLI

The farmer group-led initiatives are designed and run by the co-operative management team and aim to support their members to increase their exposure to the market. With farmer co-operatives being managed democratically by design, we found that often initiatives that are run by other actor groups rely on these governance structures to support the delivery of their activities. In addition, farmer-led initiatives are perceived as well integrated into local social norms. We believe this is due to the frequent finding from our field research that local community leaders often appear to be in key management positions within the co-operative.

<sup>80</sup> Cocoa Action page, World Cocoa Foundation, <https://www.worldcocoafoundation.org/initiative/cocoaaction/> (accessed 19.6.19)

<sup>81</sup> Care International, <https://www.careinternational.org.uk/get-involved/corporate-partnerships/who-we-work-with/Mondelez> (accessed 13.11.19)

<sup>82</sup> For example, the Gates Foundation is one of the key funders of initiatives being run by the World Cocoa Foundation, having donated over \$10 million to the Cocoa Livelihoods Programme in 2014.

<sup>83</sup> At the time of writing Utz and Rainforest Alliance were not yet merged in the initiatives being implemented in the region and therefore have been considered separately.

## TARGET GEOGRAPHY AND DEMOGRAPHICS

This section looks at the targeted geographies and demographics of the 92 initiatives, seeking to establish not only which countries they are focussed on, but also, crucially, if they publish data on regional areas and target demographics and establish any information gap.

### Geographic focus

Figure 4 displays the target country focus of each of the 92 initiatives, showing that most target both Côte d'Ivoire and Ghana, with the remainder fairly equally split between Côte d'Ivoire and Ghana.

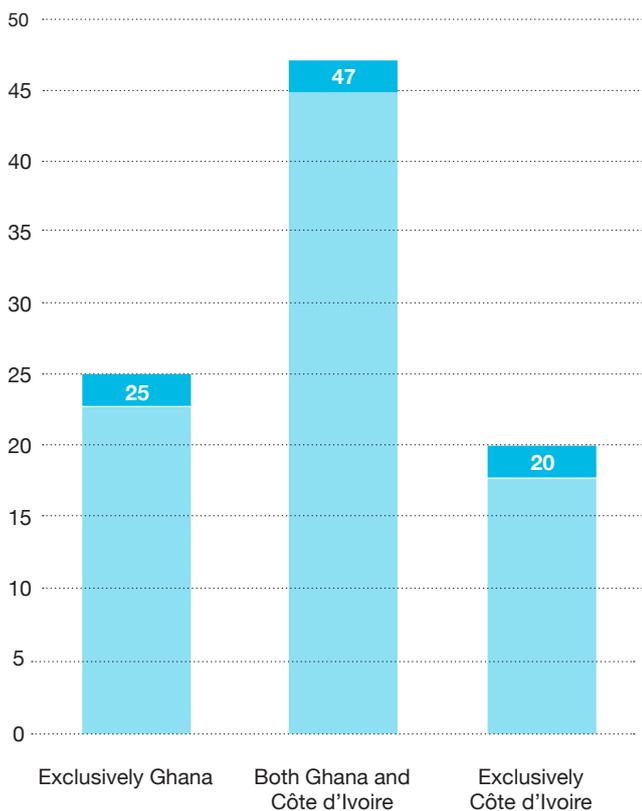


Figure 3: Number of SLIs working in Côte d'Ivoire and Ghana (author's own)

The only clear trend we identified through the national geographic lens is that the most of the multi-actor initiatives and international donors work across the two countries, usually implementing large-scale programmes, such as the Cocoa and Forests Initiative.<sup>84</sup> Whilst we can presume that buyers deliver their initiatives in the countries where most of their supply concentrates and that national actors will target their own country only, these extrapolations were not possible with the data that is publicly available.

Our next step in our analysis, as described in figure 5, is to identify where the initiatives are working within the same country, looking at the regional level in Ghana and the district level in Côte d'Ivoire. It is important to note here that the actual regional picture may be different in reality, with only 21 percent of the initiatives clearly and publicly providing this information. The available information shows a correlation between the cocoa producing regions of Ghana<sup>85</sup> and Côte d'Ivoire<sup>86</sup> and the implementation of initiatives, which is to be expected given the main target beneficiaries of the programmes are cocoa communities.

Interviews with national government representatives identified the incentives behind the geographical targeting as being to support the areas where the best quality and quantity of beans are grown. The Montagne region in Côte d'Ivoire is particularly popular, with the totality of initiatives with available district data working there. This correlates with this district being one of the largest producing cocoa areas in the country. Whilst cocoa production seems to be the main driver informing the regional targeting, our fieldwork also identified elements such as the relationship with the farming groups, ease of implementation and other logistical and financial elements as playing a complementary role when deciding on geographic focus.

**“ MOST (COMPANIES) GO TO WHERE THE COCOA IS... THEY WANT BEANS! ”**

Industry informant, national government

<sup>84</sup> Cocoa and Forests Initiative, World Cocoa Foundation website <https://www.worldcocoafoundation.org/initiative/cocoa-forests-initiative/> (accessed 31.7.19)

<sup>85</sup> According to COCOBOD, these are Eastern, Ashanti, Brong-Ahafo, Volta, Central and Western, taken from [https://cocobod.gh/home\\_section.php?sec=1](https://cocobod.gh/home_section.php?sec=1) (accessed 19.6.19)

<sup>86</sup> The Cocoa and Forests Initiative uses data from the CCC, state that the cocoa producing regions in Côte d'Ivoire are Montagnes, Bas-Sassandra, Sassandra-Marahoué, Gôh-Djiboua, Yamoussokro, Lacs, Lagunes, Abidjan, Comoé, Woroba, Vallée du Bandama and Zanzan. Taken from Cocoa and Forests Initiative, (2018), Pp 13

% of SLIs publishing where they work at regional level

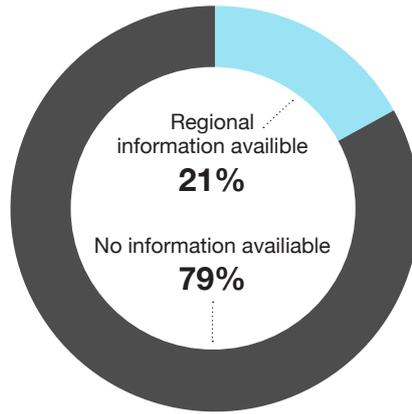
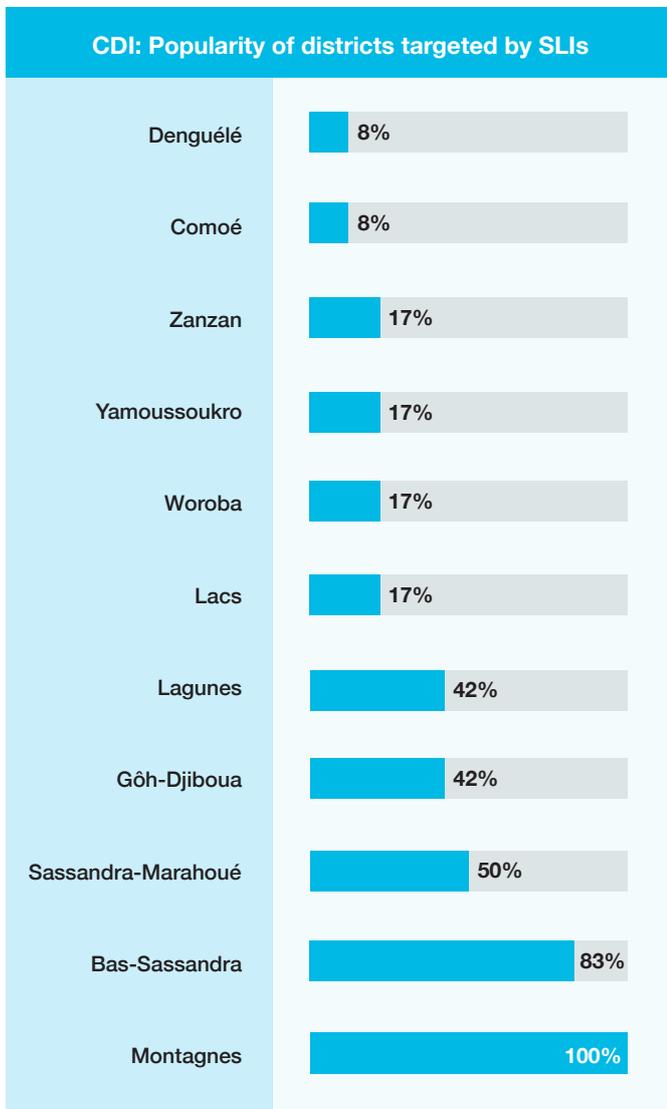
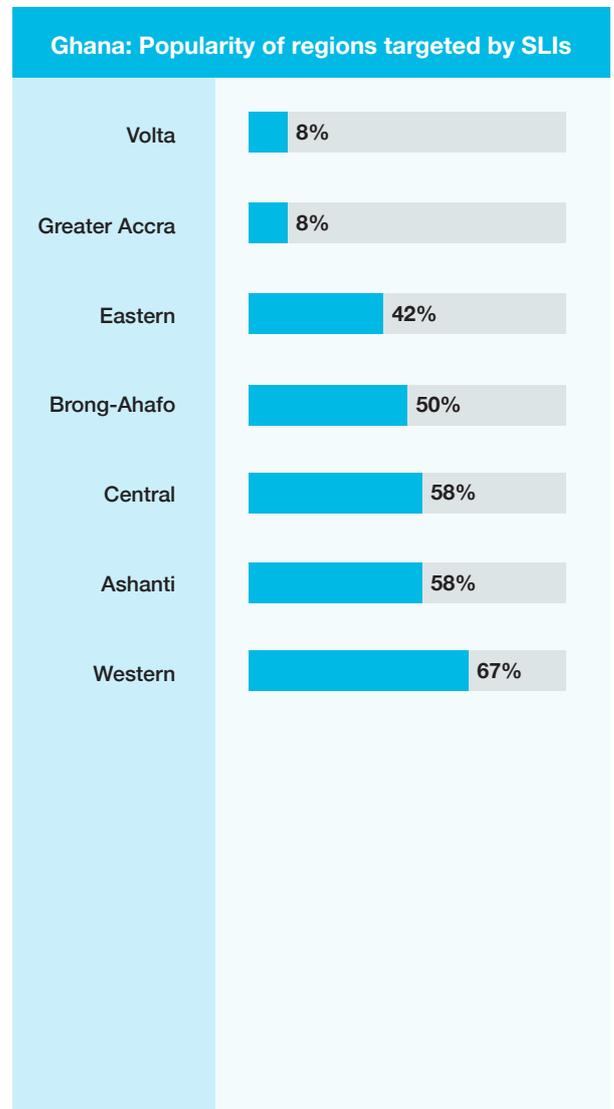


Figure 4: % of SLIs that publish regional targets and where they work in Ghana and CDI (author's own)



Data from 12 SLIs in CDI. No initiatives in Abidjan, Savanes or Valée du Bandama



Data from 12 SLIs in Ghana. No initiatives in Northern, Upper East, Upper West

## Demographic focus

Like the geographical dimension, not all implementers publish information on how many farmers they are targeting, either not establishing a set target anywhere in their publicly available information, or publishing targets but not making them specific to either Côte d'Ivoire or Ghana. We therefore sought to categorise the SLIs into those that have information clearly available on the numbers of farmers targeted in Côte d'Ivoire and Ghana (known), those which had no published figures (unknown) and those which had a target, but it was unclear how many were relevant to Côte d'Ivoire and Ghana (unclear). This can be seen below in figure 6.

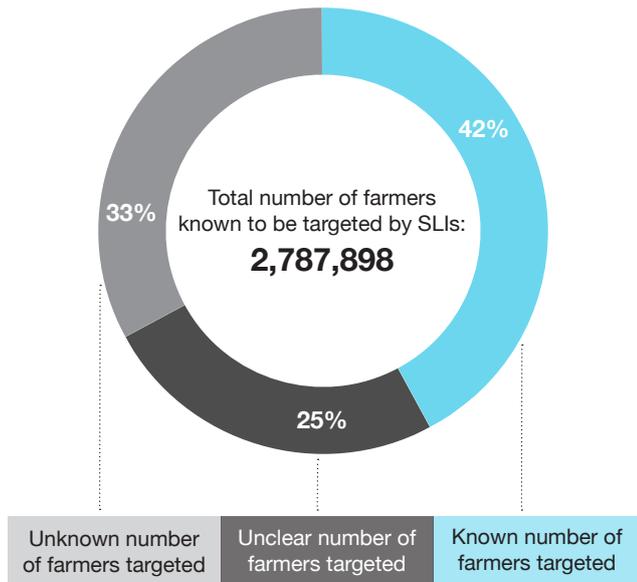


Figure 5: % of SLIs that publish information on number of farmers targeted (author's own)

The aggregate number of farmers targeted across West Africa was found to be almost 2.8 million, only from just 42 percent of initiatives that clearly publish targets. Comparing this estimate to the total estimated number of farmers in both Côte d'Ivoire and Ghana of 2 million<sup>87</sup>, we then can extrapolate it is highly likely that a significant proportion of the initiatives are targeting the same farmers groups.

Even though the information available is not completely exhaustive on the number of farmers participating in the initiatives, we were able to analyse the information on distinctive target groups of SLIs through looking at the types of activities being implemented and therefore which demographics they were targeting. It is notable that male farmers as a target group are not distinguished in SLI narrative, as opposed to the four groups identified in figure 7, leading us to assume that SLI activities do not deliberately target male farmers as part of their usual activities, yet these are the usual participants in interventions and do not require tailored interventions.

Figure 7 shows us that almost half of all initiatives are targeting working with women, followed by just below 40 percent of initiatives working with children. The relatively smaller target groups are youth at 14 percent and sharecroppers or labourers that are specifically targeted by seven percent of initiatives. It is important to note that this does not mean that these groups are not included within existing initiatives, but instead that they are not usually identified as specific target groups by the vast majority of SLIs.

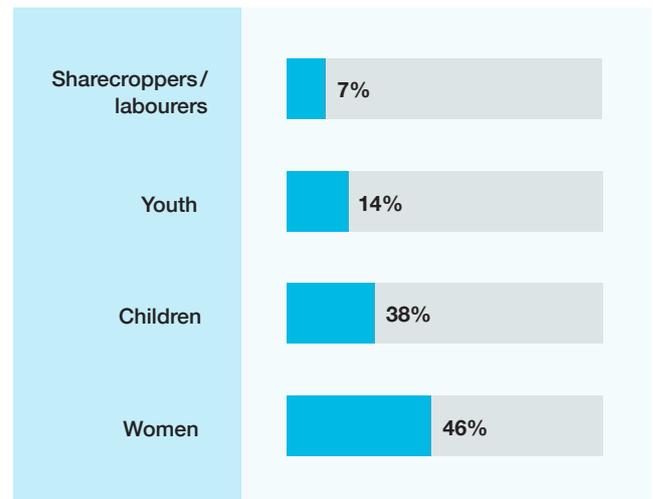


Figure 6: % of SLIs targeting distinctive demographic groups (author's own)

<sup>87</sup> Fountain and Huetz-Adams, (2018), Pp 6 (source Cocoa Action)

## IMPLEMENTATION MODELS

### Six delivery models and their work-streams

In this section we explore the different delivery models utilised by the initiatives to start identifying trends in the sustainability approaches within the region. We identified six different delivery models, presented in figure 8 with the total number of SLIs identified within each model:

- 1 Skills training and provision of inputs
- 2 Upgraded value chain position and monetary incentives
- 3 Advocacy and partnerships
- 4 Building improved facilities
- 5 Knowledge generation and information transfer
- 6 Change to the regulatory environment

Underneath each delivery model we mapped a total of 30 thematic work-streams mainly identified through literature review of SLIs available documentation.<sup>88</sup> The work-streams represent the different types of activities being implemented by SLIs. It is important to note that the number of SLIs working on a specific work-stream is not necessarily an indication of the amount of resources directed towards these areas, but can provide a useful view on the concentration of focus of the different initiatives. While we hope that the representation below is exhaustive, we will focus on some key descriptive highlights.

The most popular delivery model is **skills training and provision of inputs**, largely driven through 71 percent (66 initiatives) of all sustainability efforts focussing on productivity-based interventions, followed closely by training farmers on environmental standards and a focus on women's empowerment. The second largest delivery model is **Advocacy and partnerships**, with 59 percent (54 initiatives) seeking to establish alliances within the cocoa sector.

▶ **71 percent of all initiatives identified are working towards increasing productivity of farmers**

With 37 SLIs, 41 SLIs and 49 SLIs respectively, we have the delivery models focussed on **change to the regulatory environment, knowledge generation and information transfer** and building improved facilities. The regulatory environment delivery model work-streams cover formal rules

and governance of the cocoa sector, include work-streams on supply chain traceability (that forms the largest focus of this area), forest and land governance, carbon targeting and looking at some of the formal rights and terms of trade for the sector. This delivery model also contains the work-streams on worker and land rights – with only 3 SLIs targeting this and making it the least popular work-stream. The delivery model of **knowledge generation and information transfer** contains the work being done on research, transferring information to farmers and mapping farms. Finally the work-streams under building improved facilities group together work being done on building schools, hospitals, wells and other basic facilities as well as access to finance mechanisms for farming groups.

▶ **Three initiatives were found to be targeting land rights**

The least popular delivery model is **upgrading the value chain position of farmers and incorporating monetary incentives** – overall, this delivery model represents work being done by 24 initiatives. To upgrade the position of a farmer, an SLI could increase the efficiency of production, improve the quality of the product, change the farmer to a higher value-added function in the value chain, sell the product through a different channel, or changing the sector that the original product is sold into.<sup>89</sup> We identified two of these approaches being used by the initiatives, firstly enabling farmers selling a more valued quality of cocoa such as organic and secondly through farmers taking on an additional function in the value chain by processing or selling cocoa locally. Also in this delivery model, we found that only 15% of initiatives use a form of premium payment or pricing mechanisms within their SLIs to incentivise farmers, although many of the implementers complement their SLI with the certification schemes that may introduce a premium in their own right.<sup>90</sup>

In summary, we find that **skills, training and inputs provision** is the most popular delivery model by all initiatives which focus less on delivery models that seek to change value chains and the regulatory environment that governs the cocoa sector.

<sup>88</sup> Further detail on how each of these work streams is define in Annex D.

<sup>89</sup> For more information please visit <https://www.marketlinks.org/good-practice-center/value-chain-wiki/types-upgrading> (accessed 19.6.19)

<sup>90</sup> Note that the announcement of the Living Income Differential by the Ghanaian and Ivorian governments was made after the initial mapping exercise of the SLIs, demonstrating the fast moving nature of the cocoa sustainability sector.

