



Monitoring, Evaluation and Learning Framework

Developed based on the Principles for Sustainable Cocoa

April 30, 2019 (last updated February 02, 2022)

Introduction

The Swiss Platform for Sustainable Cocoa (Cocoa Platform) is an association bringing together representatives of the private sector, civil society, research institutions and the Swiss Confederation. The aim of the multi-stakeholder initiative is to promote sustainability in the cocoa value chain and to make a measurable contribution to the 2030 Agenda.

A Declaration of Intent comprising ten strategic goals to promote sustainability in the cocoa value chain, which was developed in a participatory multi-stakeholder process, was signed on June 28, 2017 (Annex A). In goals 1 and 2, the Cocoa Platform commits to promote the social, environmental and economic sustainability in the cocoa value chain and to make measurable contribution to the UN Sustainable Development Goals (SDGs) and (implicitly) to the Global Cocoa Agenda (GCA). In Goal 5, the Cocoa Platform commits to a sourcing of all cocoa and cocoa products imported into Switzerland from sustainable production in the long term, with a first milestone set for 2025, by when 80 percent of cocoa and cocoa products shall be sourced from sustainable production.

The aim of this document is to further define "sustainable cocoa" and to define how the achievements towards the Cocoa Platform's goals and the SDG's are measured. For this reason, the Board set up a Task Force led by the Coordination Office to define Principles for Sustainable Cocoa and to develop a common Monitoring, Evaluation and Learning (MEL) Framework in close alignment to these Principles.

A group of members of the Platforms NGO sector developed a first proposal for the Principles for Sustainable Cocoa. For the selection of indicators and the development of the methodology of the MEL Framework, SECO commissioned FiBL to work in close collaboration with the Task Force. The overarching requirement for the development of the MEL Framework was the alignment with existing sets of indicators and evaluation methods on the international level to prevent redundant efforts, such as the GCA Monitoring Framework currently being developed by the International Cocoa Organization (ICCO), as well as the CocoaAction of the World Cocoa Foundation (WCF), and Cocoa & Forests Initiative (CFI) Frameworks co-led by IDH and WCF.

In January 2019, the Cocoa Platform kicked off seven innovative value chain projects, co-financed by SECO, to promote sustainability in the countries of origin. These projects will serve as a pilot phase for the implementation of the MEL Framework. To do so, the project leaders and other practitioners are planned to form a MEL Community of Practice to substitute the Task Force with the aim to facilitate the implementation of the MEL Framework and further develop the metrics and the survey methodology.

1 Definition of Sustainable Cocoa

¹ In the strategic goal number 1 of its Declaration of Intent, the Cocoa Platform commits to enhance the social, environmental and economic sustainability in the cocoa value chain.

² The Cocoa Platform defines *Sustainable Cocoa* as:

Cocoa which is produced and sourced from a system that strives for decent living conditions of cocoa farmers and their families, promotes climate mitigation and adaption and protects biodiversity, and aims at an economically viable and transparent cocoa value chain, both for present and future generations.

³ This definition is based on the Brundtland definition for sustainable development¹, the ICCO Global Cocoa Agenda² and the International Cocoa Agreement³.

2 Principles for Sustainable Cocoa

¹ More specifically to the definition laid down in Art. 1 para. 2, the criteria for Sustainable Cocoa are met by addressing following *Principles for Sustainable Cocoa*:

1. Promotion of decent living conditions and the contribution to a living income for cocoa farmers and their families, e.g. through the promotion of income diversification;
2. Prevention of the worst forms of child labour;
3. Prevention of deforestation and sourcing from protected areas and promotion of reforestation;
4. Promotion of climate-smart agriculture and on-farm biodiversity, e.g. through the promotion of agroforestry systems, and soil, water and disease management;
5. Increased farm productivity and profitability; and
6. Promotion of participation, partnership and transparency along the cocoa value chain.

² Efforts to promote the sustainability in the cocoa value chain shall address the Principles for Sustainable Cocoa, and all members of the Platform are encouraged to follow these principles in their projects, programs and initiatives (interventions).

³ Each of the Principles for Sustainable Cocoa is reflected in the Monitoring, Evaluation and Learning (MEL) Framework and is provided with a set of specific indicators to measure progress towards meeting the principles.

⁴ On a cross-sectoral level, the Cocoa Platform encourages the implementation of the UN Guiding Principles on Business and Human Rights⁴, e.g. by implementing the OECD-FAO Guidance on Responsible Agricultural Supply Chains⁵.

3 Cocoa Sourcing Statistics

This article is excluded from the consultation as the methodology was developed by a representative Task Force and approved by the Board prior to the development of the indicators.

¹ Brundtland Report "Our Common Future", United Nations, 1987, <http://www.un-documents.net/our-common-future.pdf>

² https://www.icco.org/about-us/international-cocoa-agreements/doc_download/307-global-cocoa-agenda-english.html

³ https://www.icco.org/about-us/international-cocoa-agreements/cat_view/2-icco-agreements-and-their-history/3-2010-international-cocoa-agreement.html

⁴ https://www.ohchr.org/documents/publications/GuidingprinciplesBusinesshr_eN.pdf

⁵ <http://www.oecd.org/daf/inv/investment-policy/rbc-agriculture-supply-chains.htm>

¹ In strategic goal number 5 of its Declaration of Intent, the Cocoa Platform commits to a sourcing of cocoa and cocoa products physically imported into Switzerland from sustainable production in the long-term while ensuring traceability. A first milestone is set for the year 2025, by when 80% of cocoa and cocoa products shall be sourced from sustainable production.

² *Cocoa and cocoa products imported into Switzerland* are defined as commodities which are directly imported into Switzerland and thus recorded by the Swiss Foreign Trade Statistics⁶ and which belong to following World Customs Organization Harmonized System codes (HS-Codes)⁷:

- a. HS-Code 18: Cocoa and cocoa products (except for HS-Code 1802 Cocoa Waste); and
- b. HS-Code 1701.09 White chocolate.

A detailed definition of the HS-Codes is attached in Annex C.

³ Prior to calculating the percentage of cocoa sourced from sustainable production, volumes of cocoa and cocoa products in metric tons are converted into *cocoa equivalents* using predefined – where available – internationally recognized conversion factors, as listed in Annex C.

⁴ *Cocoa sourced from sustainable production* is defined as cocoa equivalents which are produced and certified according to internationally recognized sustainability standards or which are produced according to sustainability programs meeting the Principles for Sustainable Cocoa and being credibly verified by an independent third party. Cocoa sourced from sustainable production corresponds to para. 2 letters a) and b) and is calculated as follows:

$$\text{Cocoa sourced from sustainable production [\%]} = \frac{\text{certified} + \text{verified cocoa equivalents}}{\text{total imported cocoa equivalents}}$$

⁵ In a survey conducted by the Coordination Office, the members of Sectors A and B of the Cocoa Platform (chocolate manufacturers, importers, traders and food retailers) must declare the volumes of cocoa and cocoa products imported into Switzerland in metric tons and the respective methods of production and verification of compliance as follows:

- a. *Third-party certification*: Sustainable production standard certified by an independent third party according to internationally recognized sustainability standards, such as Fairtrade, Rainforest Alliance/UTZ, Organic, and if applicable ISO/CEN (volumes must be declared for each standard separately);
- b. *Third-party verification*: Sustainable production program in compliance with the Principles for Sustainable Cocoa credibly verified by an independent third-party (program and verification body must be declared);
- c. *First party declaration*: Sustainable production program in compliance with the Principles for Sustainable Cocoa credibly declared by a company (program must be declared);
- d. *No information*: No information available regarding production method; and
- e. *Conventional*: Conventional production method.

⁶ To prevent double-counting, any multiply certified or verified volumes of imported cocoa and cocoa products must be declared separately for deduction.

⁶ <https://www.gate.ezv.admin.ch/swissimpex/>

⁷ <http://www.wcoomd.org/en/topics/nomenclature/overview/what-is-the-harmonized-system.aspx>

⁷ The survey is conducted once per year based on the data of the Swiss Foreign Trade Statistics for the preceding year.

4 Monitoring, Evaluation and Learning (MEL) Framework

¹ In strategic goal number 2 of its Declaration of Intent, the Cocoa Platform commits to make a measurable contribution to the UN Sustainable Development Goals (SDGs).