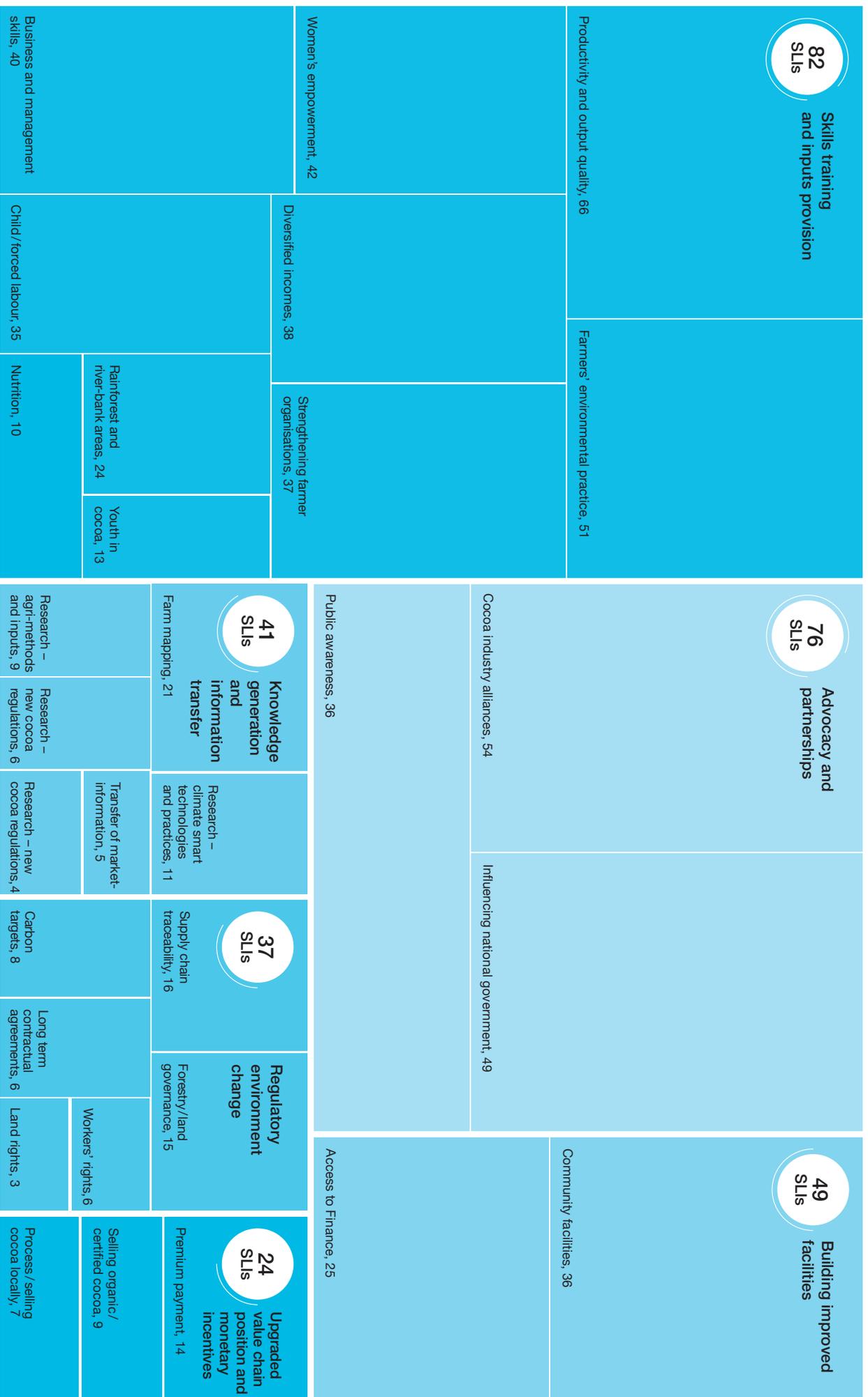


Figure 7: Number of SLIs working within each work-stream across the six identified delivery models, not representative of relative funding or size of initiatives (author's own)

### Approaches used by different actors

Actors choose to follow different types of work-streams, some spreading their efforts and budget across multiple approaches, creating a broad programme that tackles several different angles in the pursuit of sustainable livelihoods for

cocoa farming communities. Others choose a more targeted programme design, choosing to target their resources on only a few approaches.

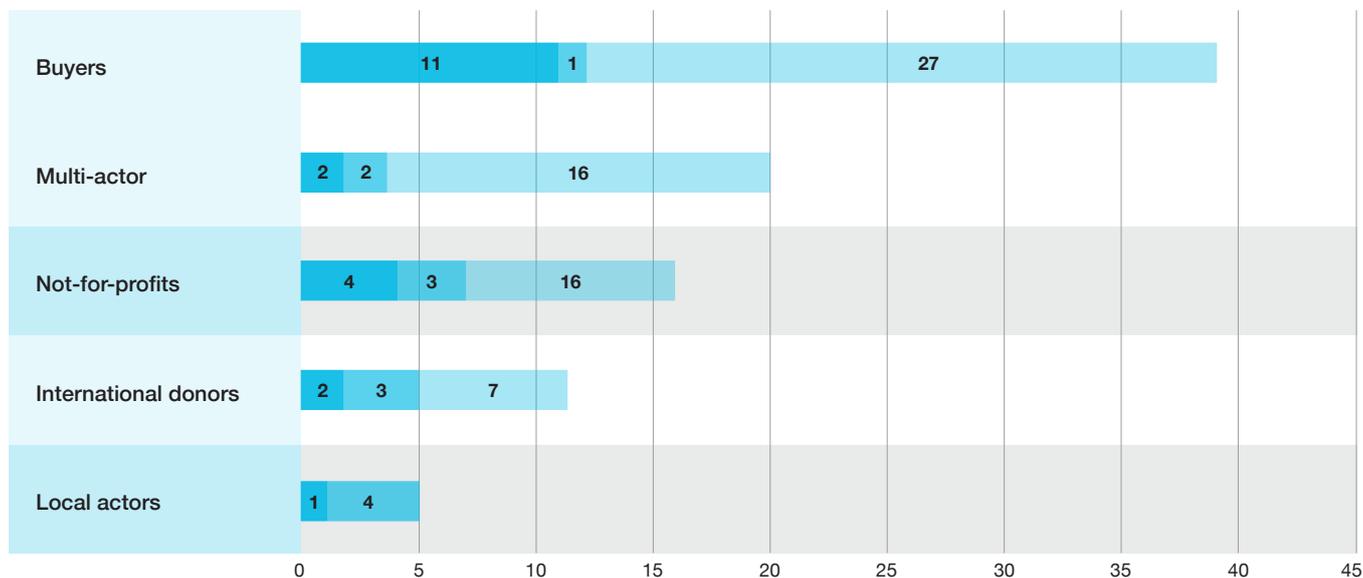


Figure 8: SLIs by number of work-streams: many, average, few and types of actors implementing initiatives in Côte d'Ivoire and Ghana (author's own)

■ Many (over 10) ■ Few (3 or fewer) ■ Average (4-8)

We display the numbers of SLIs per actor group in figure 8, showing whether they seek to deliver a broad or targeted programme based on the number of work streams that were mapped in our analysis. Buyers are far more likely to implement broad ranging initiatives, i.e. pursuing over ten distinct work-streams within a single initiative, followed by not-for-profit and multi-actor groups. Most actors favour

implementing between four to eight work-streams, with fewer favouring the implementation of a targeted work-streams.

In figure 9 we represent which delivery models are favoured by each actor group, further disaggregated in number of work-streams. It is notable that there is no individual group of actors clearly favouring a single delivery model, with all actors implementing initiatives across all six delivery models.

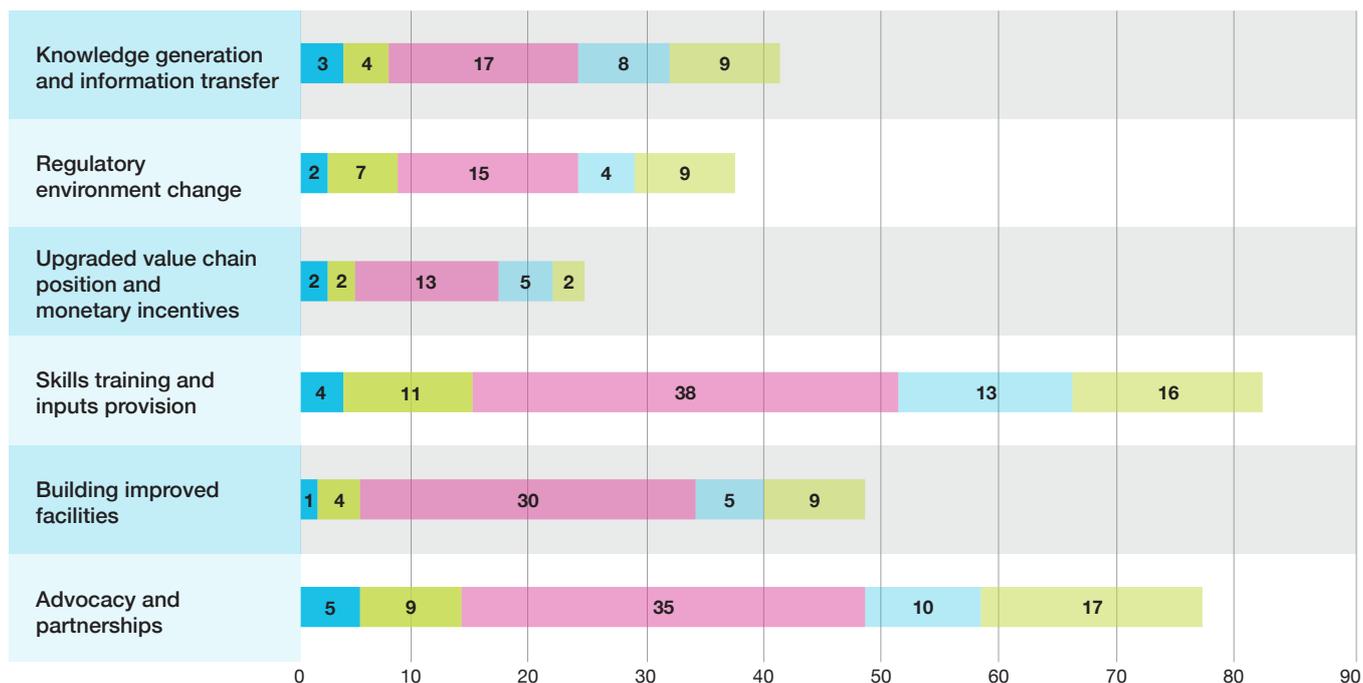
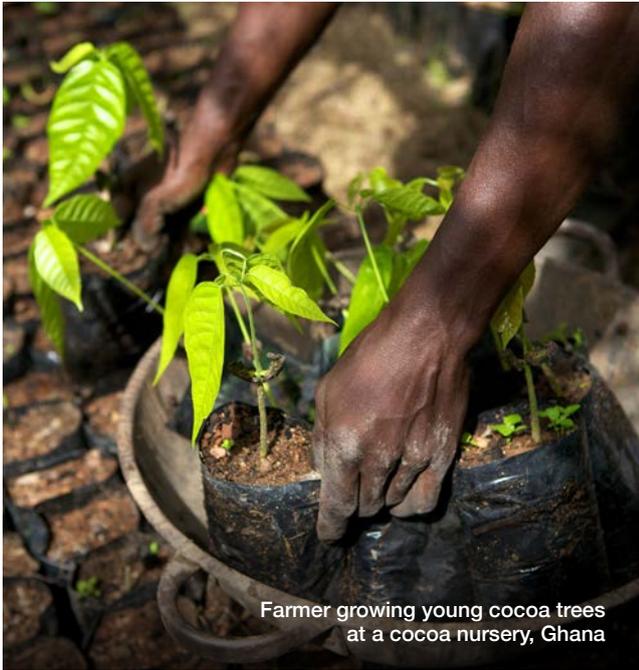


Figure 9: Delivery models favoured by different actor groups (author's own)

■ Local actors ■ International donors ■ Buyers  
 ■ Not-for-profits ■ Multi-actor



Farmer growing young cocoa trees at a cocoa nursery, Ghana

### Mapping approaches against the DFID Sustainable Livelihoods Framework and farmers' needs

As mentioned earlier in the report, we used the DFID Sustainable Livelihoods Framework<sup>91</sup> as one of three key criteria to include an initiative in our analysis. This framework was first incorporated into DFID's programme for development co-operation in 1997, building on Chambers and Conway's definition of a livelihood<sup>92</sup> and since then has become a commonly used reference model for implementers aiming at improving livelihoods of the global poor, including within the cocoa sector in West Africa.

**A LIVELIHOOD COMPRISES THE CAPABILITIES, ASSETS (INCLUDING BOTH MATERIAL AND SOCIAL RESOURCES) AND ACTIVITIES REQUIRED FOR A MEANS OF LIVING. A LIVELIHOOD IS SUSTAINABLE WHEN IT CAN COPE WITH AND RECOVER FROM STRESSES AND SHOCKS AND MAINTAIN OR ENHANCE ITS CAPABILITIES AND ASSETS BOTH NOW AND IN THE FUTURE, WHILE NOT UNDERMINING THE NATURAL RESOURCE BASE.**

Chambers and Conway (1992)

<sup>91</sup> Department for International Development (1999)

<sup>92</sup> Chambers and Conway, (1992)

<sup>93</sup> We are developing an accompanying technical note to this paper and designed to contribute to the discourse as to how to consider sustainable livelihoods for the context of the cocoa sector, making five key amendments to the original framework:

- 1) The inclusion of an 'enabling factors' section for the design of initiatives,
- 2) The addition of information capital as a livelihood asset,
- 3) Elaboration of the structures and processes box to increase focus on the dynamics of the global market,
- 4) The addition of market demand / cocoa price as a factor in vulnerability and
- 5) The inclusion of a Net additional Livelihoods box.

The definitions used for all of the sections of the Sustainable Livelihoods framework are available in Annex C.

In our research we went beyond using the framework as a filtering tool and used it also to map SLIs' delivery models against it. As a first step, we set out to understand the framework and tailor it to the cocoa sector.<sup>93</sup> As a result of this process, we included an additional capital to the original five – **information capital**. This represents the endowment of information used by the farming communities to make decisions in pursuit of their sustainable livelihood objectives. This constitutes the information that individuals receive about other livelihood capitals, but also the **transforming structures and processes** as well as the vulnerability and risky context within which individuals operate. For the purpose of our analysis, we kept the other capitals as originally set in the DFID framework.

In this part of our analysis, we use this augmented sustainable livelihoods framework as a mapping tool. We link the work-streams (as identified earlier in this section) to the different dimensions of the framework, all of the now six capitals as well as the transforming structures and processes element of the framework. Whilst this is not one of the capitals, it is a relevant part of the framework to help mapping and interpreting some of the work-streams we identified in our analysis, for example targeting formal structures and processes such as land and workers' rights and terms of trade. It must be noted here that the framework is primarily designed for implementers to reflect on whether an intervention is targeting the critical elements that enable a household to reduce its vulnerability and strive towards sustainable livelihoods of its members and it also allows for an initiative to address specifically one critical capital area only.



Farmer harvesting Cocoa pods, Ghana

*Brief sustainable livelihood definitions*

Human capital	<i>The skills, knowledge, ability to labour and good health that together enable people to achieve their livelihood objectives</i>
Social capital	<i>The social resources upon which people draw in pursuit of their livelihood objectives</i>
Financial capital	<i>The financial resources that people use to achieve their livelihood objectives, including both stocks (savings) and any regular inflows of money</i>
Natural capital	<i>The natural resources stocks from which resource flows and services (e.g. nutrient cycling, erosion protection) useful for livelihoods and derived</i>
Physical capital	<i>The basic infrastructure and producer goods needed to support livelihoods</i>
Information capital	<i>The different kinds of data endowed with relevance and purpose used by people to make decisions</i>
Vulnerability context	<i>The external environment in which people exist and the shocks or seasonality that take place over which they have little control</i>
Transforming structures and processes	<i>The insitutions, organisations, policies and legislation that shape livelihoods. They operate at all levels, from the household to the international areana.</i>

Figure 10: Brief sustainable livelihood framework definitions (author's own – more detailed definitions in Annex C)

Figure 11 displays the mapping of all work-streams against the amended DFID Sustainable Livelihoods Framework, giving us a real-time snapshot of current concentration of efforts at the sector level. Figure 12 shows how farming unions and societies we interviewed defined their immediate needs, also mapped against the DFID framework, and the frequency of how often these needs were mentioned in our selection of focus groups. We have deliberately split the views of farmer union executives and society members as clearly representing two distinct viewpoints from the farming communities – the former especially occupying authority

positions, which arguably makes their expressed needs to represent their membership as opposed to their individual experience alone. To map each work-stream or farmers' need to a single dimension of the framework is a balancing act, as the same work-stream or need may contribute to different dimensions of the framework. This lack of clear-cut definition is functional to the framework as it is designed to be applicable to different contexts and cover a wide variety of initiatives; therefore our methodology is set to provide a mapping against the 'best fit' category.



Figure 11: Industry work-streams mapped against the DFID Sustainable Livelihoods Framework (author's own)

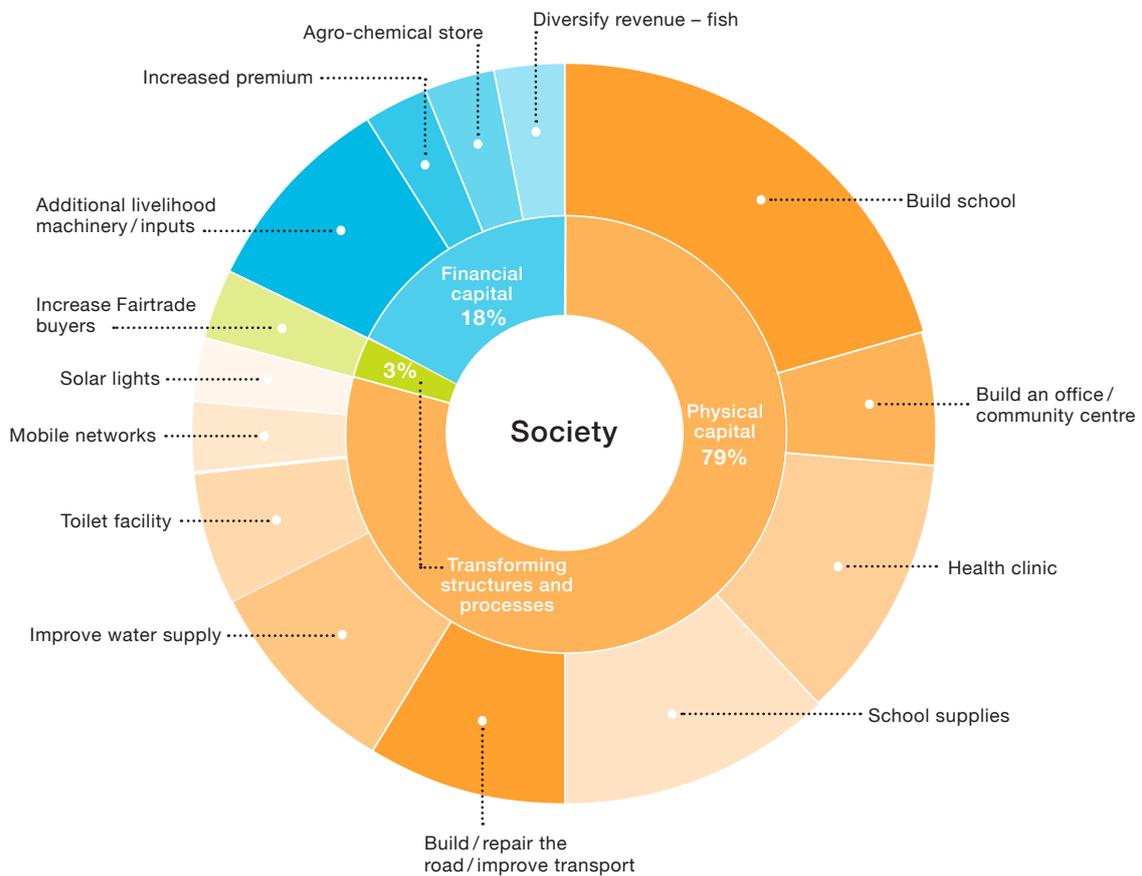
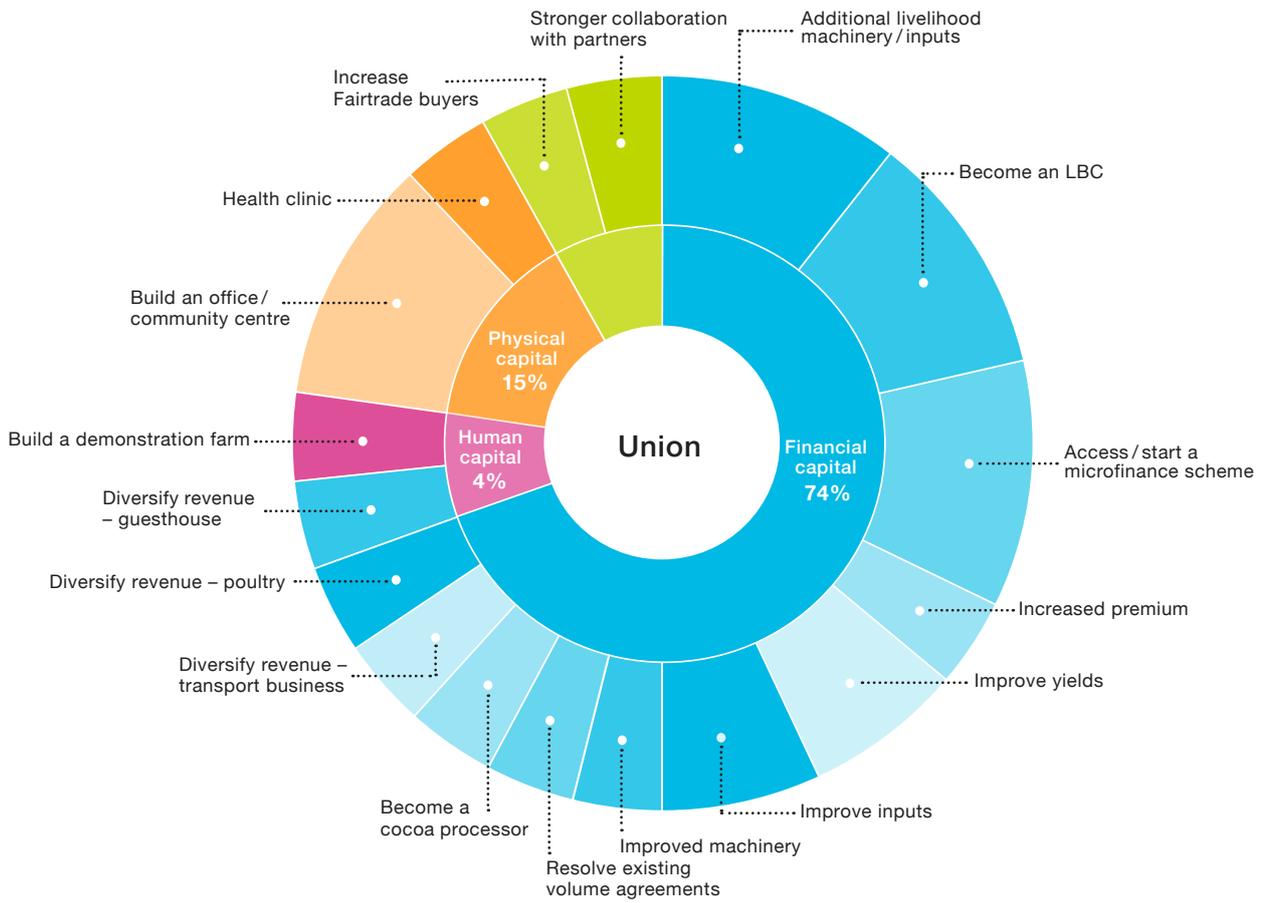


Figure 12: Needs of farmers at society and union level mapped to the amended DFID framework (author's own)

Through these visualisations, it is clear how the work of the SLIs covers all elements of the DFID Sustainable Livelihoods Framework – some key observations below:

- Initiatives largely focus on transforming structures and processes, human and financial capital – collectively forming almost 70 percent of all work-streams being pursued by SLIs.
- Transforming structures and processes forms the largest focus of all initiatives, largely driven through the volume of SLIs looking at women’s empowerment and child labour and changing the informal and cultural norms within cocoa communities; it is also driven through advocacy initiatives, seeking to influence both national government policies and raise public awareness; in contrast, in this area the smallest focus is on changing the structures and processes of the cocoa sector by addressing worker and land rights as well as putting in place strong contractual agreements.
- The focus of initiatives on elements of social, physical and information capital is small – representing collectively less than 20 percent of all work-streams within SLIs.
- Natural capital also does not form a significant focus for the initiatives, accounting for only eight percent of work-streams being pursued by SLIs.

- At the farmer level in Figure 12, we can see a clearly expressed need from unions towards increasing financial capital and this is also significant for the initiatives (representing almost a quarter of the initiatives’ effort); on the other hand, society level findings reveal a much higher focus on physical capital (not much of a focus for the initiatives, with only five percent of effort in this area from current initiatives)

In conclusion, after tailoring the DFID framework to the cocoa context, we find that implementers are running SLIs across all parts of the amended DFID Sustainable Livelihoods Framework, with a focus on financial, transforming structures and processes and human capital. There is alignment between the needs of farmers at the union executive level and initiatives with a large focus on improving financial capital, but a lack of alignment with the needs expressed by farmers at the society level for physical capital compared to what initiatives are seeking to deliver.

In the next section of the report, we will build upon the identified delivery models and work-streams to develop a sector-wide theory of change. As part of our analysis, we will also map the Theory of Change to the views we collected from the farmers (the unions and the societies), that will allow to develop further our understanding of the alignment between the sector and the cocoa farming communities.



Cocoa farmer Mary Opoku, Ghana

# SECTION 2: EXTRAPOLATE A SECTOR-WIDE CHANGE FRAMEWORK

## STRUCTURING CHANGE

This section seeks to answer the following research question:

*What changes are these initiatives seeking to achieve at a sector level?*

To respond to this, we have sought to describe an overall sector theory of change, which is a presentation of the current pathways of change that implementers of SLIs are pursuing through their programmatic work for farmers to achieve a sustainable livelihood. This framework therefore amalgamates all the different approaches being used by implementers, and simplifies it, providing a description of the logic that is currently being applied in the sector.

The function of this theory of change is two-fold – first, it is a starting point for any implementers planning the design of an initiative, to understand where actors are working today and where their ambitions sit compared to the rest of the sector; and second it allows others to build on the opportunity to partner and coordinate any future planning at the sector level.

It is very important at this stage to note that this theory of change simply describes what logic is currently followed collectively by all identified SLIs, but it does not aim to recommend the direction of travel that the cocoa sector should follow to achieve sustainable livelihoods for cocoa farming communities. It is the first necessary step in this direction, and the first sector attempt to highlight the implicit logic behind what the cocoa sector is trying to achieve in this region. As highlighted more in detail in the last section of this report, our first step of the next phase of this project, will be to provide a perspective on how the current change pathways could be amended to become more effective using further research into political-economy incentives and field research.

To design the theory of change, we first set out to provide a framework, choosing four different levels of change which we define below:

- ▶ **DEVELOPMENT GOAL** is the intended long-term effects on farming communities produced by a development intervention in accordance to the definition of an SLI laid out in the methodology section.
- ▶ **LONG-TERM OUTCOMES** represent changes in the performance of the sector, economy or value chain.
- ▶ **INTERMEDIATE OUTCOMES** represent changes in practices, policies or strategies of communities, firms and/or organisations.
- ▶ **IMMEDIATE OUTCOMES** represent changes in knowledge or incentives for actors.

The building blocks of this theory of change are the 30 work-streams that the 92 SLIs are already mapped against recalling the mapping from section 1, thus providing a clear link to what is being implemented in the region with what this is set to achieve in the medium to long term. The theory of change is represented in figure 13. We organised the work-streams against what they are seeking to achieve either at the immediate or intermediate levels. Finally, this allowed us to clearly identify five final outcomes statements, which we call 'pillars' within the figure below:

- 1 Farming communities gain higher incomes from their economic activity
- 2 The cocoa sector has inclusive social systems and policies to protect the most vulnerable
- 3 Farming communities experience better connectivity, health and education outcomes
- 4 The forest is recovering and the farming communities become more resilient to climate change
- 5 Demand for sustainable cocoa increases as a result of coordinated and evidence-based initiatives

These five pillars are in turn underpinned by ten intermediate level change areas and 12 immediate level change areas. In the same figure we also display the total number of SLIs we identified working within a pillar, as well as how many work-streams have been mapped to each of them while constructing the theory of change. It is important to bear in mind that a single initiative may work across several work-streams, and therefore several pillars within the theory of change. For that reason, the total number of SLIs displayed does not add up to 92, but shows the number of SLIs within that total that are implementing initiatives contributing to a specific pillar. In contrast, the 30 work-streams are considered mutually exclusive within each pillar.

Development impact													
Cocoa farming communities achieve sustainable livelihoods for themselves and their future generations													
<p><b>Long-term outcomes</b> (changes in performance of the sector / economy / value chain)</p>	<p><b>Pillar 1:</b> Farming communities gain higher incomes from their economic activity</p> <p>SLS: 76 Work-streams: 10</p>		<p><b>Pillar 2:</b> The cocoa sector has more inclusive social systems and effective policies to protect the most vulnerable members</p> <p>SLS: 60 Work-streams: 6</p>		<p><b>Pillar 3:</b> Farming communities experience better connectivity, health and education outcomes</p> <p>SLS: 40 Work-streams: 2</p>		<p><b>Pillar 4:</b> The forest is recovering and the farming communities become more resilient to climate change</p> <p>SLS: 61 Work-streams: 7</p>		<p><b>Pillar 5:</b> Demand for sustainable cocoa increases in as a result of coordinated and evidence-based initiatives</p> <p>SLS: 76 Work-streams: 5</p>				
	<p><b>Intermediate outcomes</b> (changes in practices / policies / strategies of communities / firms and organisations)</p>	<p>Farming communities diversify income away from cocoa</p>	<p>Farmers and farmer groups are more professional and entrepreneurial</p>	<p>Social norms change in support of women, older farmer, children and young people</p>	<p>Farmers have safe working conditions and security of assets through contractual obligations and protection policies</p>	<p>Farming communities (especially children) are well nourished</p>	<p>Farming communities have access to improved schools, health, communications and transport infrastructure</p>	<p>Farmers apply good environmental practices</p>	<p>Cocoa buyers improve their performance towards carbon targets and avoid sourcing from protected areas as per improved governance frameworks</p>	<p>Coordinated and evidence-based initiatives and policies are implemented</p>	<p>Consumers and sector buyers make improved decision on sourcing and buying sustainable cocoa products</p>		
<p><b>Immediate outcomes</b> (changes in knowledge / incentives)</p>	<p>Farming communities increase knowledge and/or means to set up alternative income sources</p>	<p>Farmers access to good quality inputs and finance and have improved sector and technical knowledge</p>	<p>Cooperatives improve knowledge of cocoa sector and apply appropriate governance of farmer groups</p>	<p>Farming communities incentivised to protect children, encourage youth and empower women</p>	<p>Cocoa governance actors have knowledge of improved potential policies</p>	<p>Farmers (including informal workers) are aware of their contractual rights and improve knowledge of protection policies.</p>	<p>Farming communities have increased knowledge and access to more nutritious food</p>	<p><b>Changes in knowledge / incentives not clearly identifiable.</b></p>	<p>Farmers understand harmful environmental practices</p>	<p>National and community regulators improve knowledge for policy/creation surrounding land use</p>	<p>Cocoa buyers improve knowledge of sourcing areas at risk of deforestation and learn how to effectively conduct carbon targeting</p>	<p>Increased knowledge of what other actors are doing in the cocoa sector and what works to support sustainable livelihoods</p>	<p>Increased knowledge of cocoa supply chain actors (both mid- buyers and end-consumers) on how to make sustainable decisions on sourcing and products</p>

Figure 13: Theory of change for the cocoa sector (author's own)

## WITHIN PILLARS ANALYSIS

In this sub-section, we explore each of the pillars in more detail, looking at the logic of change and examining the work-streams that are sitting within each.

In figure 14 below, we disaggregated the theory of change

by pillar and included under each of them the three most popular work-streams among the initiatives. To note that in pillar 2 there were two work-streams that were tied as the third most popular, and pillar 3 only had two work-streams within it.

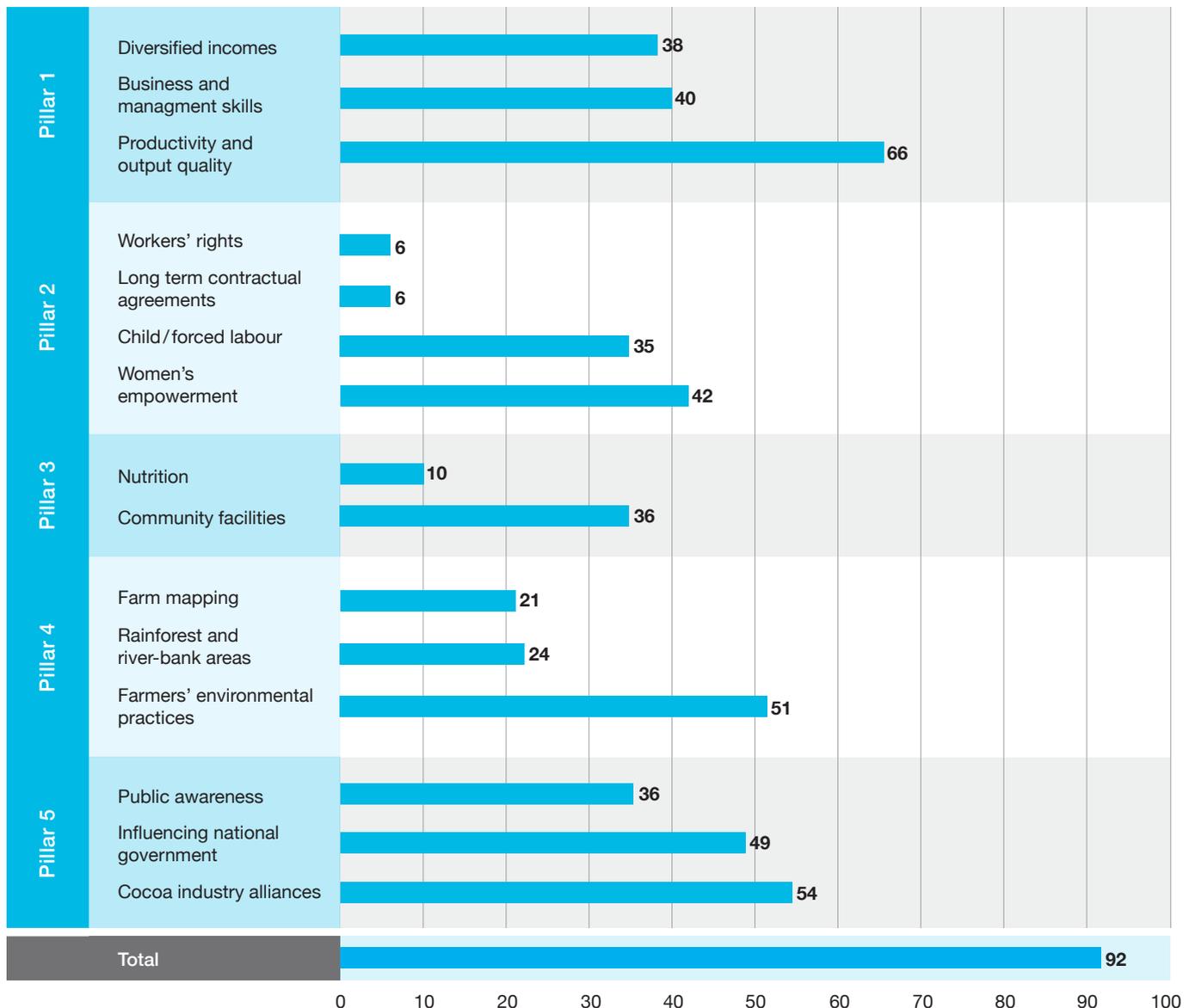


Figure 14: Work-streams within each pillar of the theory of change with 20 or more SLIs (author's own)

### ▶ Pillar 1: Farming communities gain higher incomes from their economic activity

This pillar represents the most common area of change – alongside pillar five – with a total of 76 initiatives implementing at least one work stream of the ten we mapped to this area. This means that 83% of all identified initiatives (total 92) are working towards increasing incomes of farming communities.

The logic within this pillar identifies three core areas of change at the immediate level, firstly increasing the knowledge of farmers and their communities of alternative income sources, secondly improving farmers' access to finance, agricultural inputs and GAP knowledge, and finally improving the knowledge of cooperatives to apply appropriate governance and support to their farmer groups. This in turn should allow farmers to diversify

#### 76 Sustainable Livelihood Initiatives | 10 workstreams

##### Driving work streams:

- Diversified incomes
- Business and management skills
- Productivity and Output Quality

their incomes away from cocoa. The three key driving work-streams increasing productivity, improving business skills and diversifying incomes.

It is notable that this pillar is not only seeking to support farmers to work within cocoa, but also to move out of cocoa altogether by diversifying incomes, or supplement their cocoa income with other sources (this is the only area within the theory of change where diversification appears as a route to sustainability). These two groups are clearly distinguished at the intermediate level, identifying professionalization of farmers, as well as those that are seeking a move out of cocoa.

**Pillar 2: The cocoa sector has inclusive social systems and policies to protect the most vulnerable**

The second pillar has 60 SLIs working within it (65 percent of the total), and represents a total of six work-streams.

The vulnerable members of the community within this pillar are defined by the SLIs as being women, children, young people, farm-labour and farmers whose human and working rights are at risk. The pathway is formed by three immediate change areas – firstly, changes to the incentives of the communities to encourage protection of women, children and youth; secondly, increasing the knowledge of those that make the rules (government and international policies and contractual regulations regulating commercial relationships within the value chain) of the sector to encourage the improvements of rights recognition amongst cocoa actors; thirdly, improving the awareness of farmers and vulnerable members of farming communities of their working and human rights. At the intermediate outcome level there is then an expectation to see changes in social norms and policies, with the introduction of

**60 Sustainable Livelihood Initiatives | 6 workstreams**

**Key drivers:**

- Child labour
- Women's empowerment
- Worker's rights
- Long term contractual agreements

effective protection policies, and ultimately leading to inclusive social systems and a working political enabling environment. The driving work-streams are prevention of child labour (42 initiatives), women's empowerment (35 initiatives), workers' rights (six initiatives) and long term contractual agreements (six initiatives). On the other hand, whilst this third work-stream is relatively important within this pathway, it is not having a significant weight when compared to other leading work-streams across the theory of change.

This pathway distinguishes between the changes that need to happen to both the formal enabling environment through policymaking, as well as the informal norms within the sector that affect vulnerable members. We clearly laid out these two different areas of change at the intermediate level, recognising the distinction between the changes targeted to the formal and informal rules.

**Pillar 3: Farming communities experience better connectivity, health and education outcomes**

With only two work-streams, the third pillar is the least explored by current initiatives, with only 40 SLIs working in this area. At the intermediate outcome level, this pathway describes improvement in nutrition standards, as well as improved access to schools, health, communication and transport infrastructure. The change pathway we have depicted at the immediate outcome level firstly includes the improvement of knowledge surrounding nutritious food, particularly for mothers and children. In our analysis we could not identify a change in knowledge or incentives leading to improved access to basic infrastructures at the intermediate level clearly across the SLIs. This highlights

**40 Sustainable Livelihood Initiatives | 2 workstreams**

**Key drivers:**

- Community facilities
- Nutrition

that the sector is mainly looking at the access to schools, health facilities, communication / transport infrastructures as a supply challenge and responding in the main part with direct delivery. On the other hand, it is important to note that there are a limited number of initiatives in this area aiming to improve the skills of communities to advocate government and international actors or others to fund this work, but perhaps are not gaining significant enough traction with these funders to successfully advocate this as a means to change so we have not included it here as a clear pathway.

**Pillar 4: The forest is recovering and the farming communities become more resilient to climate change**

This pillar is the third most popular, with 61 initiatives (66 percent of the total) working on seven distinct work-streams. At the immediate outcome level, we identified three key actors that are targeted for change; firstly improving the knowledge of farmers towards harmful environmental practices, secondly improving the knowledge of national actors (both at government and community level) surrounding the formal and informal rules around land use, and thirdly targeting buyers within the cocoa sector and improving their knowledge of sourcing from areas at risk, and how to conduct carbon targeting. These knowledge improvements in turn lead to both farmers applying improved

**61 Sustainable Livelihood Initiatives | 7 workstreams**

**Key drivers:**

- Farm mapping
- Repairing riverbanks and the rainforest
- Farmers' environmental practices

environmental practices, as well as cocoa buyers ensuring their sourcing is targeted from sustainable areas and improving work in carbon targeting. The work-streams that are key drivers of change are improving farmer's knowledge of environmentally friendly practices where 51 SLIs are working, farm mapping, and finally actively repairing riverbanks and replanting the forest.

We felt it especially important to distinguish the roles of different actors within this pillar, how policymakers, farmers and buyers in the value chain are all implementing work in collaboration with each other to make change at the sector level.