² To measure the contribution of the projects, programs and initiatives (interventions) of the members of the Cocoa Platform, a common MEL Framework was developed to serve the following purposes:

- a) *Monitoring*: A continuous assessment using selected, relevant and systematically collected data to provide information about the output and progress made towards the objectives of interventions (accountability);
- b) *Evaluation*: A punctual assessment to complement ongoing monitoring and to provide more in-depth and systematic information about the relevance, effectiveness, impact and sustainability of interventions; and
- c) *Learning*: Analysis of success cases and failures based on collected monitoring and evaluation data to provide information for decision-making and for continuous improvement of the impact and effectiveness of interventions.

³ The MEL Framework consists of a set of basic output, advanced outcome and sector-wide impact indicators as well as additional optional indicators to monitor and evaluate outputs, outcomes and impacts of projects, programs and initiatives (interventions), as also shown in Annex D, and more detailed in Annex E (complete MEL), Annex F (metrics) and Annex G (results chain).

- a) *Basic output Indicators* measure and monitor outputs and progress being made against the objectives of interventions (accountability). Following basic output indicators have been defined in close alignment to the Principles for Sustainable Cocoa laid down in art. 2 para. 1:
 - 1.1 Farm households reached with income and crop diversification
 - 1.2 Access to finance
 - 2.1 Coverage by child labour monitoring and remediation scheme
 - 3.1 Farm mapping for traceable cocoa
 - 4.1 Promotion of agroforestry systems
 - 4.2 Training of farmers in climate-smart agricultural practices
 - 5.1 Availability of advisory services
 - 5.2 Provision of cocoa planting material
 - 6.1 Long-term contracts and relationships with buyers
- b) *Advanced outcome indicators* measure and evaluate immediate and intermediate outcomes achieved through interventions;
- c) *Sector-wide impact indicators* measure and evaluate long-term impacts of interventions on a more systemic level and are implemented horizontally across interventions on a sample basis, ideally by an independent third party;
- d) *Optional Indicators* complement the set of indicators to broaden the coverage and to harmonize the with other international frameworks and initiatives in the field of sustainable cocoa (Annex H);

- e) *Farm and household characteristics* are recorded when collecting data to put the results into a wider context and to perform additional analysis especially in relation to cross-cutting issues such as youth and gender (Annex I).

5 Implementation of the MEL Framework

¹ In order to measure the contribution to the Cocoa Platform's goals and the SDGs on an aggregated level, all members of the Platform are strongly encouraged to monitor the outputs of their projects, programs and initiatives (interventions) by implementing the set of basic output indicators (where applicable) once per year.

² For projects co-financed by SECO, the monitoring implementing the basic output indicators (where applicable) is mandatory once per year, and an according budget must be reserved in the total project costs.

³ Projects co-financed by SECO are strongly encouraged to have their immediate and intermediate outcomes evaluated by using the set of advanced outcome indicators and to participate in the evaluation of long-term impacts by implementing the sector-wide impact indicators (where applicable).

6 MEL Community of Practice

¹ The Task Force MEL Framework and Sustainable Cocoa was commissioned by the Board for the development of the MEL Framework and the Principles for Sustainable Cocoa. The Task Force was constituted by two representatives of each member sector and was led by the Coordination Office. With the completion of the MEL Framework, the Task Force dissolved and will be substituted by the MEL Community of Practice.

² The MEL Community of Practice will bring together the project leaders of the projects co-financed by SECO and other practitioners to facilitate the practical implementation and the further development of the MEL Framework, specifically with respect to the technical details of the metrics and methodology (e.g. development of common questionnaires and score cards) in an ongoing learning process.

7 Verification of compliance, confidentiality and reporting

¹ Certification bodies and independent third parties contracted for the verification of compliance must meet the following criteria:

- a) Balanced inclusion of all interest groups;
- b) Fair and transparent feedback mechanisms; and
- c) Periodical revision and continuous improvement of criteria.

² International organizations responsible for the recognized sustainability standards are encouraged to continuously improve their standards to comply with the Principles for Sustainable Cocoa.

³ Any data and results of individual members must be treated strictly confidential by the Coordination Office.

⁴ The consolidated and aggregated results of the monitoring, evaluation and learning efforts of the Cocoa Platform will be reported in a transparent manner and made accessible to the public.

8 Adoption, amendments and further development

¹ This framework was adopted by the General Assembly of the Swiss Platform for Sustainable Cocoa on April 30, 2019.