Key drivers:

- Public awareness
- Influencing national government
- Cocoa industry alliances

**Pillar 5: Demand for sustainable cocoa increases in as a result of coordinated and evidence-based initiatives**

The fifth pillar is as popular as the first one, with 76 initiatives working towards change in this area.

The change pathway in this area recognises two key areas for knowledge improvement at the immediate outcome level. Firstly, improving the awareness of what other actors in the sector are doing towards sustainable livelihoods and how best to achieve change. This includes research towards best practices, as well as pursuing partnerships with others to achieve change at scale. Secondly, seeking to increase the knowledge of both cocoa

buyers, and end-consumers, so awareness is raised towards how to make decisions that result in sustainable livelihoods for cocoa farming communities. This then is expected to lead to more coordinated and effective initiatives, as well as improved sourcing and purchasing decisions by buyers and end consumers, ultimately resulting in the increase of demand for sustainable cocoa, and more coordinated sustainable livelihoods initiatives. The three key driving work-streams under this pathway are seeking out alliances within cocoa sector, influencing national governments and raising public awareness of the consumer.

When looking at the framework as a whole, we considered it critical to ensure that each change statement (at all levels) was clearly describing whether the change was targeting specific actors within the sector. We then realised that it is not just the farming communities that are targeted for change, but also policymakers, buyers and consumers. Whilst this demonstrates the sector is implicitly thinking

comprehensively about change, we also noticed the picture is somehow scattered. This is especially emerging when looking at policymakers being to some extent functional to the realisation of the second, fourth and fifth pillars but almost completely overlooked by initiatives working towards incomes (first pillar) and health outcomes, education and access to basic services (third pillar).



## THE STRENGTH OF THE PILLARS OF CHANGE – A VIEW FROM THE FARMERS

As we constructed the sector theory of change during the research, we also sought to explore the views of farmers to test the strength of model, identifying where the perceived needs of farmer groups align with what the sector is pursuing to achieve sustainable livelihoods, and identifying where implementers and farmer views are more disjointed.

Each farmer group was asked to discuss two open ended questions:

***‘Out of the activities being conducted within your community/union, what could be done better?’***

***‘What are the priorities of your community/union going forward?’***

The first question allowed us to identify where farmer needs are not quite being met by existing initiatives, and the second question opened the needs of the focus group to a wider remit to include needs that may not be being addressed by the SLIs that are currently operating in their area. We aggregated, recorded and coded the responses across the 12 focus groups and mapped them against the DFID Sustainable Livelihoods framework as per figure 12 (in a previous section in this report) and then according to the sector theory of change, at all its levels. We then generated a RAG rating against the model in figure 15, identifying in green where farmers’ perceived needs aligned within sector approaches, and areas where there was less alignment mapped in amber, or red when we identified little or no alignment.

**▶ NOT RELEVANT:** Needs relevant to this area were mentioned less than three times.

**▶ RELEVANT BUT NOT A PRIORITY:** Needs relevant to this area were mentioned between 5 to 20 times.

**▶ RELEVANT AND A PRIORITY:** Needs relevant to this area were mentioned more than 21 times.

There are two important caveats we want to express to the reader before going into the analysis and discussion of this exercise.

First, it must be noted, as discussed in the methodological section, that while we do not consider these views to be statistically representative of all farmers in the region, they are a critical perspective to include, with the union executives we interviewed elected by societies to represent the views of some 20,000 farmers.

Second, we discourage the reader to interpret a red and amber rating as unworthy of sector effort and green as pointing the way to go forward. Instead, this analysis is telling us where there is no alignment between the approach at the sector level and what farmers’ representatives perceive as being their needs and priorities. On the other hand, whilst this is not necessarily showing where future initiatives should focus their efforts or whether these pathways of change are effective on the journey to sustainability, this is a helpful exercise to identify emerging trends that should inform the way forward for the sector, and where alignment exists between the priorities of farmers and implementers of SLIs.

Cocoa farming communities achieve sustainable livelihoods for themselves and their future generations									
Development impact									
<b>Final outcomes</b> (changes in performance of the sector/economy/value chain)									
<p><b>Pillar 1:</b> Farming communities gain higher incomes from their economic activity</p> <p>SLSs: 76 Work-streams: 10</p>									
<p><b>Pillar 2:</b> The cocoa sector has more inclusive social systems and effective policies to protect the most vulnerable members</p> <p>SLSs: 60 Work-streams: 6</p>									
<p><b>Pillar 3:</b> Farming communities experience better connectivity, health and education outcomes</p> <p>SLSs: 40 Work-streams: 2</p>									
<p><b>Pillar 4:</b> The forest is recovering and the farming communities are increasingly more resilient in face of climate change</p> <p>SLSs: 61 Work-streams: 7</p>									
<p><b>Pillar 5:</b> Demand for sustainable cocoa increases in as a result of coordinated and evidence-based initiatives</p> <p>SLSs: 76 Work-streams: 5</p>									
<b>Intermediate outcomes</b> (changes in practices/policies/strategies of communities/firms and organisations)		Farming communities diversify income away from cocoa		Farmers and farmer groups are more professional and entrepreneurial		Social norms change in support of women, older farmer, children and young people		Farmers have safe working conditions and security of assets through contractual obligations and protection policies	
<b>Immediate outcomes</b> (changes in knowledge/incentives)		Farming communities increase knowledge and/or means to set up alternative income sources		Farmers access to good quality inputs and finance and have improved sector and technical knowledge		Cooperatives improve knowledge of cocoa sector and apply appropriate governance of farmer groups		Farming communities incentivised to protect children, encourage youth and empower women	
				Cocoa governance actors have knowledge of improved potential policies		Farmers (including informal workers) are aware of their contractual rights and improve knowledge of protection policies.		Farming communities have increased knowledge and access to more nutritious food	
				<b>Not clearly identified.</b>				Farming communities have access to improved schools, health, communications and transport infrastructure	
		Farmers understand harmful environmental practices		National and community regulators improve knowledge for policy creation surrounding land use		Cocoa buyers improve knowledge of sourcing areas at risk of deforestation and learn how to effectively conduct carbon targeting		Increased knowledge of what other actors are doing in the cocoa sector and what works to support sustainable livelihoods	
								Farmers apply good environmental practices	
								Cocoa buyers improve their performance towards carbon targets and avoid sourcing from protected areas as per improved governance frameworks	
								Coordinated and evidence-based initiatives and policies are implemented	
								Consumers and sector buyers make improved decision on sourcing and buying sustainable cocoa products	

Figure 15: Theory of change for the cocoa sector RAAG rated against farmer priorities (author's own)

## Analysis

The comparison of farmer views against the sector theory of change allows us to draw three key conclusions. Firstly the income and the basic services and infrastructure pillars (1 and 3) seem the ones responding more directly to farmers' perceptions of their needs and priorities; secondly they generally consider the sector ambitions on social inclusion and rights (pillar 2) and cocoa demand and partnership (pillar 5) as important, but not an immediate priority; finally that there is little expressed need to improve protection of the forest and community resilience (pillar 4), this being the area of the theory of change with the least alignment between the sector and the farmers groups. Recalling the mapping of farmer needs against the DFID Sustainable Livelihoods Framework in the previous section, we find that it is the more elite farmers as union executives that largely prioritise the change pathway in pillar 1, and society level farmers that prioritise the pathway in pillar 3 with the focus on community facilities.

Looking at the first and third pillars in more detail, we are also able to identify where there is more support towards some pathways of change, shown as green in figure 15. If we take a closer look at pillar 1, (farmers gaining higher incomes) we can clearly see that farmers are prioritising the improvement of their own cocoa farms, discussing elements such as the need to the access to inputs, finance and training that is made available to them through the initiatives. They are primarily seeking to become more professional in cocoa (by improving business skills and increasing yields) as opposed to seeking alternative income streams through diversification.

Indeed, while there was a recognised need to supplement their own incomes from sources other than cocoa, there was a consensual positioning from the farmers struggling to drive demand for their new products or lacking the equipment or capital to set up a new income stream. Hence it appears that farmers choose to prioritise spending time on activities such as working on their cocoa farms or prioritising time in the household, especially for female farmers who also have a burden of care within the household.

When looking into pillar 3, (Farming communities experience better connectivity, health and education outcomes) there seems to be an overwhelming focus on access to better health, transport and education infrastructure, with nutrition left unmentioned. Farming communities wanted to see new schools and teachers in the area, better transport connections to move cocoa and other products and make easier journeys to health centres. They wanted to have police posts in place and easier access to maternity wards. They wanted clean water. All of these types of needs were expressed firmly and transversally by all consulted farmer groups, and particularly strongly across all the society focus groups that were conducted.



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**“ WE ARE GETTING SOME PROCEEDS AT THE MOMENT BUT IT IS NOT ENOUGH TO PAY FOR (HIRED LABOUR). ”**

Cocoa farmer, Ghana Brong-Ahafo region

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**“ ... I HAVE NOT BEEN ABLE TO SELL ALL THE SOAP... WE DID NOT PRODUCE ON A LARGE SCALE AS THERE WAS NOT MUCH DEMAND. ”**

Female cocoa farmer, Ghana Eastern region

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**“ WE RECOMMEND THAT CHILD LABOUR TRAININGS GO BEYOND THE GROUP AND TARGET THE WHOLE COMMUNITY, AND THAT CONTINUOUS TRAINING TAKES PLACE. ”**

Cocoa farmer, Ghana Eastern region

Within pillar 2 (The cocoa sector has inclusive social systems and policies to protect the most vulnerable), farmers often brought up child labour as an issue, and one that needed to be extended to farmers that are not part of their organised group, using embedded governance structures within the communities such as traditional leaders or a focus on the school curriculum. Several farmer groups also identified issues with existing interventions such as the voluntary nature of the child labour monitoring and remediation schemes and the lack of funding for remediation activities. Finally, several farmer groups identified the lack of support for elderly farmers who are unable to work and needed to invest more resources in their farms to keep their cocoa trees viable.

Pillar 2 also covers changes to formal norms, such as contractual protections for farmers, and many of the groups identified the need for contractual timings to be secured which allows them to plan financially for their futures. A lack of understanding on when payments would be received or total volumes being required were highlighted as a key challenge for the farmers, as it limits their ability to adjust efforts to meet demand and find the time to engage in other income generating activities. Farmer groups did not particularly identify any need for policy or law change that also sits within this pillar, primarily identifying the need for formal contracts over national level legal changes.

Pillar 5 (Demand for sustainable cocoa increases in as a result of coordinated and evidence-based initiatives), became an area of relevance especially when discussing collaboration and coordination of efforts, both at the society and union level. They expressed that implementers can help society and union leaders manage the expectations of farmers in their area and farmer groups can ensure that initiatives have maximum buy-in from local communities and are targeted at the areas of most need. There were mixed views on whether existing SLIs were working successfully with community structures – some were engaging with them explicitly, strengthening and respecting existing norms, and others were flagged to have circumvented these farmer community structures which was met with frustration. Therefore although farmers did not prioritise this as highly as the needs expressed in pillars 1 and 3, this area of change was still considered important to farmer groups to ensure the consistency and coordination of support provided to them by SLIs.

Our final conclusion is the recovery of the forest and becoming resilient to climate change (pillar 4) was not identified across the farmer groups as a priority, meaning that farmers more frequently identified needs and barriers relative to the other pillars. This may equally be because it is easier to articulate individual or village specific needs as opposed to the collective changes that climate change interventions require, but equally shows this is not the immediate priority that farmers can or will articulate as part of their direct needs. As we mentioned in the presentation of this analysis, this should not be interpreted by the reader as this pillar not being important to the farmers, but a relevant finding for anyone who wants to design and implement initiatives in this area.

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**WE RECOMMEND THAT CHILD LABOUR TRAININGS GO BEYOND THE GROUP AND TARGET THE WHOLE COMMUNITY, AND THAT CONTINUOUS TRAINING TAKES PLACE.**

Cocoa farmer, Ghana Eastern region

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**WE NEED TO KNOW OUR FUTURE FINANCIAL EXPECTATIONS.**

Cocoa union executive, Ghana Brong-Ahafo region

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**DEEPER RELATIONSHIPS WITH THE UNION CAN ALLOW THE UNION TO INFORM PEOPLE WHEN A PROGRAMME IS HAPPENING... THOSE THAT ARE NOT INCLUDED WILL THEN NOT FEEL BAD ABOUT IT.**

Cocoa union executive, Ghana Eastern region



Asunafo North Union meeting, Ghana

# SECTION 3: KEY INSIGHTS AND CALLS TO ACTION

In this final section of the report we formulate three calls to actions directed to all existing and future implementers of sustainable livelihoods initiatives in West Africa. The calls to action are built upon the analysis we carried out so far and are specifically underpinned by nine key insights, all listed and expanded also in this section.

## **Call to action 1: Make partnerships work in new and better ways**

**We call for current and future initiatives to strive for better coordination and new and impactful ways of collaborating, recognising each other's strengths and supporting areas of weakness.**

This call is motivated by clearly defined issues, namely the high likelihood of programme overlap and lack of understanding of roles and responsibilities between different implementing actors, which would instead benefit from more coordinated and transparent ways of working together. We also further point out the critical function for the national governments of Côte d'Ivoire and Ghana in shaping and leading partnerships, as they have especially been doing throughout 2019 and 2020 with the introduction of the Living Income Differential, and for the buyers to ensure their resources are allocated to the best use in a coordinated fashion.

### **INSIGHT 1:**

**There is a high likelihood of overlap between initiatives in the region, which requires effective coordination between implementers and farmer groups.**

This study found that over 2.8 million farmers in Côte d'Ivoire and Ghana are participating in 92 SLIs currently active in the region. If we consider that the best available estimates indicate overall there are 2 million cocoa farmers in the region, this points towards multiple levels of support to the same farmers. Whilst farmer organisations confirmed this overlap, they usually did not see this as being a challenge and instead an opportunity for them to connect and work with their membership (in the case of union leaders) and wider networks.

**“ IN ONE AREA THERE ARE SO MANY IMPLEMENTERS OF THE SAME PROGRAMME, BUT THEY ARE NOT COORDINATING! YOU SEE THE SAME FARMERS WORKING WITH DIFFERENT PEOPLE LISTENING TO THE SAME INFORMATION. CO-OPERATION IS QUITE LOW. ”**

Industry informant, cocoa sustainable Agriculture consultant

On the other hand, our research also found that overlap was not coordinated and visible to the implementers of SLIs – this affected correct attribution as to which approaches are working (and which are not) to achieve tangible progress for farmers. We think there is then an opportunity for SLIs to enable better coordination of interventions by strengthening farmer organisations to have a more active role in coordinating interventions among the farmers and their communities.

**“ THERE ARE COLLABORATIVE TRAININGS BUT ALSO A LEVEL OF OVERLAP... BUT WE DON'T FEEL LIKE THIS IS A PROBLEM AS IT DEEPENS UNDERSTANDING WITH THE FARMERS. ”**

Cocoa union executive, Ghana Eastern region

Whilst the farmers we reached through our fieldwork were able to confirm that overlap is not problematic to them, how this is perceived by farmers that are not receiving any support is not captured. This points again at our first call to action, and highlights the needs for future initiatives to focus on cocoa farmers that are less likely to be supported by currently operating initiatives – this area also can benefit from new and better ways of partnering and coordinating efforts.

## INSIGHT 2:

**Roles and responsibilities for delivery, particularly around building community facilities, are not clearly defined within the sector**

Our research found that societies prioritise the development of community facilities far more than sector does through active SLIs.<sup>94</sup> Interviews with key informants also indicated consensus in the sector that there has been limited success with the sustainable establishment of community facilities – for example with the initiatives being unsuccessful in setting up effective governance for structures such as water wells or schools, which are needed to ensure their continued effectiveness.



Pairing this finding to our observation that almost half of all initiatives (40 of them)<sup>95</sup> are working on improving community facilities as part of their delivery model, there is a clear need to determine the most effective roles and responsibilities for actors working in this area and most likely across most areas of delivery.

**SOME PROJECTS PROVIDE WELLS FOR COMMUNITIES BUT AS SOON AS SOMETHING GOES WRONG WITH THE PUMP, THE WELL IS NOT USED ANYMORE. (WE) DID A STUDY OF SOME WELLS IN COMMUNITIES AS WE REALISED THERE ARE WELLS ... BUT SOMETIMES COMPANIES HAVE NOT ALSO SET UP A STRUCTURE TO MANAGE THE WELLS. THEREFORE AS SOON AS THE WELL FAILS THE COMMUNITIES RAISE THEIR HANDS IN DESPAIR.**

Industry informant, chocolate manufacturer

What is the role of the state? What is the role of the farmer unions and societies? How much support is the sector obliged to give and in what form? There is a need to establish which actors should take responsibility for what in ensuring farmers can achieve a sustainable livelihood. Such questions require explicit exploration in the future and part of our planned analysis will indeed be dedicated to this in the next phase of this project.

## INSIGHT 3:

**National governments are critical allies on the ground for initiatives to be able to build partnerships that work and achieve lasting impact.**

Our interviews with key informants found national government initiatives to be particularly effective at achieving fast change at a sector level, as well as building long lasting relationship with the farmers. The increasing importance of the cocoa bodies instituted in the two countries, the size of their tax revenue and their ability to effectively put in place legal and price regulations, make the governments of Côte d'Ivoire and Ghana critical partners for all implementers of SLIs, especially in the current political climate with the introduction of new joint regional legislation for pricing.

**THERE IS INCREASING SUPPORT FROM INDUSTRY TOWARDS REGULATION.**

Industry informant, non-profit research organisation

We recommend that any future partnership will explore new and better ways of working with national governments in this region to design and implement relevant and impactful initiatives. We also invite governments to hold future initiatives to account and clearly state their role in directly forming and leading partnerships to achieve sustainable livelihoods for farming communities in this region – a role we already see is taking shape and look forward to seeing how this works with existing sustainability initiatives.

<sup>94</sup> Please see figures 11 and 12 for reference to these percentages.

<sup>95</sup> Please see figure 8 for reference.

## INSIGHT 4:

There is great potential for effective initiatives to be implemented by cocoa buyers if they are able to resolve current duplication of efforts through skilful partnering

Buyers are the largest group of actors (42 percent of the total) to invest resources and technical capacity towards implementing sustainability initiatives for cocoa farming communities in the region.

Also in light of the overlap in farmer and geographic targeting affecting the sector, these players have a leading role to ensure that efforts are increasingly more coordinated to effectively contribute towards sustainable livelihoods of cocoa farming communities. We believe it is promising that partnerships appear to be on the rise, with the establishment of large initiatives such as the Cocoa and Forests Initiative, incorporating over 30 leading companies operating in the region.

**“ONE EMERGING APPROACH THAT I LIKE IS COLLABORATION. THE INITIATIVES... ARE AWARE THAT THEY CAN'T DO THIS BY THEMSELVES.”**

Industry informant, chocolate manufacturer

Also in light of the overlap in farmer and geographic targeting affecting the sector, these players have a leading role to ensure that efforts are increasingly more coordinated to effectively contribute towards sustainable livelihoods of cocoa farming communities. We believe it is promising that partnerships appear to be on the rise, with the establishment of large initiatives such as the Cocoa and Forests Initiative, incorporating over 30 leading companies operating in the region.

We encourage the continued integration of initiatives, and strongly recommend that partnership particularly targets effective on the ground collaboration to ensure overlaps are not encountered during delivery. On the other hand, we also recommend that new partnership efforts should carefully address the risk of these types of initiatives extending dependency on shareholder driven partners with only a few influential and economically strong players being able to lead the work of SLIs.



Cocoa farmers attending a meeting in Ghana

**Call to action 2: Improve support for farmers that are being left out**

**We call on the sector to consider redirecting current initiatives and design future programmes to improve their support for sharecroppers, labourers and farming communities living in marginalised geographic areas.**

This call refers to farming groups that are not explicitly supported by current initiatives – such as sharecroppers, labourers and cocoa farmers in regions that do not produce high enough quantity and required quality of cocoa.

**INSIGHT 5:**

**Sharecroppers and labourers are recognised by very few SLIs and therefore represent a much-needed area of focus going forward**

Our analysis found that the needs of sharecroppers and labourers are often not specifically targeted by SLI implementers. Sharecropping is widespread across the two countries, seen as a route into cocoa farming and an important form of land ownership, with estimates stating that as much as three-quarters of cocoa production may come from sharecropped farms.<sup>96</sup> For many young sharecroppers, we found that land ownership is a necessary condition for investing in cocoa, and often unrealisable ambition for those who are trying to establish themselves as cocoa farmers in the long term. Sharecroppers may also have to ask permission from farm owners before participating in SLIs or applying learnings from SLIs onto the cocoa farms. These represent obvious barriers for the successful implementation of SLIs and hence it is important and necessary for SLI implementers to engage closer with the needs of this group of farmers.



**‘I’M SURE IN FIVE YEARS’ TIME THERE WILL BE A FOCUS ON FORCED LABOUR AS THIS IS ONE OF THE KEY PROBLEMS IN COCOA FARMING – IF YOU ARE A SMALLHOLDER YOU WILL HIRE ADULT LABOUR IN HARVEST TIME AND THERE IS NOTHING PROTECTING THESE WORKERS AT THE MOMENT FROM HARM. THERE ARE HUMAN TRAFFICKING ISSUES AND SO ON. EVERYTHING THAT IS HAPPENING WITH CHILD LABOUR IS HAPPENING WITH HIRED LABOUR AS WELL. THIS WILL BE THE NEXT THING THAT HAPPENS.’**

Industry informant, not-for-profit organisation

Our analysis also highlights that while there are many informal agreements in place, ‘labourers’ remains a very fluid category, all having in common little to no recognised formal structures or contractual protection in place. Furthermore, most of the farmers we consulted mentioned the need for labourers and young cocoa farmers to learn the fundamentals of cocoa farming by starting out as labourers on a cocoa farm. These findings well match the concern that we identified amongst some of the sector key informants that forced labour represents a risk area for implementers and one that we recommend the sector should address in the future.

**INSIGHT 6:**

**Sustainable livelihood initiatives are targeting both geographic areas and farmers with the most potential to produce high quantities of quality cocoa with the risk of leaving completely isolated farmers in other cocoa regions.**

Our analysis showed there is an overlap of geographical areas targeted by SLIs and comments from industry informants supported the concept that companies seek to implement SLIs in the areas where the highest quantity and quality of cocoa beans are yielded. However, this could be to the detriment of cocoa farmers that reside in cocoa regions with lower productivity and quality of their yield and hence less likely to be targeted by SLIs. Although this geographic focus may be rational to pursue, especially considering the overproduction challenge described earlier in the report, this could also

mean that some cocoa farmers are left behind by existing sustainable livelihood initiatives who could instead benefit in different ways, for example from income diversification activities.

**‘DEFINITELY, THE WESTERN SIDE (IS A MORE TARGETED REGION) COMPARED TO THE EASTERN REGION. THE EASTERN REGION IS HIGHLY RAVAGED (BY DISEASE).’**

Industry informant, national government

<sup>96</sup> Robertson (1987) citing Hill (1956)

**Call to action 3: Design new initiatives considering both farmer voice and how the sector functions**

**We call for the sector to put the needs highlighted by farmers at the centre of new initiatives, integrating their views with detailed analysis of where the system is not working for them.**

To support this call, we examine the alignment of priorities between SLIs and farmers, consider how farmer co-operatives could be supported to reach more farmers and discuss how initiatives today focus mainly on upskilling the farmer as an individual as opposed to address constraints within the sector to create sustainable change for cocoa farming communities.

**INSIGHT 7:**

**The alignment of priorities between initiatives and farmers in some areas, and its lack in others indicates there is a need for SLIs to put in place improved dialogue with cocoa farming communities.**

Our exercise to align farmers needs to the sector theory of change identified that whilst sector and farmers align on initiatives designed to improve incomes and health and education outcomes (pillars 1 and 3 of the sector theory of change), there is a misalignment on other areas such as the recovery of the forest and climate-resilient behaviours as described in pillar 4. In general, whilst the

farmers' needs can all map against the theory of change we identified for the sector, we believe there is a need to enrich the dialogue between SLI implementers and farmer groups and ensure priorities for delivery are better understood and effectively pursued in a concerted effort by the sector putting farmers and their communities in the driving seat.

**INSIGHT 8:**

**Emerging changes in market structures and commercialisation of co-operatives could facilitate SLIs to support non-organised farming groups.**

The majority of cocoa in both countries is sold through local commercial entities – these are the pisteurs in Côte d'Ivoire and procurement clerks in Ghana. As little as six percent of cocoa in Ghana<sup>97</sup> and 20 percent of cocoa in Côte d'Ivoire<sup>98</sup> is sold through co-operatives. With no need to be part of a co-operative to sell their cocoa, farmers have little commercial incentive to join co-operatives, and therefore the co-operative structure relies on farmers' desire to pay membership fees to solely gain benefits such as access to premium payments, local representation and easier access to the benefits provided by SLIs.

At the moment, it appears farmers do not consider these reasons to be enough of an incentive to join co-operatives, with our estimates showing that 50 – 89 percent of farmers are not part of co-operatives. With most of the implementers using the structures of co-operatives as a conduit to their activities, it is arguable that non-organised farmers – usually also part of the most marginalised groups – are less likely to benefit from initiatives.

On the other hand, our research identified emerging trends highlighting the creation of a system of incentives for currently non-organised farmers to access to the cocoa market through organised structures – for example our field research showed that several farmer co-operatives were applying for LBC licenses

from COCOBOD to enhance their commercial offer in Ghana. We then recommend that SLI implementers should look into this and other emerging trends and explore how future interventions could enable changes in market structures, such as commercialisation of co-operatives, to support farmers that are not currently being part of farming organisations and extend the support these can provide to enable sustainable livelihoods for all cocoa farmers.



Women cocoa farmers working on a demonstration plot, CAYAT co-operative, Côte d'Ivoire

<sup>97</sup> COCOBOD (2016)

<sup>98</sup> Fair Labour Association (2016)



## INSIGHT 9:

**There is a trend within delivery models and sector stakeholders on the need to focus on upskilling individual farmers as the predominant method of implementation and a lack of focus on the structural constraints of the cocoa sector**

Our analysis identified the delivery model of skills, training and inputs provision as the predominant method of delivery amongst SLIs, as well as a general significant focus on human capital. Indeed, we identified a trend amongst implementers assuming that it is the farmer who solely needs to take action to improve their livelihoods, especially through upskilling themselves and taking a conscious choice to apply (or not) the skills the initiative is providing to them. This takes the pressure off implementers to conduct interventions which understand, engage and improve general structures and processes within the cocoa sector, when the farmers alone are not in the position to affect these. For example, long term contracts, addressing land ownership rights and pricing mechanisms could be considered methods to address structural constraints of the sector yet only 15% of initiatives are targeting methods which either introduce premiums or price changes, 3% are looking at land rights and 7% are including long term contractual commitments as part of their sustainability work – all of which have implications for the how the sector functions.<sup>99</sup> It is important to note that any initiative should carefully consider the design of work-streams to take into account how their work might affect the behaviours of other actors – negative implications on the livelihoods of farmers of such structural shifts in the sector could become endemic if not monitored carefully.

**‘I’M SURE IN FIVE YEARS’ TIME THERE WILL BE A FOCUS ON FORCED LABOUR AS THIS ‘I THINK THERE ARE MASS APPROACHES WE CAN TAKE TO POVERTY ALLEVIATION AND SUSTAINABLE DEVELOPMENT BUT AT THE END OF THE DAY IT REALLY COMES DOWN TO AN INDIVIDUAL AND THE BEHAVIOURS THEY ARE WILLING TO TAKE ON OR NOT.’**

Industry informant, not-for-profit organisation

Even when human capital approaches are the right ones, we then recommend that SLIs should invest more time and resources in understanding the incentives for the farmer to take up better agricultural practices, by acknowledging that the vulnerability context affects their decisions. For example, if it is the sharecropper that is responsible for producing cocoa on the farm but the farm owner that receives the premium, then the sharecropper has no incentive to either attend or apply the learnings from training they have attended.

To sum up, if human capital approaches are not rooted in the specific context and do not take into consideration sector structures and processes, we believe that SLIs will not achieve their full potential in achieving lasting change for the farmers and their communities.

<sup>99</sup> Please refer to the Implementation models section of this report for source of percentages.

## LOOKING AHEAD

This study serves as a starting point for the Fairtrade Foundation-Mondelēz International Partnership to lead the industry towards ensuring we can work together in achieving sustainable livelihoods for cocoa farmers. We hope our study will help progress the conversation around sustainability in cocoa, and we invite others to engage with our analysis, add their own thoughts and perspectives, and make constructive challenges. But ultimately, we hope this report goes some way to supporting cocoa farming communities in their journey towards sustainable livelihoods for themselves and future generations.

In the next phase of this project, we will build on our current understanding of the sector and take a proactive role in making the calls to action a reality. We will take our learnings on what the sector is doing now, and recommend how delivery models could change to create a more sustainable future for cocoa. To do this, we will firstly review our sector theory of change, aiming to provide recommendations on how to coordinate actors and initiatives to achieve sustainable livelihoods for cocoa farmers and their communities. Finally, we will validate our analysis with farmers, ensuring that our final proposal of recommended interventions is in line with farming communities' needs.

### OVER THE REST OF 2019 AND DURING 2020, WE WILL:

- 1 Draw a roadmap for coordinated efforts in the sector and make partnerships more effective in achieving sustainable livelihoods for cocoa farming communities.
- 2 Make sure that the roadmap looks at the needs and priorities of farmers that are being left behind
- 3 Provide key recommendations to Cocoa Life for innovative and inclusive interventions that will address systemic constraints in their supply chain.

In line with our third call to action, we will also make sure our recommendations to Cocoa Life will be addressing farming communities' needs and constraints by including market system analysis and a farmer-centric approach in our design methodology.



Farmers participating in a training workshop, Côte d'Ivoire

## ANNEXES

### ANNEX A – List of Sustainable Livelihood Initiatives included in the research.

No.	Name	Lead implementer	Funder	Link (all accessed 21.1.19)
1	International Cocoa Initiative	ICI	Cocoa partners and donors	<a href="https://cocoainitiative.org/about-ici/about-us/">https://cocoainitiative.org/about-ici/about-us/</a>
2	Farmgate Cocoa Alliance (FCA)	Farmgate Cocoa Alliance (FCA)	Cocoa sector members	<a href="https://cocoa-alliance.org/">https://cocoa-alliance.org/</a>
3	Cargill Cocoa Promise	Cargill	Cargill	<a href="https://www.cargill.com/sustainability/cocoa/sustainable-cocoa?gclid=EAlaQobChMI8cTQk9bs3AIVeUR3Ch27Eg0KEAMYASAAEgK1CPD_BwE">https://www.cargill.com/sustainability/cocoa/sustainable-cocoa?gclid=EAlaQobChMI8cTQk9bs3AIVeUR3Ch27Eg0KEAMYASAAEgK1CPD_BwE</a> <a href="https://www.cargill.com/sustainability/cocoa/sustainable-cocoa?gclid=EAlaQobChMI8unHrt393AIVx4XVCh2jw8tEAAYASAAEgLPBvD_BwE">https://www.cargill.com/sustainability/cocoa/sustainable-cocoa?gclid=EAlaQobChMI8unHrt393AIVx4XVCh2jw8tEAAYASAAEgLPBvD_BwE</a>
4	Ferrero Farming Values programme	Ferrero – multiple partners	Fererro	<a href="https://www.ferrerocsr.com/our-responsibility/agricultural-practices/sustainable-raw-materials/?lang=EN">https://www.ferrerocsr.com/our-responsibility/agricultural-practices/sustainable-raw-materials/?lang=EN</a>
5	CocoaPlan	Nestle - key is ICI, but multiple partners	Nestle	<a href="http://www.nestlecocoaplan.com/">http://www.nestlecocoaplan.com/</a>
6	Cocoa for Generations as part of Sustainable in a Generation	Mars – multiple partners	Mars	<a href="https://www.mars.com/sustainability-plan/cocoa-for-generations">https://www.mars.com/sustainability-plan/cocoa-for-generations</a>
7	Cocoa Life	Mondelēz – multiple partners	Mondelēz International	<a href="https://www.vsointernational.org/vso-and-mondelez-building-a-better-life-for-cocoa-farmers">https://www.vsointernational.org/vso-and-mondelez-building-a-better-life-for-cocoa-farmers</a> <a href="https://www.careinternational.org.uk/get-involved/corporate-partnerships/who-we-work-with/Mondelez">https://www.careinternational.org.uk/get-involved/corporate-partnerships/who-we-work-with/Mondelez</a> <a href="https://www.Cocoa.Life.org/">https://www.Cocoa.Life.org/</a>
8	Forever Chocolate/ Cocoa Horizons	Barry Callebaut – multiple partners	Barry Callebaut	<a href="https://www.barry-callebaut.com/sustainability">https://www.barry-callebaut.com/sustainability</a> <a href="https://www.cocoahorizons.org/program">https://www.cocoahorizons.org/program</a> <a href="https://www.barry-callebaut.com/en/group/forever-chocolate/cocoa-sustainability/biolands-barry-callebauds-direct-sourcing-company">https://www.barry-callebaut.com/en/group/forever-chocolate/cocoa-sustainability/biolands-barry-callebauds-direct-sourcing-company</a>

No.	Name	Lead implementer	Funder	Link (all accessed 21.1.19)
9	<b>Cocoa and Forests Initiative</b>	IDH, WCF, (including all their membership) Ministère des Eaux et Forêts (CDI), Ministry of Lands and Natural Resources (Ghana)	UK Department for International Development, Dutch Ministry of Foreign Affairs, Swiss State Secretariat for Economic Affairs, World Bank, Arysta Callivoire, Barry Callebaut, Blommer Chocolate Company, Cargill Cocoa and Chocolate, Cémoi, Chocolats Halba, Cocoanect, Cococo Chocolatiers, ECOM Group, Fazer, Ferrero, General Mills Inc., Godiva Chocolatier Inc., Guittard Chocolate Company, The Hershey Corporation, Indcresa, Lindt & Sprüngli Group, Marks & Spencer Food, Mars Wrigley Confectionery, Meiji Co. Ltd.(1), Mondelez Europe, Nestlé, Olam Cocoa, Sainsbury's, SIAT, Toms Group, Touton, Tree Global, Unilever, Valrhona, J.H. Whittaker & Sons(2) (1) (2)Ghana only	<a href="https://www.idhsustainabletrade.com/initiative/cocoa-and-forests/">https://www.idhsustainabletrade.com/initiative/cocoa-and-forests/</a> <a href="https://www.worldcocoafoundation.org/initiative/cocoa-forests-initiative/">https://www.worldcocoafoundation.org/initiative/cocoa-forests-initiative/</a> <a href="https://www.idhsustainabletrade.com/initiative/cocoa-and-forests/">https://www.idhsustainabletrade.com/initiative/cocoa-and-forests/</a> <a href="https://www.gov.uk/government/news/hrh-prince-of-wales-hears-how-uk-aid-is-helping-cocoa-farmers">https://www.gov.uk/government/news/hrh-prince-of-wales-hears-how-uk-aid-is-helping-cocoa-farmers</a> <a href="https://www.worldcocoafoundation.org/initiative/cocoa-forests-initiative/">https://www.worldcocoafoundation.org/initiative/cocoa-forests-initiative/</a>
10	<b>Pro-Planteurs initiative</b>	German Sustainable Cocoa Initiative (GISCO)	GIZ and GISCO	<a href="https://www.kakaoforum.de/en/our-work/pro-planteurs-project/">https://www.kakaoforum.de/en/our-work/pro-planteurs-project/</a> <a href="https://www.giz.de/en/worldwide/63325.html">https://www.giz.de/en/worldwide/63325.html</a>
11	<b>Child Labour Cocoa Coordinating Group (CLCCG)</b>	US Department of Labour	US Department of Labour	<a href="https://www.dol.gov/agencies/ilab/child-labor-cocoa">https://www.dol.gov/agencies/ilab/child-labor-cocoa</a>
12	<b>Touton</b>	Touton – multiple partners	Touton	<a href="https://touton.fr/products/cocoa">https://touton.fr/products/cocoa</a> <a href="http://www.touton.fr/toutons-commitment">http://www.touton.fr/toutons-commitment</a> <a href="http://www.touton.fr/toutons-strategy">http://www.touton.fr/toutons-strategy</a> <a href="http://www.touton.fr/activities">http://www.touton.fr/activities</a>
13	<b>European Cocoa Association</b>	European Cocoa Association	EU cocoa sector members	<a href="https://www.eurococoa.com/en/activities/working-groups/">https://www.eurococoa.com/en/activities/working-groups/</a>
14	<b>Olam Sustainability/ Grow cocoa</b>	Olam – multiple partners	Olam	<a href="http://olamgroup.com/products-services/confectionery-beverage-ingredients/cocoa/sustainability/">http://olamgroup.com/products-services/confectionery-beverage-ingredients/cocoa/sustainability/</a>

No.	Name	Lead implementer	Funder	Link (all accessed 21.1.19)
15	Transparence Cacao	Cemoi – multiple partners	Cemoi	<a href="https://group.cemoi.com/our-commitments/transparence-cacao/">https://group.cemoi.com/our-commitments/transparence-cacao/</a> <a href="https://www.transparence-cacao.com/program/our-goals/">https://www.transparence-cacao.com/program/our-goals/</a> <a href="https://www.transparence-cacao.com/">https://www.transparence-cacao.com/</a>
16	BioPartenaire	Barry Callebaut funder	MasterCard Foundation and Barry Callebaut	<a href="https://frp.org/competitions/innovation/round1-winners/biopartenaire">https://frp.org/competitions/innovation/round1-winners/biopartenaire</a> <a href="https://www.candysector.com/articles/87072-barry-callebaut-reaches-10000-cocoa-farmers-with-mobile-banking-program">https://www.candysector.com/articles/87072-barry-callebaut-reaches-10000-cocoa-farmers-with-mobile-banking-program</a> <a href="http://www.biopartenaire.com/">http://www.biopartenaire.com/</a>
17	Cocoa Renovation and Rehabilitation (R&R) Finance program	Rainforest Alliance	Swiss Development Agency via responsibility's Technical Assistance Facility Association	<a href="https://www.forest-alliance.org/articles/rejuvenating-cote-divoires-cocoa-sector">https://www.forest-alliance.org/articles/rejuvenating-cote-divoires-cocoa-sector</a> <a href="https://www.forest-alliance.org/business/sites/default/files/site-documents/news/documents/rr-finance-pilotproject-email-web.html">https://www.forest-alliance.org/business/sites/default/files/site-documents/news/documents/rr-finance-pilotproject-email-web.html</a> <a href="https://www.confectionerynews.com/Article/2016/07/19/Sustainable-cocoa-sector-needs-long-term-credit-access-for-farmers">https://www.confectionerynews.com/Article/2016/07/19/Sustainable-cocoa-sector-needs-long-term-credit-access-for-farmers</a>
18	West African Cocoa Program	Fairtrade	Fairtrade and cocoa sector actors	Internal
19	Green commodities programme	UNDP	UNDP	<a href="https://www.greencommodities.org/content/gcp/en/home/countries-and-commodities/ghana-cocoa.html">https://www.greencommodities.org/content/gcp/en/home/countries-and-commodities/ghana-cocoa.html</a>
20	Cocoa for Good	Hersheys	Hersheys	<a href="https://www.thehersheycompany.com/en_us/sustainability/shared-business/cocoa-for-good.html">https://www.thehersheycompany.com/en_us/sustainability/shared-business/cocoa-for-good.html</a> <a href="https://www.projectpeanutbutter.org/">https://www.projectpeanutbutter.org/</a>
21	Forest investment programme (Strategic Climate Fund)	COCOBOD, CCC	Climate Investment Fund	<a href="https://www.climateinvestmentfunds.org/country/ghana">https://www.climateinvestmentfunds.org/country/ghana</a>
22	Alliance for Action and Dynamic Agro Forestry Project	International Trade Centre (ITC), International Institute of Tropical Agriculture and the Government of Ghana	Denmark, ITC, international cocoa and food sector buyers, and local private sector organizations	<a href="https://www.agrilinks.org/post/creating-inclusive-and-sustainable-agribusiness-systems-through-alliances-action">https://www.agrilinks.org/post/creating-inclusive-and-sustainable-agribusiness-systems-through-alliances-action</a>
23	WINCC	Solidaridad	UNDP	<a href="https://sites.google.com/site/womenincocoachocolate/home">https://sites.google.com/site/womenincocoachocolate/home</a>
24	Sustainability in Cocoa	Ecom – Multiple partners	Ecom	<a href="https://www.ecomtrading.com/about-ecom-cocoa/">https://www.ecomtrading.com/about-ecom-cocoa/</a> and <a href="https://www.ecomtrading.com/sustainability-in-cocoa-our-vision/">https://www.ecomtrading.com/sustainability-in-cocoa-our-vision/</a>