² Any further amendments must be approved by the Board.

³ The Board, in close cooperation with the MEL Community of Practice, takes on the responsibility of the further development of the MEL Framework, especially with respect to technical details on metrics and methodology of the indicators.

9 Annex

Annex A	The ten strategic goals of the Declaration of Intent
Annex B	Definition of Sustainable Cocoa and Principles for Sustainable Cocoa
Annex C	Cocoa Sourcing Statistics definitions and conversion factors
Annex D	Logic of MEL Framework and indicator levels
Annex E	Framework
Annex F	Detailed Framework with metrics
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Annex J	Agroforestry Systems
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Annex A: The ten strategic Goals of the Declaration of Intent

The Swiss Platform for Sustainable Cocoa is committed to

1. enhancing the social, environmental and economic sustainability of the cocoa production value chain, with the aim of substantially improving the living conditions of cocoa producers and their families and creating an attractive cocoa sector for present and future generations;
2. making a measurable contribution to the UN Sustainable Development Goals (SDGs)⁸, which are to be pursued by all countries including Switzerland until 2030;

In particular, focus will be placed on Goals 1 (No Poverty), 2 (Zero Hunger), 4 (Quality Education), 5 (Gender Equality), 8 (Decent Work and Economic Growth), 12 (Responsible Consumption and Production), 13 (Climate Action), 15 (Life on Land) and 17 (Partnerships for the Goals).

3. promoting the dialog with local authorities and organizations in producer countries, and supporting and encouraging them to improve the situations of cocoa farmers and their families;
4. closely coordinating the measures of the Cocoa Platform with other international and national initiatives;

Particular mention should be made of the CocoaAction and Cocoa & Forests initiatives coordinated by the World Cocoa Foundation (WCF), the International Cocoa Initiative (ICI), and the national implementation plans of producer countries and other consumer countries, such as the German Initiative on Sustainable Cocoa.

5. in the long term, basing the entire physical flow of products containing cocoa (beans, butter, mass, finished products, etc.) into Switzerland in the procurement process on sustainable agricultural production and to ensuring traceability;

By 2025, at least 80% of the cocoa in products containing cocoa, 1) should be produced and certified according to internationally recognized sustainability standards, such as the Rainforest Alliance/Sustainable Agriculture Network, UTZ, Organic, Fairtrade and if applicable ISO/CEN, or 2) should be produced according to a procedure comparable to one of the standards above in terms of requirements and which has been credibly verified, or 3) should originate from another form of procurement that

makes a measurable contribution to the SDGs and has been credibly verified. The proportion of sustainably procured cocoa should be continually increased in accordance with a baseline established by the end of 2017.

6. strengthening the Cocoa Platform as a center of information and competence, whereby members present the measures they employ to strengthen a sustainable cocoa value chain in a transparent and consolidated manner via the Cocoa Platform, including to the interested public, and clearly report on their contributions toward achieving the aims of the Cocoa Platform;
7. actively participating in the development and implementation of innovative solutions with a systemic impact;

An initial focus will be placed on forms of cooperation designed to improve the traceability of cocoa

⁸ <https://sustainabledevelopment.un.org/sdgs>

butter, strengthen the climate resiliency of cocoa farming, ensure adequate access to financial services and reduce trade barriers, requiring the pooling of private and public sector forces.

8. networking, exchanging ideas and learning from one another to further develop and apply coherent approaches and best practice;
9. enabling small companies with limited resources and networks in the countries of origin to actively participate in the Cocoa Platform and to
10. continually opening up the Cocoa Platform in order to encourage as many economic and social actors relevant to the cocoa value chain as possible to make binding and measurable contributions towards the platform's aims.