No.	Name	Lead implementer	Funder	Link (all accessed 21.1.19)
25	Blommer's Sustainable Origins	Blommer	Blommer	<a href="http://www.blommer.com/sustainable-origins.php">http://www.blommer.com/sustainable-origins.php</a>
26	Organic Markets for Development (OM4D)	IFOAM	IFOAM	<a href="https://www.ifoam.bio/en/OM4D">https://www.ifoam.bio/en/OM4D</a>
27	Cocoa Improvement Programme	Solidaridad	Solidaridad	<a href="https://www.solidaridadnetwork.org/supply-chains/cocoa">https://www.solidaridadnetwork.org/supply-chains/cocoa</a>
28	Tony's Chocolonely	Tony's Chocolonely	Tony's Chocolonely	<a href="https://tonyschocolonely.com/uk/en/our-story/tonys-impact">https://tonyschocolonely.com/uk/en/our-story/tonys-impact</a>
29	Utz	Utz	Cocoa sector members	<a href="https://utz.org/what-we-offer/certification/products-we-certify/cocoa/">https://utz.org/what-we-offer/certification/products-we-certify/cocoa/</a>
30	Forest Alliance	Forest Alliance	Cocoa sector members	<a href="https://www.rainforest-alliance.org/articles/rainforest-alliance-certified-cocoa">https://www.rainforest-alliance.org/articles/rainforest-alliance-certified-cocoa</a>
31	ISO cocoa standards	ISO	Cocoa sector members	<a href="https://www.iso.org/ics/67.140.30/x/">https://www.iso.org/ics/67.140.30/x/</a>
32	Cocoa Nutrition Initiative	Sustainable Trade Initiative (IDH) and GAIN	UN	<a href="https://www.gainhealth.org/knowledge-centre/chocolate-bitter-taste-need-tackle-malnutrition-cocoa-farmers/">https://www.gainhealth.org/knowledge-centre/chocolate-bitter-taste-need-tackle-malnutrition-cocoa-farmers/</a>
33	Women's School of Leadership	Fairtrade	Fairtrade	<a href="http://www.fairtrade.org.uk/Media-Centre/Blog/2017/December/Opportunity-for-women-in-West-Africa-through-Compass-School-of-Leadership">http://www.fairtrade.org.uk/Media-Centre/Blog/2017/December/Opportunity-for-women-in-West-Africa-through-Compass-School-of-Leadership</a> <a href="https://www.coop.co.uk/our-suppliers/fairtrade/fairtrade-cocoa">https://www.coop.co.uk/our-suppliers/fairtrade/fairtrade-cocoa</a> INTERNAL DOCS AS WELL
34	Lindt & Sprüngli Farming Program	Lindt & Sprüngli	Lindt & Sprüngli	<a href="https://www.lindt-spruengli.com/sustainability/">https://www.lindt-spruengli.com/sustainability/</a>
35	Meiji Cocoa Support	Meiji	Meiji	<a href="https://www.meiji.com/global/investors/results-and-presentations/integrated-reports/">https://www.meiji.com/global/investors/results-and-presentations/integrated-reports/</a> <a href="https://www.meiji.co.jp/sweets/chocolate/the-chocolate/en/bean-to-bar/">https://www.meiji.co.jp/sweets/chocolate/the-chocolate/en/bean-to-bar/</a>
36	Uncommon Cacao	Uncommon Cacao	Uncommon Cacao	<a href="https://www.uncommoncacao.com/about">https://www.uncommoncacao.com/about</a> <a href="https://www.uncommoncacao.com/abocfa-ghana">https://www.uncommoncacao.com/abocfa-ghana</a>

No.	Name	Lead implementer	Funder	Link (all accessed 21.1.19)
37	Twin Trading	Twin Trading	Twin Trading	<a href="https://www.twin.org.uk/our-approach/">https://www.twin.org.uk/our-approach/</a> <a href="https://www.twin.org.uk/projects-partnerships/divine-and-kuapa-kokoo/">https://www.twin.org.uk/projects-partnerships/divine-and-kuapa-kokoo/</a>
38	The Forest Trust	The Forest Trust	The Forest Trust	<a href="https://www.earthworm.org/">https://www.earthworm.org/</a>
39	Shared Interest	Shared Interest	Shared Interest	<a href="https://www.shared-interest.com/gb">https://www.shared-interest.com/gb</a>
40	Conseil de Café et Cacao	Conseil de Café et Cacao	Conseil de Café et Cacao	<a href="http://www.conseilcafecacao.ci/index.php?option=com_content&amp;view=article&amp;id=119&amp;Itemid=203">http://www.conseilcafecacao.ci/index.php?option=com_content&amp;view=article&amp;id=119&amp;Itemid=203</a>
41	German Initiative on Sustainable cocoa	German Initiative on Sustainable cocoa	Cocoa sector members and GIZ?	<a href="https://www.kakaoforum.de/en/about-us/german-initiative-on-sustainable-cocoa/">https://www.kakaoforum.de/en/about-us/german-initiative-on-sustainable-cocoa/</a> <a href="https://www.kakaoforum.de/en/our-work/pro-planteurs-project/news-from-pro-planteurs/">https://www.kakaoforum.de/en/our-work/pro-planteurs-project/news-from-pro-planteurs/</a> <a href="https://www.giz.de/en/worldwide/30013.html">https://www.giz.de/en/worldwide/30013.html</a>
42	Chocolat Frey sustainability programme	Chocolat Frey	Chocolat Frey	<a href="http://www.chocolatfrey.ch/en/engagement/our-sustainability-concept">http://www.chocolatfrey.ch/en/engagement/our-sustainability-concept</a>
43	Chocolat Halba sustainability programme	Chocolat Halba	Chocolat Halba	<a href="http://chocolatshalba.ch/en/sustainability/sustainability-core-principles.html">http://chocolatshalba.ch/en/sustainability/sustainability-core-principles.html</a>
44	ChocoLove social	ChocoLove	ChocoLove	<a href="http://www.chocolove.com/social/">http://www.chocolove.com/social/</a> <a href="https://www.chocolove.com/social-intro/">https://www.chocolove.com/social-intro/</a>
45	CML CSR and sustainability programme	Cocoa Merchants Limited	Cocoa Merchants Limited	<a href="https://cmlghana.com/corporate-social-responsibility/">https://cmlghana.com/corporate-social-responsibility/</a>
46	Fazer group Côte d'Ivoire programme	Fazer	Fazer	<a href="https://www.fazergroup.com/fi/vastuullisuus/yritysvastuuhjelma/oikeudenmukainen-arvoketju/vastuullinen-hankinta/forbettercocoa/vain-vastuullista-kaakaota-fazerin-kaakaonhankinnan-keskiassa-on-viljelijä/">https://www.fazergroup.com/fi/vastuullisuus/yritysvastuuhjelma/oikeudenmukainen-arvoketju/vastuullinen-hankinta/forbettercocoa/vain-vastuullista-kaakaota-fazerin-kaakaonhankinnan-keskiassa-on-viljelijä/</a>
47	KokooPa sustainability	KokooPa	KokooPa	<a href="http://kookoopa.org/page/aboutus">http://kookoopa.org/page/aboutus</a>
48	Kuapa Kokoo	Kuapa Kokoo	Kuapa Kokoo	<a href="https://kuapakokoo.com/">https://kuapakokoo.com/</a>

No.	Name	Lead implementer	Funder	Link (all accessed 21.1.19)
49	Laederach sustainability programme / Family Life Project	Laderach	Laderach	<a href="https://www.laederach.com/en/chocolate-family/sustainability">https://www.laederach.com/en/chocolate-family/sustainability</a>
50	Marks and Spencers cocoa sustainability programme	Marks and Spencers	Marks and Spencers	<a href="https://corporate.marksandspencer.com/plan-a/food-and-household/product-standards/raw-materials-commodities-and-ingredients/cocoa#2299a5f2f8734505b0db6b64a50cce50">https://corporate.marksandspencer.com/plan-a/food-and-household/product-standards/raw-materials-commodities-and-ingredients/cocoa#2299a5f2f8734505b0db6b64a50cce50</a> <a href="http://www.emerging-leaders.net/">http://www.emerging-leaders.net/</a>
51	One Chocolate for One Smile	Morinaga	Morinaga	<a href="https://www.morinaga.co.jp/company/english/csr/social/support.html">https://www.morinaga.co.jp/company/english/csr/social/support.html</a>
52	Ovaltine Ethical Sourcing programme	Twining's	Twining's	<a href="https://www.twining's.co.uk/responsible-sourcing">https://www.twining's.co.uk/responsible-sourcing</a>
53	Cacao-Trace	Puratos	Puratos	<a href="https://www.puratos.com/product-categories/chocolate/cacao-trace">https://www.puratos.com/product-categories/chocolate/cacao-trace</a> <a href="https://www.cacaotrace.com/#">https://www.cacaotrace.com/#</a>
54	Purdys Sustainable Cocoa Program	Purdys	Purdys	<a href="https://www.purdys.com/sustainable-cocoa">https://www.purdys.com/sustainable-cocoa</a>
55	Engaged Ethics	Hotel Chocolat	Hotel Chocolat	<a href="https://www.hotelchocolat.com/uk/about/engaged-ethics.html">https://www.hotelchocolat.com/uk/about/engaged-ethics.html</a>
56	Strengthening Cocoa Farmers in Côte d'Ivoire	Hand Neuman Foundation	Hand Neuman Foundation	<a href="https://www.hrnstiftung.org/project/strengthening-cocoa-farmers-in-ivory-coast-55/">https://www.hrnstiftung.org/project/strengthening-cocoa-farmers-in-ivory-coast-55/</a>
57	Ethically Sourced Cocoa / Cocoa Practices Program	Starbucks	Starbucks	<a href="https://www.starbucks.co.uk/responsibility/sourcing/cocoa">https://www.starbucks.co.uk/responsibility/sourcing/cocoa</a> <a href="https://www.scsglobalservices.com/services/starbucks-cocoa-practices">https://www.scsglobalservices.com/services/starbucks-cocoa-practices</a>
58	Sucden Cocoa corporate sustainability	Sucden Cocoa	Sucden Cocoa	<a href="https://www.sucden.com/en/corporate-responsibility/sustainability/">https://www.sucden.com/en/corporate-responsibility/sustainability/</a>
59	Toms Sustainable Cocoa Sourcing Programme	Toms	Toms	<a href="https://tomsgroup.com/en/our_responsibility/our-sourcing/sustainable_cocoa/toms_sustainable_cocoa_sourcing_programme/">https://tomsgroup.com/en/our_responsibility/our-sourcing/sustainable_cocoa/toms_sustainable_cocoa_sourcing_programme/</a>
60	Live Long Cocoa	Valrhona	Valrhona	<a href="https://inter.valrhona.com/en/live-long-cocoa">https://inter.valrhona.com/en/live-long-cocoa</a>

No.	Name	Lead implementer	Funder	Link (all accessed 21.1.19)
61	Partnerships for Forests	Palladium	DFID	<a href="https://partnershipsforforests.com/">https://partnershipsforforests.com/</a>
62	Development of the Taï and Comoé nature conservation and economic areas in Côte d'Ivoire (PROFIAB II)	Ministry of Agriculture and Rural Development (MINADER)	GIZ	<a href="https://www.giz.de/en/worldwide/30013.html">https://www.giz.de/en/worldwide/30013.html</a>
63	Programme for sustainable agricultural supply chains and standards	German Federal Ministry for Economic Cooperation and Development (BMZ)	BMZ	<a href="https://www.giz.de/en/worldwide/65797.html">https://www.giz.de/en/worldwide/65797.html</a>
64	REDD+ Programme	CDI and Ghanaian govt.	EU, UN, AFD, GIZ	<a href="http://www.euredd.efi.int/">http://www.euredd.efi.int/</a> <a href="https://www.unredd.net/about/what-is-redd-plus.html">https://www.unredd.net/about/what-is-redd-plus.html</a> <a href="https://www.forestcarbonpartnership.org/sites/fcp/files/2016/Sep/Ghana%27s%20National%20REDD%2B%20Strategy%20Dec%202015.pdf">https://www.forestcarbonpartnership.org/sites/fcp/files/2016/Sep/Ghana%27s%20National%20REDD%2B%20Strategy%20Dec%202015.pdf</a> <a href="https://www.afd.fr/en/page-region-pays/cote-divoire">https://www.afd.fr/en/page-region-pays/cote-divoire</a>
65	EUFLEGT Facility	EU	EU	<a href="http://www.euflegt.efi.int/ghana">http://www.euflegt.efi.int/ghana</a>
66	Maximising Opportunities in Cocoa Activity	CNFA	US Department of Agriculture: Foreign Agricultural Service	<a href="https://www.cnfa.org/program/maximizing-opportunities-in-cocoa-activity/">https://www.cnfa.org/program/maximizing-opportunities-in-cocoa-activity/</a>
67	Ghana forest Investment Program Enhancing Natural Forest and Agroforest Landscapes Project	World Bank	World Bank	<a href="http://projects.worldbank.org/P148183?lang=en">http://projects.worldbank.org/P148183?lang=en</a> <a href="https://www.afdb.org/en/projects-and-operations/project-portfolio/p-gh-aad-002/">https://www.afdb.org/en/projects-and-operations/project-portfolio/p-gh-aad-002/</a>
68	Forest investment programme (Strategic Climate Fund)	World Bank	World Bank	<a href="http://projects.worldbank.org/P162789?lang=en">http://projects.worldbank.org/P162789?lang=en</a> <a href="https://www.worldbank.org/en/news/press-release/2018/01/26/world-bank-allocates-15-million-to-help-cote-divoire-reverse-the-trend-of-deforestation-and-forest-degradation">https://www.worldbank.org/en/news/press-release/2018/01/26/world-bank-allocates-15-million-to-help-cote-divoire-reverse-the-trend-of-deforestation-and-forest-degradation</a>
69	General Mills Origin-direct investment	General Mills	General Mills	<a href="https://blog.generalmills.com/2018/05/improving-the-sustainability-of-cocoa-grown-in-west-africa/">https://blog.generalmills.com/2018/05/improving-the-sustainability-of-cocoa-grown-in-west-africa/</a> <a href="https://globalresponsibility.generalmills.com/HTML1/general_mills-global_responsibility_2018_0033.htm">https://globalresponsibility.generalmills.com/HTML1/general_mills-global_responsibility_2018_0033.htm</a>
70	Honourable Sourcing	Guittard	Guittard	<a href="https://www.guittard.com/cultivate-better/honorable-sourcing#child-welfare">https://www.guittard.com/cultivate-better/honorable-sourcing#child-welfare</a>

No.	Name	Lead implementer	Funder	Link (all accessed 21.1.19)
71	ForestMind	Satellite Applications Catapult, FOCAFET	Sainsburys	<a href="http://www.j-sainsbury.co.uk/~/media/Files/S/Sainsburys/documents/making-a-difference/sourcing-for-sustainable-development-update-2018.pdf">http://www.j-sainsbury.co.uk/~/media/Files/S/Sainsburys/documents/making-a-difference/sourcing-for-sustainable-development-update-2018.pdf</a>
72	iMPACT	Agro-Eco	Mars, GIZ, BMFG	<a href="https://agroeco.net/cocoa/">https://agroeco.net/cocoa/</a>
73	Organic Cocoa Projects	Agro-Eco	Dutch Rabobank Foundation	<a href="https://agroeco.net/cocoa/">https://agroeco.net/cocoa/</a>
74	Farmer Business Schools	?	GIZ and the EU	<a href="https://www.giz.de/en/worldwide/324.html">https://www.giz.de/en/worldwide/324.html</a>
75	One World No Hunger (part)	?	GIZ	<a href="https://www.giz.de/en/worldwide/346.html">https://www.giz.de/en/worldwide/346.html</a> <a href="https://www.bmz.de/en/issues/Food/_hunger/index.html">https://www.bmz.de/en/issues/Food/_hunger/index.html</a>
76	Fairtrade	Fairtrade	Cocoa sector members	<a href="https://www.fairtrade.org.uk/~/_media/FairtradeUK/What%20is%20Fairtrade/Documents/Fairtrade_Theory_of_Change%20-%202018.pdf">https://www.fairtrade.org.uk/~/_media/FairtradeUK/What%20is%20Fairtrade/Documents/Fairtrade_Theory_of_Change%20-%202018.pdf</a>
77	Cocoa Livelihoods Programme	World Cocoa Foundation	Cocoa sector members	<a href="https://www.worldcocoafoundation.org/initiative/cocoa-livelihoods-program/">https://www.worldcocoafoundation.org/initiative/cocoa-livelihoods-program/</a>
78	CocoaAction	World Cocoa Foundation	Cocoa sector members	<a href="https://www.worldcocoafoundation.org/initiative/cocoaaction/">https://www.worldcocoafoundation.org/initiative/cocoaaction/</a>
79	African cocoa Initiative II	World Cocoa Foundation	Cocoa sector members	<a href="https://www.worldcocoafoundation.org/initiative/african-cocoa-initiative-ii/">https://www.worldcocoafoundation.org/initiative/african-cocoa-initiative-ii/</a>
80	Climate Smart Cocoa	World Cocoa Foundation	Cocoa sector members	<a href="https://www.worldcocoafoundation.org/initiative/climate-smart-cocoa/">https://www.worldcocoafoundation.org/initiative/climate-smart-cocoa/</a>
81	Trade Finance Program	Unknown	Climate Smart Cocoa	<a href="https://www.afdb.org/en/topics-and-sectors/initiatives-partnerships/trade-finance-program/">https://www.afdb.org/en/topics-and-sectors/initiatives-partnerships/trade-finance-program/</a>
82	Form Ghana Reforestation Project	Unknown	African Development Bank	<a href="https://www.afdb.org/en/projects-and-operations/project-portfolio/p-gh-aa0-036/">https://www.afdb.org/en/projects-and-operations/project-portfolio/p-gh-aa0-036/</a>
83	CocoaOrigins	IDH	IDH is supported by multiple European governments, including our institutional donors: BUZA, SECO and DANIDA	<a href="https://www.idhsustainabletrade.com/sectors/cocoa/">https://www.idhsustainabletrade.com/sectors/cocoa/</a> <a href="https://www.idhsustainabletrade.com/initiative/cocoa-origins/">https://www.idhsustainabletrade.com/initiative/cocoa-origins/</a>

No.	Name	Lead implementer	Funder	Link (all accessed 21.1.19)
84	CocoaSoils	IDH	IDH is supported by multiple European governments, including our institutional donors: BUZA, SECO and DANIDA	<a href="http://www.cocoasoils.org/">http://www.cocoasoils.org/</a>
85	Farm and Cooperative Investment Program	IDH	IDH is supported by multiple European governments, including our institutional donors: BUZA, SECO and DANIDA	<a href="https://www.idhsustainabletrade.com/initiative/farm-cooperative-investment-program/">https://www.idhsustainabletrade.com/initiative/farm-cooperative-investment-program/</a>
86	Smallholder Finance Facility	IDH	IDH is supported by multiple European governments, including our institutional donors: BUZA, SECO and DANIDA	<a href="https://www.idhsustainabletrade.com/initiative/smallholder-finance-facility/">https://www.idhsustainabletrade.com/initiative/smallholder-finance-facility/</a>
87	The Processors' Alliance for Cocoa Traceability and Sustainability (PACTS)	IDH	IDH is supported by multiple European governments, including our institutional donors: BUZA, SECO and DANIDA	<a href="https://www.idhsustainabletrade.com/flourish/pacts/">https://www.idhsustainabletrade.com/flourish/pacts/</a>
88	COCOBOD – Cocoa Health and Extension Division (CHED)	Government of Ghana	Government of Ghana	<a href="https://cocobod.gh/oursubsidiaries.php">https://cocobod.gh/oursubsidiaries.php</a>
89	COCOBOD – Cocoa Research Institute of Ghana (CRIG)	Government of Ghana	Government of Ghana	<a href="https://cocobod.gh/oursubsidiaries.php">https://cocobod.gh/oursubsidiaries.php</a>
90	The women in cocoa business initiative	Cocoanect	Cocoanect	<a href="http://www.cocoanect.com/sustainability/">http://www.cocoanect.com/sustainability/</a>
91	The ProcarBOOH initiative	Cocoanect	Cocoanect	<a href="http://www.cocoanect.com/sustainability/">http://www.cocoanect.com/sustainability/</a>
92	Forest Conservation Initiative	Cocoanect	Cocoanect	<a href="http://www.cocoanect.com/sustainability/">http://www.cocoanect.com/sustainability/</a>