Annex B: Definition and Principles for Sustainable Cocoa

Table 1: Definition of Sustainable Cocoa and related Principles for Sustainable Cocoa

Definition of Sustainable Cocoa		Principles for Sustainable Cocoa
<i>Social</i>	Promotion of decent living conditions for cocoa farmers and their families	1. Promotion of decent living conditions and the contribution to a living income for cocoa farmers and their families, e.g. through the promotion of income diversification
		2. Prevention of the worst forms of child labour
<i>Environmental</i>	Promotion of climate mitigation and adaption and protection of biodiversity	3. Prevention of deforestation and sourcing from protected areas and promotion of reforestation
		4. Promotion of climate-smart agriculture and on-farm biodiversity, e.g. through the promotion of agroforestry systems, and soil, water and disease management
<i>Economic</i>	Promotion of an economically viable and transparent cocoa value chain for present and future generations	5. Increased farm productivity and profitability
		6. Promotion of participation, partnership and transparency the cocoa value chain

Annex C: Cocoa Sourcing Statistics definitions and conversion factors

Table 2: HS-Codes for cocoa and cocoa products, and respective conversion factors

HS-Code	Commodity	Explanation	Conversion factor	Source
1801	Cocoa beans		1	ICCO
1803.1	Cocoa paste/liquor		1.25	ICCO
1803.2	Cocoa cake		1.18	ICCO
1804	Cocoa butter		1.33	ICCO
1805	Cocoa powder, unsweetened		1.18	ICCO
1806.1	Cocoa powder, sweetened		0.4	
1806.2	Chocolate, in blocks > 2 kg	Semi-finished chocolate and other food preparations containing cocoa > 2 kg	0.4	
1806.31	Chocolate, filled	Filled chocolate and other food preparations containing cocoa, finished products =< 2 kg	0.2	
1806.32	Chocolate, not filled	Chocolate and other food preparations containing cocoa, finished products =< 2 kg	0.4	
1806.9	Other	Other food preparations containing cocoa, chocolate other than blocks, slabs or bars (e.g. balls, Easter bunnies, etc.), finished products =< 2 kg	0.2	
1704.901	White chocolate		0.2	

Annex D: Structure of the MEL Framework and indicator levels

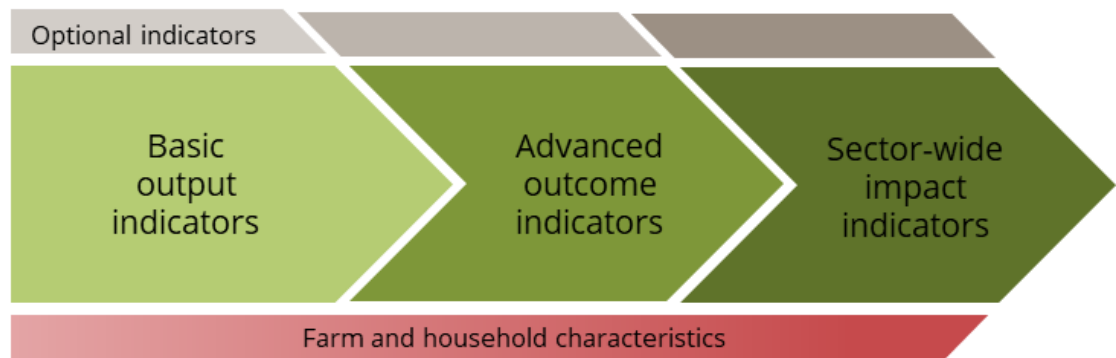


Figure 1: Modular structure of the MEL Framework consisting of basic output indicators, advanced outcome indicators and sector-wide impact indicators. Farm and household characteristics form the basis of all assessments and the framework can be expanded with a set of optional indicators.

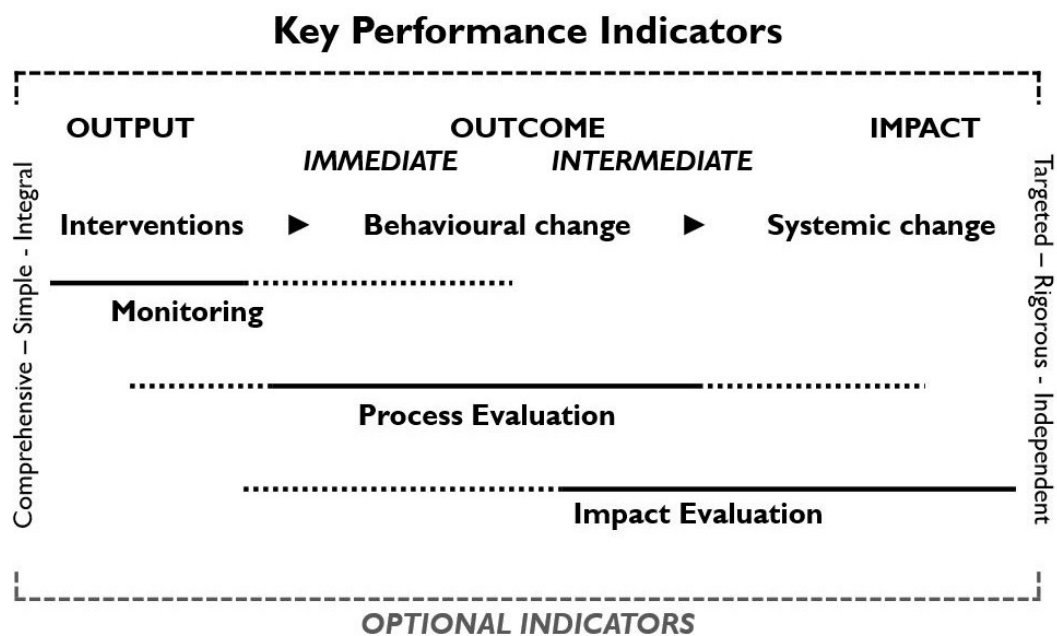


Figure 2: Results chain analyzing output, outcome and impact.

Annex E: Overview of the MEL Framework

Table 3: Monitoring, Evaluation and Learning (MEL) Framework with indicators (metrics not included in this overview)

	Principles for Sustainable Cocoa	Basic output indicators		Advanced outcome indicators		Sector-wide impact indicators	
Social	1. Promotion of decent living conditions and the contribution to a living income for cocoa farmers and their families, e.g. through the promotion of income diversification	B1.1	Farm households reached with income / crop diversification	A1.1	Adoption of income and crop diversification measures	I1	Household income / farm income
		B1.2	Access to finance				
	2. Prevention of the worst forms of child labour	B2.1	Coverage by child labour monitoring and remediation scheme	A2.1			
Environmental	3. Prevention of deforestation and promotion of reforestation	B3.1	Farm mapping for traceable cocoa	A3.1		I3	Deforestation-free cocoa
	4. Promotion of climate-smart agriculture and on-farm biodiversity	B4.1	Promotion of agroforestry systems	A4.1	Implementation of agroforestry systems		
		B4.2	Training of farmers in climate-smart agricultural practices	A4.2	Adoption of climate-smart agricultural practices		
Economic	5. Improvement of farm profitability	B5.1	Availability of advisory services	A5.1	Cocoa productivity	I5	Crop profitability
		B5.2	Provision of cocoa planting material	A5.2	Renovation and rehabilitation of cocoa areas		
	6. Promotion of participation, partnership and transparency the cocoa value chain	B6.1	Long-term contracts and relationships with buyers	A6.1	Functional capacities in producer organizations	I6	Transparency of service provision and prices

Annex F: Principles and respective MEL Indicators

Table 4: Social Principles for Sustainable Cocoa with respective indicators and metrics

	Principles	Level	Indicator	Metric	Data collection	
Social	1. Promotion of decent living conditions and the contribution to a living income for cocoa farmers and their families, e.g. through the promotion of income diversification	Output	B1.1	Farm households reached with income and crop diversification	# and % of farmers participating in capacity development for diversification (M/F) # and % of farmers participating in a capacity development intervention (training, coaching, farmer field school, etc.) for a specific measure (M/F)	Sample data
		Output	B1.2	Access to finance	# and % of farmers using a saving account (requirement is a saving activity within past 12months, M/F) # and % of farmers with access to loans (M/F); Average loan amount Interest rate for loans	Project monitoring data
		Outcome	A1.1	Adoption of income / crop diversification measures	<u>Measures implemented on project/programme farms</u> # of measures applied by farmer # and % of farmers in applying a specific measure # and % of farmers applying diversification % of total farm area on which crop diversification is applied. <u>Awareness of diversification measures (additional metric)</u> # of measures known by farmer; # and % of famers with knowledge of spec. measure # and % of famers aware of diversification (in general)	Farm survey
		Impact	I1	Household income / farm income	<u>Household income (main metric)</u> \$ cocoa income per household (M/F). \$ income from other farm activities (crops, livestock) per household (M/F). \$ income from off-farm activities per household (M/F). \$ income through remittances per household (M/F). <u>Poverty and living income (additional metric)</u> % of farm households below/above poverty line. % of farm households below/above living income benchmark	Farm household survey
	2. Prevention of the worst forms of child labour	Output	B2.1	Coverage by child labour monitoring and remediation scheme	<u>For CLMS and/or CLMRS (as applicable)</u> # and % of programme / project households covered by scheme; % of programme / project households covered by scheme in comparison to cocoa growing households in company's cocoa sourcing area	Project monitoring data