## ANNEXES

### ANNEX B – List of rejected Sustainable Livelihood Initiatives and reasoning

No.	Organisation	Reason for rejection	Link
1	12 tree	Focuses on South and Central America	<a href="https://www.12tree.de/">https://www.12tree.de/</a>
2	ADM	Input supplier primarily that programmes work of others	<a href="https://www.adm.com/sustainability">https://www.adm.com/sustainability</a>
3	Agrotraders	Focuses on Nigeria	<a href="http://www.agrotraders.net/">http://www.agrotraders.net/</a>
4	Aldi	Just buys certified cocoa	<a href="https://www.aldi.co.uk/about-aldi/corporate-responsibility/resources-for-our-products/cocoa">https://www.aldi.co.uk/about-aldi/corporate-responsibility/resources-for-our-products/cocoa</a>
5	BASF	Consultancy service for farming companies	<a href="https://www.basf.com/global/en/who-we-are.html">https://www.basf.com/global/en/who-we-are.html</a>
6	Bean & co	Not focussed on small farmers – but on agronomic cocoa so not chosen	<a href="http://beannco.com">http://beannco.com</a>
7	Borlaug Cocoa Fellowships	Scholarship programme for researchers	<a href="https://www.fas.usda.gov/newsroom/accepting-applications-2018-borlaug-cocoa-fellowships">https://www.fas.usda.gov/newsroom/accepting-applications-2018-borlaug-cocoa-fellowships</a>
8	Bourbon	Member of WCF, but focus for self seems to be on environmentally sustainable company processes	<a href="https://www.bourbon.co.jp/company/english/csr/environment.html">https://www.bourbon.co.jp/company/english/csr/environment.html</a>
9	Buhler	Company that processes chocolate, but does not seem to have in house sustainability focus for cocoa	<a href="https://www.buhlergroup.com/global/en/products.htm">https://www.buhlergroup.com/global/en/products.htm</a>
10	Cacaooro	Focus on Nicaragua	<a href="https://cacaooro.com/english/industry_cacao.html">https://cacaooro.com/english/industry_cacao.html</a>
11	Callivoire	Agro-input supplier, not a sustainability initiative	<a href="http://callivoire.com/">http://callivoire.com/</a>
12	Care	Appears to be implementing for Cocoa Life only	<a href="https://www.careinternational.org.uk/get-involved/corporate-partnerships/inclusive-value-chains">https://www.careinternational.org.uk/get-involved/corporate-partnerships/inclusive-value-chains</a>
13	Carletti	Member of WCF but no own sustainability programme	<a href="http://carletti.dk/">http://carletti.dk/</a>
14	Casa Luker	Focus on Colombia	<a href="https://www.casaluker.com/lukermundo#zonaFundacion">https://www.casaluker.com/lukermundo#zonaFundacion</a>

No.	Organisation	Reason for rejection	Link
15	Chocosuisse	Networking group – not performing a programme for sustainability	<a href="https://www.chocosuisse.ch/en/about-us-2/_activities/">https://www.chocosuisse.ch/en/about-us-2/_activities/</a>
16	Cloetta sustainability programme	Certified cocoa buyer	<a href="https://www.cloetta.com/en/corporate-responsibility/sustainability-commitment/sustainable-sourcing/cocoa/">https://www.cloetta.com/en/corporate-responsibility/sustainability-commitment/sustainable-sourcing/cocoa/</a>
17	CNDC	Works in South America	<a href="https://www.chocolates.com.co/proyectos-productivos-inclusivos/">https://www.chocolates.com.co/proyectos-productivos-inclusivos/</a>
18	Cocoa Connect	Collaboration and knowledge sharing programme	<a href="http://www.cocoaconnect.org/about">http://www.cocoaconnect.org/about</a>
19	Cocoa high technology programme	Finished	<a href="https://www.researchgate.net/publication/277076980_Towards_the_Implementation_of_Precision_Agriculture_in_Cocoa_Production_in_Ghana_Evidence_from_the_Cocoa_High_Technology_Programme_in_the_Eastern_Region_of_Ghana">https://www.researchgate.net/publication/277076980_Towards_the_Implementation_of_Precision_Agriculture_in_Cocoa_Production_in_Ghana_Evidence_from_the_Cocoa_High_Technology_Programme_in_the_Eastern_Region_of_Ghana</a>
20	Cocoa Research Institute of Ghana	Researching into cocoa but not directly working towards sustainability	<a href="http://crig.org.gh/researchActivities.php">http://crig.org.gh/researchActivities.php</a>
21	CocoaLink	Seems to have shut down over life of project (not found online 17 January 2019)	<a href="https://www.thehersheycompany.com/libs/granite/core/content/login.html?resource=%2Fen_us%2Fen-redirect.html&amp;\$\$login\$\$=%24%24login%24%24&amp;j_reason=unknown&amp;j_reason_code=unknown">https://www.thehersheycompany.com/libs/granite/core/content/login.html?resource=%2Fen_us%2Fen-redirect.html&amp;\$\$login\$\$=%24%24login%24%24&amp;j_reason=unknown&amp;j_reason_code=unknown</a>
22	Cococo	Just buys certified cocoa	<a href="http://cococo-chocolatiers.com/about-us/">http://cococo-chocolatiers.com/about-us/</a>
23	COFCAO	Works in São Tomé and Príncipe	<a href="http://cofcao-stp.com/">http://cofcao-stp.com/</a>
24	Confitera	Member of WCF but no own sustainability programme	<a href="http://www.confitera.co.jp/6103.html">http://www.confitera.co.jp/6103.html</a>
25	CQC	Member of groups but not an implementer	<a href="https://www.cqc.com/the-cqc-way/sustainability">https://www.cqc.com/the-cqc-way/sustainability</a>
26	CWT Commodities Group	Trader that trades in certified things too	<a href="https://www.cwtcommodities.com/awards-certification/">https://www.cwtcommodities.com/awards-certification/</a>
27	Daito Cacao	No seeming connection to sustainability	<a href="https://www.daitocacao.com/pdf/entop/cp_en.pdf">https://www.daitocacao.com/pdf/entop/cp_en.pdf</a>
28	DDS Cocoa	Transporter only, no initiatives	<a href="http://ddscocoa.com/About_Us.html">http://ddscocoa.com/About_Us.html</a>
29	Delfilimited	Support other initiatives and works in Indonesia	<a href="https://www.delfilimited.com/corporate_sustainability.html">https://www.delfilimited.com/corporate_sustainability.html</a>

No.	Organisation	Reason for rejection	Link
30	Dengo	Does not seem to source from West Africa	<a href="https://www.dengo.com/cacau">https://www.dengo.com/cacau</a>
31	Dutch Cocoa	Just buys certified cocoa	<a href="http://www.dutchcocoa.nl/en/sustainability/dutch-cocoas-expertise-with-various-certifications.html">http://www.dutchcocoa.nl/en/sustainability/dutch-cocoas-expertise-with-various-certifications.html</a>
32	Duyvis Wiener	Processor only	<a href="https://duyviswiener.com/">https://duyviswiener.com/</a>
33	FCC	Just a training and membership organisation	<a href="https://www.cocoafederation.com/education/home">https://www.cocoafederation.com/education/home</a>
34	Federation of Cocoa Commerce	Removed as it is a group that looks at the coordination of higher level operational contractual agreements	<a href="https://www.cocoafederation.com/faqs">https://www.cocoafederation.com/faqs</a>
35	Fuchs & Hoffman	Trader	<a href="http://www.fuchs-hoffmann.de/">http://www.fuchs-hoffmann.de/</a>
36	Fuji Oil Co. Ltd	Works through the WCF	<a href="https://www.fujioilholdings.com/en/csr/sustainable/">https://www.fujioilholdings.com/en/csr/sustainable/</a>
37	Fuji Oil Sourcing Policy	Just buys certified cocoa	<a href="https://www.haighschocolates.com.au/utz-certified/">https://www.haighschocolates.com.au/utz-certified/</a>
38	Fujiya	CSR members of WCF but not got own programme or certification commitment	<a href="https://www.fujioilholdings.com/en/csr/sustainable/">https://www.fujioilholdings.com/en/csr/sustainable/</a>
39	Glico Ezakli	Seems to just talk about giving toys to consumers as CSR	<a href="https://www.glico.com/global/about/csr/">https://www.glico.com/global/about/csr/</a>
40	Godiva	Sustainability is through the World Cocoa Foundation and Cocoa Horizons programme	<a href="https://www.godivachocolates.co.uk/commitment.html">https://www.godivachocolates.co.uk/commitment.html</a>
41	Haigh's chocolates sustainability programme	Just buys certified cocoa	<a href="http://www.hain.com/company/sustainability/">http://www.hain.com/company/sustainability/</a>
42	Idilia foods	Just member of WCF	<a href="http://www.idilia.es/">http://www.idilia.es/</a>
43	Indcresa	Just buys certified cocoa	<a href="https://indcresa.com/en/social-responsibility/">https://indcresa.com/en/social-responsibility/</a>
44	ISEAL certification alignment	Not targeting farmers but aligning certification	<a href="https://www.isealliance.org/sustainability-news/getting-better-picture-level-multi-certification-coffee-and-cocoa">https://www.isealliance.org/sustainability-news/getting-better-picture-level-multi-certification-coffee-and-cocoa</a>

No.	Organisation	Reason for rejection	Link
45	Itochu	Works in Ecuador	<a href="https://www.itochu.co.jp/en/csr/supply_chain/reportage/back_number3.html">https://www.itochu.co.jp/en/csr/supply_chain/reportage/back_number3.html</a>
46	JBCocoa	Trades certified cocoa	<a href="http://www.jbcocoa.com/about_us.html">http://www.jbcocoa.com/about_us.html</a>
47	Katoennatie	Logistics	<a href="http://www.katoennatie.com">www.katoennatie.com</a>
48	Kemofina	Trader with certifying	<a href="http://www.kemofina.com/sustainability.html">http://www.kemofina.com/sustainability.html</a>
49	Living Income Community of Practice	Group of researchers on standards – not a programme	<a href="https://www.isealalliance.org/about-iseal/our-work/living-income-community-practice">https://www.isealalliance.org/about-iseal/our-work/living-income-community-practice</a>
50	Lotte	No seeming connection to cocoa	<a href="https://www.lotte.co.jp/english/charter/sustainability.html">https://www.lotte.co.jp/english/charter/sustainability.html</a>
51	Magri	Not specifically focussed on cocoa	<a href="https://www.gsma.com/mobilefordevelopment/magri/">https://www.gsma.com/mobilefordevelopment/magri/</a>
52	Manufacturer Confectioner	Just a processor	<a href="http://www.gomc.com/">http://www.gomc.com/</a>
53	MC Agri Alliance	Works through Olam	<a href="http://mc-agrialliance.com/en/corporate/quality/">http://mc-agrialliance.com/en/corporate/quality/</a>
54	Mighty Earth	They focus on campaigns – not particularly on cocoa programmatic work	<a href="http://www.mightyearth.org/chocolate/">http://www.mightyearth.org/chocolate/</a>
55	Molenberganatie	Logistics	<a href="http://www.molenberganatie.com">www.molenberganatie.com</a>
56	Natra	Just ensures certification	<a href="http://natra.com/es/">http://natra.com/es/</a>
57	Nederland	Processor only	<a href="http://chocoweb.com/en/qualitat.htm">http://chocoweb.com/en/qualitat.htm</a>
58	Pacorini	Logistics	<a href="http://www.pacorini.com">www.pacorini.com</a>
59	Palmers	Just buys 'sustainable' cocoa	<a href="https://www.palmersaustralia.com/article/our-ethical-and-social-responsibility/">https://www.palmersaustralia.com/article/our-ethical-and-social-responsibility/</a>
60	PBC	Partners with traders to help them roll out schemes rather than rolling them out themselves	<a href="http://pbcgh.com/about-us">http://pbcgh.com/about-us</a>
61	Pelgar	Input supplier	<a href="https://www.pelgar.co.uk/">https://www.pelgar.co.uk/</a>

No.	Organisation	Reason for rejection	Link
62	Pladis	Considers their brands as separate and partners with other initiatives	<a href="https://www.pladisglobal.com/our-world/">https://www.pladisglobal.com/our-world/</a>
63	Port of Amsterdam	Expert in transportation	<a href="https://www.portofamsterdam.com/en/business/cargo/cocoa">https://www.portofamsterdam.com/en/business/cargo/cocoa</a>
64	Ritter	Just buys certified cocoa	<a href="http://www.ritter-sport.de/en_GB/unser_kakao/">http://www.ritter-sport.de/en_GB/unser_kakao/</a>
65	Rizek Cacao	Works in Dominican Republic	<a href="http://rizekcacao.com/">http://rizekcacao.com/</a>
66	RM Palmer	Just a member of WCF	<a href="https://mpalmer.com/our-story/">https://mpalmer.com/our-story/</a>
67	Rocky chocs	Just a member of WCF	<a href="https://www.rockychoc.com/">https://www.rockychoc.com/</a>
68	Roig Agro-cacao	Works in Dominican Republic	<a href="http://www.comercialroig.com.do/eroigqsomos.html">http://www.comercialroig.com.do/eroigqsomos.html</a>
69	Royce	Just a member of WCF	<a href="https://www.royce.com/">https://www.royce.com/</a>
70	RT Trading	Transporter in Peru	<a href="http://www.rtrading.com.pe/">http://www.rtrading.com.pe/</a>
71	Seattle Chocolates	Just buys certified cocoa	<a href="https://seattle-chocolates.squarespace.com/#sustainability">https://seattle-chocolates.squarespace.com/#sustainability</a>
72	Securing forest community livelihoods through sustainable smallholder cocoa development	Working in Sierra Leone	<a href="https://devtracker.dfid.gov.uk/projects/GB-CHC-326568-874217">https://devtracker.dfid.gov.uk/projects/GB-CHC-326568-874217</a>
73	Sees Candies	Unable to access data due to GDPR (accessed 16.1.19)	<a href="http://unavailable.sees.com/">http://unavailable.sees.com/</a>
74	Siat Group	Agro-inputs researched	<a href="http://www.siat-group.com/downloads/siat-news-first-issue/">http://www.siat-group.com/downloads/siat-news-first-issue/</a>
75	Smuckers	No cocoa listed in sustainability report or website	<a href="http://corporateresponsibility.jmsmucker.com/sourcing/">http://corporateresponsibility.jmsmucker.com/sourcing/</a>
76	Spliethoff	Logistics	<a href="http://www.spliethoff.com">www.spliethoff.com</a>
77	Swiss Platform for Sustainable Cocoa	Networking group – not performing a programme for sustainability	<a href="https://www.kakaoplattform.ch/en/the-cocoa-platform/becoming-a-member/">https://www.kakaoplattform.ch/en/the-cocoa-platform/becoming-a-member/</a>

No.	Organisation	Reason for rejection	Link
78	Tachibana	Just a trader of certified beans	<a href="http://www.tachibana-grp.co.jp/english/index.html">http://www.tachibana-grp.co.jp/english/index.html</a>
79	TCHO	Doesn't seem to mention anything about sustainability	<a href="https://tcho.com/blogs/news/where-do-we-source-our-cocoa-beans">https://tcho.com/blogs/news/where-do-we-source-our-cocoa-beans</a>
80	Tescos	Just buys certified cocoa	<a href="https://sustainability.tescopl.com/sustainability/sourcing/topics/human-rights/cocoa/">https://sustainability.tescopl.com/sustainability/sourcing/topics/human-rights/cocoa/</a>
81	Theobroma	Seems to be working in Cameroon	<a href="http://www.theobroma.com/sustainability/project-cameroon">http://www.theobroma.com/sustainability/project-cameroon</a>
82	Tree Global	Some impact through the way the organisation is run but it is primarily an input supplier	<a href="https://www.treeglobal.com/impact/">https://www.treeglobal.com/impact/</a>
83	Ulker	Just a member of WCF	<a href="http://www.ulker.com.tr/en/whats-new/news-detail/ulker-is-the-first-member-from-turkey-in-the-world-cocoa-foundation--wcf">http://www.ulker.com.tr/en/whats-new/news-detail/ulker-is-the-first-member-from-turkey-in-the-world-cocoa-foundation--wcf</a>
84	UNDP CИСCI programme	Appears to not have started and ended inception in 2013	Côte d'Ivoire Sustainable Cocoa Initiative (CИСCI)
85	Unilever	Just buys certified cocoa	<a href="https://www.unilever.com/sustainable-living/reducing-environmental-impact/sustainable-sourcing/our-approach-to-sustainable-sourcing/sustainable-cocoa-and-sugar/">https://www.unilever.com/sustainable-living/reducing-environmental-impact/sustainable-sourcing/our-approach-to-sustainable-sourcing/sustainable-cocoa-and-sugar/</a>
86	United Agro Alliance	Just a member of WCF	<a href="https://www.united-agro-alliance.com">https://www.united-agro-alliance.com</a>
87	USAID RING project	Not focussed on cocoa farmers	<a href="https://www.globalcommunities.org/ghana">https://www.globalcommunities.org/ghana</a>
88	VSO	Appears to be implementing for Cocoa Life only	
89	Whittakers	Just buys certified cocoa	<a href="https://www.whittakers.co.nz/en_WW/whittacares/">https://www.whittakers.co.nz/en_WW/whittacares/</a>
90	World Vision International	Appears to be implementing for Cocoa Life only	
91	Worlds Finest Chocolate	Could not access site (16.1.19) but from other sources seems they just buy certified cocoa	<a href="https://en.wikipedia.org/wiki/World%27s_Finest_Chocolate">https://en.wikipedia.org/wiki/World%27s_Finest_Chocolate</a>
92	ZOTO	Works as a consultancy	<a href="https://zoto.be/">https://zoto.be/</a>

No.	Organisation	Reason for rejection	Link
93	Trade Development Centre	Does not seem to work in West Africa	<a href="http://www.befair.be/en/projectsheet">http://www.befair.be/en/projectsheet</a>
94	Markets Institute – WWF	Looking at new approaches – not implementing currently it seems	<a href="https://www.worldwildlife.org/pages/markets-institute-shifting-the-cocoa-production-paradigm">https://www.worldwildlife.org/pages/markets-institute-shifting-the-cocoa-production-paradigm</a>
95	Oxfam	Much of the work is for other players	<a href="https://views-voices.oxfam.org.uk/2018/05/cocoa-and-the-global-goals-accelerating-womens-empowerment/">https://views-voices.oxfam.org.uk/2018/05/cocoa-and-the-global-goals-accelerating-womens-empowerment/</a>
96	Cocoa Fertiliser Initiative	Has been completed	<a href="https://www.idhsustainabletrade.com/initiative/cocoa-fertilizer-initiative/">https://www.idhsustainabletrade.com/initiative/cocoa-fertilizer-initiative/</a>
97	Equipoise	Consultancy service on market based solutions but no clear explanation of portfolio and instead focussing on event organisation	<a href="http://www.equipoise.co.nl/events/">http://www.equipoise.co.nl/events/</a>
98	ICCO – project on pathogens	Website says it was due to complete in December 2016 even though it says still under implementation	<a href="https://www.icco.org/projects/projects-home.html?id=236">https://www.icco.org/projects/projects-home.html?id=236</a>
99	CropLife	Agro input supplier working with the African Cocoa Initiative	<a href="https://croplifeafrica.org/our-work/crop-protection/stewardship/spray-service-provider/">https://croplifeafrica.org/our-work/crop-protection/stewardship/spray-service-provider/</a>
100	Conseil du café et cacao programme	Finished in 2017	<a href="http://www.conseilcafecacao.ci/index.php?option=com_k2&amp;view=item&amp;id=707:la-caravane-ocp-school-lab-lancee-a-soubre&amp;Itemid=18">http://www.conseilcafecacao.ci/index.php?option=com_k2&amp;view=item&amp;id=707:la-caravane-ocp-school-lab-lancee-a-soubre&amp;Itemid=18</a>
101	Sustainable Smallholder Agribusiness in Western and Central Africa	Finished in 2018	<a href="https://www.giz.de/en/worldwide/16002.html">https://www.giz.de/en/worldwide/16002.html</a>
102	World Cocoa Farmers International	Website seems to have been taken offline during time of research (29.1.19)	<a href="http://worldcocoafarmers.org/">http://worldcocoafarmers.org/</a>

## ANNEX C – Sustainable Livelihoods Framework Definitions

Framework category and colour coding	Definitions
Human capital	Human capital represents the skills, knowledge, ability to labour and good health that together enable people to pursue different livelihood strategies and achieve their livelihood objectives. At a household level human capital is a factor of the amount and quality of labour available; this varies according to household size, skill levels, leadership potential, health status, etc.
Natural capital	The natural resource stocks from which resource flows and services (e.g. nutrient cycling, erosion protection) useful for livelihoods are derived. There is a wide variation in the resources that make up natural capital, from intangible public goods such as the atmosphere and biodiversity to divisible assets used directly for production (trees, land, etc.).
Physical capital	<p>Physical capital comprises the basic infrastructure and producer goods needed to support livelihoods.</p> <ul style="list-style-type: none"> <li>• Infrastructure consists of changes to the physical environment that help people to meet their basic needs and to be more productive.</li> <li>• Producer goods are the tools and equipment that people use to function more productively.</li> </ul>
Social capital	<p>The social resources upon which people draw in pursuit of their livelihood objectives. These are developed through:</p> <ul style="list-style-type: none"> <li>• Networks and connectedness, either vertical (patron / client) or horizontal (between individuals with shared interests) that increase people's trust and ability to work together and expand their access to wider institutions, such as political or civic bodies;</li> <li>• Membership of more formalised groups which often entails adherence to mutually-agreed or commonly accepted rules, norms and sanctions;</li> </ul> <p>and</p> <ul style="list-style-type: none"> <li>• Relationships of trust, reciprocity and exchanges that facilitate co-operation, reduce transaction costs and may provide the basis for informal safety nets amongst the poor.</li> </ul>
Information capital*	Information capital represents the different kinds of data endowed with relevance and purpose used by people to make decisions in pursuit of their livelihood objectives. This constitutes the information that individuals receive about other livelihood assets, but also the transforming structures and processes as well as the vulnerability context within which individuals operate.
Financial capital	<p>Financial capital denotes the financial resources that people use to achieve their livelihood objectives.</p> <p>The definition used here is not economically robust in that it includes flows as well as stocks and it can contribute to consumption as well as production. However, it has been adopted to try to capture an important livelihood building block, namely the availability of cash or equivalent that enables people to adopt different livelihood strategies.</p> <p>There are two main sources of financial capital.</p>

<sup>101</sup> All definitions (with the exception of additions made of information capital and net additional livelihoods which are defined as per the references in the accompanying technical note) are taken from the published DFID guidance sheets on the Sustainable Livelihoods framework. Department for International Development, (1999)

Framework category and colour coding	Definitions
	<ul style="list-style-type: none"> <li>• Available stocks: Savings are the preferred type of financial capital because they do not have liabilities attached and usually do not entail reliance on others. They can be held in several forms: cash, bank deposits or liquid assets such as livestock and jewellery. Financial resources can also be obtained through credit-providing institutions.</li> <li>• Regular inflows of money: Excluding earned income, the most common types of inflows are pensions, or other transfers from the state, and remittances. In order to make a positive contribution to financial capital these inflows must be reliable (while complete reliability can never be guaranteed there is a difference between a one-off payment and a regular transfer on the basis of which people can plan investments).</li> </ul>
<b>Transforming structures and processes</b>	<p>Transforming structures and processes within the livelihoods framework are the institutions, organisations, policies and legislation that shape livelihoods. They operate at all levels, from the household to the international arena, and in all spheres, from the most private to the most public. They effectively determine:</p> <ul style="list-style-type: none"> <li>• access (to various types of capital, to livelihood strategies and to decision-making bodies and sources of influence);</li> <li>• the terms of exchange between different types of capital; and</li> <li>• returns (economic and otherwise) to any given livelihood strategy.</li> </ul>
<b>Vulnerability context</b>	<p>The vulnerability context frames the external environment in which people exist. People's livelihoods and the wider availability of assets are fundamentally affected by critical trends as well as by shocks and seasonality – over which they have limited or no control.</p>
<b>Net additional livelihoods*</b>	<p>The net additional livelihoods category represents the balance that needs to be struck between a set of target individuals and the resources available to them to manipulate to gain a favourable outcome towards a sustainable livelihood for all. This recognises that the benefit of a sustainable livelihood for one set of individuals may result in the reduction of a sustainable livelihood for another group and to recognise the trade-offs.</p>

\*These are new definitions based on the literature review on the strengths and weaknesses of the DFID framework. They reflect the amendments made to the DFID framework to best frame this for the cocoa sector.

## ANNEX D – Definitions of work-streams

Work-stream title	Definition
Productivity and output quality	The improvement of yield could be as a result of initiatives that improve either the quality of the cocoa beans, or the quantity.
Business and management skills	This work-stream covers any improvement in farm management skills of the farmers. This could include financial management, entrepreneurship and other farm management knowledge that could improve farmers' ability to manage their farms as a business. For example, typical activities could be to work with farmers to calculate how much money is needed to buy the inputs needed to achieve a good yield.
Premium payment	This refers to the payment of a premium to a farmer (if not for a certification agency, then it is only included if an actor is paying an <b>additional</b> premium on top of what is required from certification). This could arguably be included at the activity level – but included as output as often premium payments are linked to the farmer being able to uphold the standards required of the certification or quality dictated in the payment. It is important to note that there are different mechanisms for the payment of this premium – some organisations ensure this is paid direct to the farmer, other go to the farmer unions and others are paid to the Licensed Buying Companies for the cocoa. Different decision making powers exist accordingly for each one.
Upgraded value chain position: Organic/certified cocoa	This work-stream refers to any training of farmers that will allow them to achieve a higher price bracket for their cocoa, for example selling organic or certified cocoa. It is organised as part of the 'upgrading value chain functions' as product upgrading within the cocoa value chain.
Transfer of market-information	This work-stream covers any work that is being done to improve the level of information going to cocoa farmers surrounding value addition in the value chain and price points, potentially allowing them a better platform to negotiate.
Upgraded value chain position: Process/selling cocoa locally	This work-stream is also part of the 'upgrading value chain functions' as process upgrading within the cocoa value chain. The outcome indicates when initiatives seek to help farming communities take over higher value chain functions, such as processing cocoa or being able to sell cocoa locally (instead of the Licensed Buying Companies in the case of Ghana).
Diversified incomes	This work-stream can also be known as 'additional livelihoods' and typically includes the training of cocoa farmers (usually targeted at women) to diversify their incomes away from being reliant on cocoa. It may also include the provision of start-up credit or equipment. For example, a common initiative could be the training of women on soap making that in theory should provide cocoa families with an additional income source.
Long term contractual agreements	This work-stream covers any arrangement within the value chain that provides a long term arrangement with farmer groups so they can be confident of their sales and make plans for the future based on this.

Work-stream title	Definition
<b>Access to finance</b>	This work-stream covers all activities that seek to improve the financial services that are available to farmers, both through accessibility and improving the services themselves. This could cover working with banks to improve their products and customer base to farmers, as well as setting up Village Saving and Loans societies.
<b>Land rights</b>	This covers any work-stream that seeks to improve the land tenure rights for farmers – either in terms of accessibility to land, or formalising the system to avoid land disputes.
<b>Workers' rights</b>	This covers any work-stream that seeks to improve the rights of farm labourers or sharecroppers (who run cocoa farms on behalf of landowners) within the value chain.
<b>Community facilities</b>	This is a wide-ranging work-stream that covers the improvement of schools, health centres, transport infrastructure and communication facilities. It is typically the outcome of the direct initiative from actors to build and fund these facilities. Note that this does not include any initiatives that provide a premium to farming groups that then choose to invest in community facilities.
<b>Nutrition</b>	This work-stream addresses the issue of poor nutrition levels of farmers by either directly providing more nutritious foods, or providing trainings within farming communities on better foodstuffs to grow to improve nutrition levels. This is deliberately separated from the diversified income outcome as the pathway seeks primarily to provide nutrition to the farming household, and not to provide additional income sources. This also covers any initiatives that conduct a direct delivery mechanism for farmers and provide a direct delivery of food to cocoa farming communities.
<b>Youth in cocoa</b>	This work-stream covers the issue of increasing numbers of youth leaving the cocoa sector. Initiatives to address this span from training youth in cocoa farming, providing grants to access cocoa farms and organizing youth into cocoa related businesses to earn money.
<b>Child/forced labour</b>	This work-stream is as a result of numerous initiatives including the setting up of Child Labour Monitoring and Remediation Systems (CLMRS) and conducting training about child labour to farmer communities.
<b>Women's empowerment</b>	This work-stream covers initiatives that seek to train women to be more empowered within the cocoa community, including leadership trainings, confidence building, and businesses set up to support women farmers. It could also include trainings to cooperatives to sensitize male members of the community towards women's difficulties in cocoa farming.
<b>Strengthening farmer organisations</b>	This work-stream covers any initiative that seeks to strengthen farmer groups (co-ops or unions) by way of governance, financial management, HR, advocacy, marketing and any other initiatives that seek to strengthen farmer groups as members of the value chain.
<b>Carbon targets</b>	This work-stream covers the cocoa sector actors identifying and improving the carbon targets within their own supply chain.

Work-stream title	Definition
<b>Forestry/land governance</b>	This work-stream covers work that is being done to strengthen national governments ability to develop and maintain governance structures and policies surrounding forestry and relevant land governance in relation to environmental protection.
<b>Farm mapping</b>	This work-stream covers work that is being done to improve the level of information actors have on the location of farms which will lead to improved policies. This covers all initiatives that are conducting farm mapping deliberately and not just via certification schemes (unless the certification scheme is the initiative being analysed).
<b>Forest and river-bank areas</b>	This work-stream covers the increased level of forest cover and will cover initiatives that include replanting of the forest, or reduced levels of deforestation.
<b>Farmers' environmental practices</b>	This work-stream covers activities that are being done to improve farmers understanding of environmental practices to reduce their impact on the environment.
<b>Research – agri-methods and inputs</b>	This should provide the sector with better agri-inputs and methods for farming.
<b>Research – climate smart technologies and practices</b>	This should provide the sector with better climate smart agri-inputs and farming methods.
<b>Research – livelihoods approaches</b>	This wide-reaching work-stream covers any initiative that seeks to improve livelihoods approaches.
<b>Research – new cocoa regulations</b>	This work-stream is providing information as to what cocoa regulations would be useful for the sector to pursue.
<b>Cocoa sector alliances</b>	This work-stream covers any work that is being done to lobby and advocate to members of the cocoa sector about the work that they should be doing to improve their sustainability work.
<b>Influencing national government</b>	This work-stream covers any work that is being done to influence national government policies and change the current governance structure within the supply chain.
<b>Supply chain traceability</b>	This work-stream improves the level of information a cocoa actor has on their own supply chain and where the key changes are in the sector.
<b>Public awareness</b>	This work-stream covers any work that is ongoing to improve the end-consumer knowledge of sustainability within the supply chain.

## ANNEXES

### ANNEX E – Key search phrases and locations for the systematic desk search

The systematic desk search searched the below websites for SLIs and potential implementers that are working in Côte d'Ivoire and Ghana (all accessed 29.1.19)

#### Membership websites

- Used OECD website to identify top aid donors to Côte d'Ivoire and Ghana and in turn searched their programmes for any initiatives targeting cocoa communities: [www.oecd.org/](http://www.oecd.org/)
- Searched for membership organisations, (e.g. World Cocoa Foundation and the ICCO) and looked through each of their members and signatories to key pieces of legislation to carry out further exploration for the SLIs being implemented by members. A sample of sites searched included:

- [worldcocoafoundation.org/](http://worldcocoafoundation.org/)
- [icco.org/](http://icco.org/)
- [lsealalliance.org/](http://lsealalliance.org/)
- [chocoa.nl/](http://chocoa.nl/)
- [info.fairtrade.net/](http://info.fairtrade.net/)
- [rainforest-alliance.org/](http://rainforest-alliance.org/)
- [utz.org/](http://utz.org/)
- [eurococoa.com/en/](http://eurococoa.com/en/)
- [Cocoaederation.com/fcc/cocoa-community](http://Cocoaederation.com/fcc/cocoa-community)

- Checked local government (COCOBOD and Conseil du Café et Cacao)

- [ocobod.gh/index.php](http://ocobod.gh/index.php)
- [conseilcafecacao.ci/](http://conseilcafecacao.ci/)

#### Internet search

We also used search engines such as google scholar and google with the below fifty search words to both identify academic readings and SLIs themselves. These words and phrases were used in different combinations and we used the top three web search pages to identify relevant websites and readings for further analysis.

- In the case of academic readings, we reviewed the abstract of the reading first before selecting it for further reading – in all selecting 167 readings for review.
- In the case of identifying SLIs, we reviewed the section on the website that discusses 'about us' and scanned for readings on the programme to filter on our definitions of an SLI as per the methodology section. In all we reviewed 195 candidates for SLIs, selecting 92 for analysis and rejecting 102 that did not fit the required definitions.

We also used French language translations of all the words highlighted in blue and used snowball sampling to follow links provided in the websites or academic readings to find further SLIs, papers and implementers.

Advocacy	Empowerment	Grant	Productivity	Supply chain
Certification	Environment	Income	Programme	Sustainability
Certified	Farm	Industry	Project	Sustainable
Child Labour	Farmer(s)	Initiative(s)	Region	Task force
Chocolate	Farming	Issue	Research	Theory of Change
Cocoa	Finance	Ivory Coast	Resilience	Tree(s)
Community	Forests	Livelihoods	Right(s)	Value Chain
Côte d'Ivoire	Fund(ing)	Membership	Sector	Women
Development	Ghana	Organic	Skills	Yield
Effort	Governance	Poverty	Slave(ry)	Youth

## ANNEXES

### ANNEX F – List of key informants interviewed

Position	Organisation type
In-country programme manager	Consultancy
In-country programme manager	Consultancy
In-country programme manager	Chocolate manufacturer
Programme manager	Chocolate manufacturer
In-country director	Chocolate manufacturer
In-country director	Chocolate manufacturer
Research unit managers	National government
Technical director	National government
In-country director	Not for profit
Programme manager	Not for profit
Programme manager	Not for profit
Technical manager	Not for profit
Technical manager	Not for profit
Technical advisor	Not for profit
Technical advisor	Not for profit
Director	Multi-actor initiative
In-country director	Donor
Researcher	Research organisation
Advisor	Consultancy
In-country programme manager	Trader
Advisor	International organisation
Director	Research organisation
Director	Multi-actor initiative
In-country programme manager	Not for profit

## ANNEXES

### Research questions

The core research questions of the Sustainable Livelihoods Landscape study are:

R1: What is everybody doing for sustainable livelihoods of cocoa farmers?

R2: How do different approaches and players compare to each other?

R3: What is an implicit theory of change for the industry?

We translated the above three questions into three separate areas of understanding we were targeting to understand from this field research. What we were seeking to get out of this field research was an understanding of the below elements, from the experiences of different groups: women, youth, union executives and union member farmers, both Fairtrade and non-Fairtrade.

- 1 An understanding of what initiatives the communities are aware of and are involved in.
- 2 An understanding of which types of approaches and methods of delivery the different elements of the communities consider to be effective and ineffective, and why. This should also include an investigation into whether and how different SLIs overlap.
- 3 An understanding of the priorities for these communities in terms of future programme design. This should include an understanding of what these members of the communities consider to be a 'sustainable livelihood,' what their needs are and how they would prioritise these needs.

### Structure

The structure of the research was to visit the following communities in Ghana, and focus group discussions were chosen as the most appropriate research methodology for the groups to generate learnings and ideas as to how to approach the research questions. Where possible and on sensitive subjects, key informant interviews were sought from individuals as well. The unions visited are listed below: The unions are from across the Ashanti, Brong-Ahafo and Eastern regions of the country to ensure geographical coverage across Ghana, and four out of the five unions are Fairtrade Unions, with the others representing unions that have not benefitted from Fairtrade. The precise names and locations of the societies and the unions are not listed here to protect the anonymity of those that gave their views to us. As we stated before, this should not necessarily be considered a representative sample of views and opinions of Ghanaian cocoa farmers due to the limitations identified in the section below, but the unions represent approximately 20,000 farmers across the five that were visited. Within the trip schedule each community was visited for at least a day.

One of the key learnings from the report is that a single day was not sufficient to build a relationship with participants to gain the best quality answers.

### Selecting participants

The research was aiming to get a selection of views from different angles from cocoa communities that are targeted by sustainable livelihood initiatives. Desk research has shown that the most common split of demographics for programmatic delivery is as follows:

- Executives of the union
- Farmer groups
- Women's groups
- Youth groups
- Sharecroppers

The methodology of choice is to use Focus Group Discussions to encourage the generation of ideas and group discussion.

### Known limitations

Some known limitations to the field research are as follows:

- The Fairtrade unions were chosen because of their differences in geographical spread, but also for logistical reasons for the timing of this research coinciding with scheduled trainings during the harvest season that would allow the research team to meet with farmers when they are accessible. Furthermore we met with farmers who are easier to access by vehicle, so more rural farming groups views are not represented here.
- An element of selection bias may exist as the farmers were accessed through either Fairtrade or Cocoa Life channels, and therefore complete independent research cannot necessarily be claimed.
- The farmers that became part of the focus group discussions had already elected to take part in training sessions run by FTA so do not necessarily represent the views of the wider community.
- As a research team from Fairtrade farmers are likely to bias their answers accordingly, and overemphasising the importance of the premium payments.
- On many occasions senior chiefs or a member of the union executive would insist on being present within society focus group discussions so it is possible that farmers would only say what more powerful members of the society wish them to say. Observed behaviours such as interrupting other members in some instances confirmed this was a limitation – although the researchers sought to confirm the rules of confidentiality and safety of their comments within the group.

## **Focus group discussions – guide**

The focus group discussions took place in union offices or society centres. There was a lead moderator from the Fairtrade Foundation, and assistants from Fairtrade Africa cocoa team who supported on capturing key insights from the group as well as translation wherever necessary. We used a Dictaphone to record the focus group discussions for the purpose of capturing key notes from the sessions, and have ensured that all recordings abide by the relevant legislation. The discussions took place in the following structure, and no focus group took longer than one hour 30 minutes. Once the primary questionnaire was completed with a mixed group, smaller subsets of women, sharecroppers, youth and farmer group leaders was split to understand viewpoints from each of the different demographics. The structure of the focus groups ran as follows:

- Introductions
- Presentation of research:
- Reason for the research
- Research objectives
- Statement of the ground rules of the focus group and assurances of confidentiality
- Questionnaire run through, allowing for deviations of relevance an interest to enhance the research
- Thanks and final questions
- Next steps

## **Ethics**

A preparatory note to be sent to the unions to confirm the research purpose and ensuring confidentiality. A consent form was also prepared for all participants to review and sign as part of the research. Strict GDPR compliance is in place for protection of all data captured.

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Cover image: Women work together on each other's farms  
to collect cocoa pods at harvest time in Affery, Côte d'Ivoire

Photography credits: Mondelez International, Chris Terry,  
Kate Fishpool, Peter Caton

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