Table 5: Environmental Principles for Sustainable Cocoa with respective indicators and metrics

	Principles	Level	Indicator	Metric	Data collection	
Environmental	3. Prevention of deforestation and promotion of reforestation	Output	B3.1	Farm mapping for traceable cocoa	# and % of farm mapped either by farm polygon or GPS points # and % of farms mapped by farm polygon # and % of farms mapped by GPS point	Project monitoring data
		Impact	I3	Deforestation-free cocoa	<u>Farms and farm area outside of protected areas (current practice)</u> # and % of farms with total farm area proven to be outside protected areas as per local laws Ha and % of total farmland proven to be outside protected areas as per local laws <u>Farms and farm area outside of HCS and HCV areas (future practice)</u> # and % of farms with total farm area proven to be outside HCS and HCV areas. Ha and % of total farmland proven to be outside HCS and HCV areas	Remote sensing data and GIS data
	4. Promotion of climate-smart agriculture and on-farm biodiversity	Output	B4.1	Promotion of agroforestry systems (Annex J)	# of shade trees distributed # of shade trees distributed per farm # and % of farmers in the programme / project receiving shade trees (M/F)	Project monitoring data
		Output	B4.2	Training of farmers in climate-smart agricultural practices	# and % of farmers participating in a capacity development intervention (training, coaching, farmer field school, etc.; M/F); reported f for each CSA practice # and % of farmers participating in capacity development for CSA (M/F);	Project monitoring data
		Outcome	A4.1	Implementation of agroforestry systems	# of permanent shade trees per ha on cocoa farm # of permanent shade tree species per ha on cocoa farm	Farm survey
		Outcome	A4.2	Adoption of climate-smart agricultural practices (Annex K)	# and % of farmers applying a specific practice (M/F); recorder for each practice # and % of farmers applying CSA in the programme / project area (M/F); % of total farm area on which CSA is applied. <u>Awareness of CSA practices (additional metric)</u> # and % of famers with knowledge of a specific practice (M/F), for each practice # and % of famers aware of CSA in programme / project area (M/F);	Farm survey

Table 6: Economic Principles for Sustainable Cocoa with respective indicators and metrics

	Principles	Level	Indicator	Metric	Data collection	
Economic	5. Improvement of farm profitability	Output	B5.1	Availability of advisory services	# farmers per field officer/coach in programme or project	Project monitoring data
		Output	B5.2	Provision of cocoa planting material	# cocoa seedlings distributed to farmers # and % of farmers in the programme / project receiving cocoa seedlings	Project monitoring data
		Outcome	A5.1	Cocoa productivity	kg cocoa yield per ha and per farm;	Farm survey
		Outcome	A5.2	Renovation and rehabilitation of cocoa areas	Ha and % of cocoa area on farm replanted. Ha and % of cocoa area on farm rehabilitated (pruned or grafted). # and % of farmers with renovated or replanted areas on their farm	Farm survey
		Impact	I5	Crop profitability	\$ gross margin per ha of cocoa (M/F); \$ gross margin per ha of other crops (M/F)	Farm household survey
	6. Promotion of participation, partnership and transparency the cocoa value chain	Output	B6.1	Long-term contracts / relationships with buyers	# and % of farmers with long-term contracts / relationship with buyers (> XXX years) # and % of producer organizations with long-term contracts / relationship with buyers (> XXX years) Years of consecutive buying	Project monitoring data
		Outcome	A6.1	Functional capacities in producer organizations	Functional capacity Score for each scorecard item For each capacity → Score aggregated over scorecard items	Score card
		Impact	I6	Transparency of service provision and prices	<u>Transparency of prices (main metric)</u> # and % of farmers indicating that they receive a fair price <u>Transparency of service delivery (additional metric)</u> # and % of farmers indicating that they fully understand the arrangements they make with service providers	Farm household survey

Annex G: Draft Results Chain

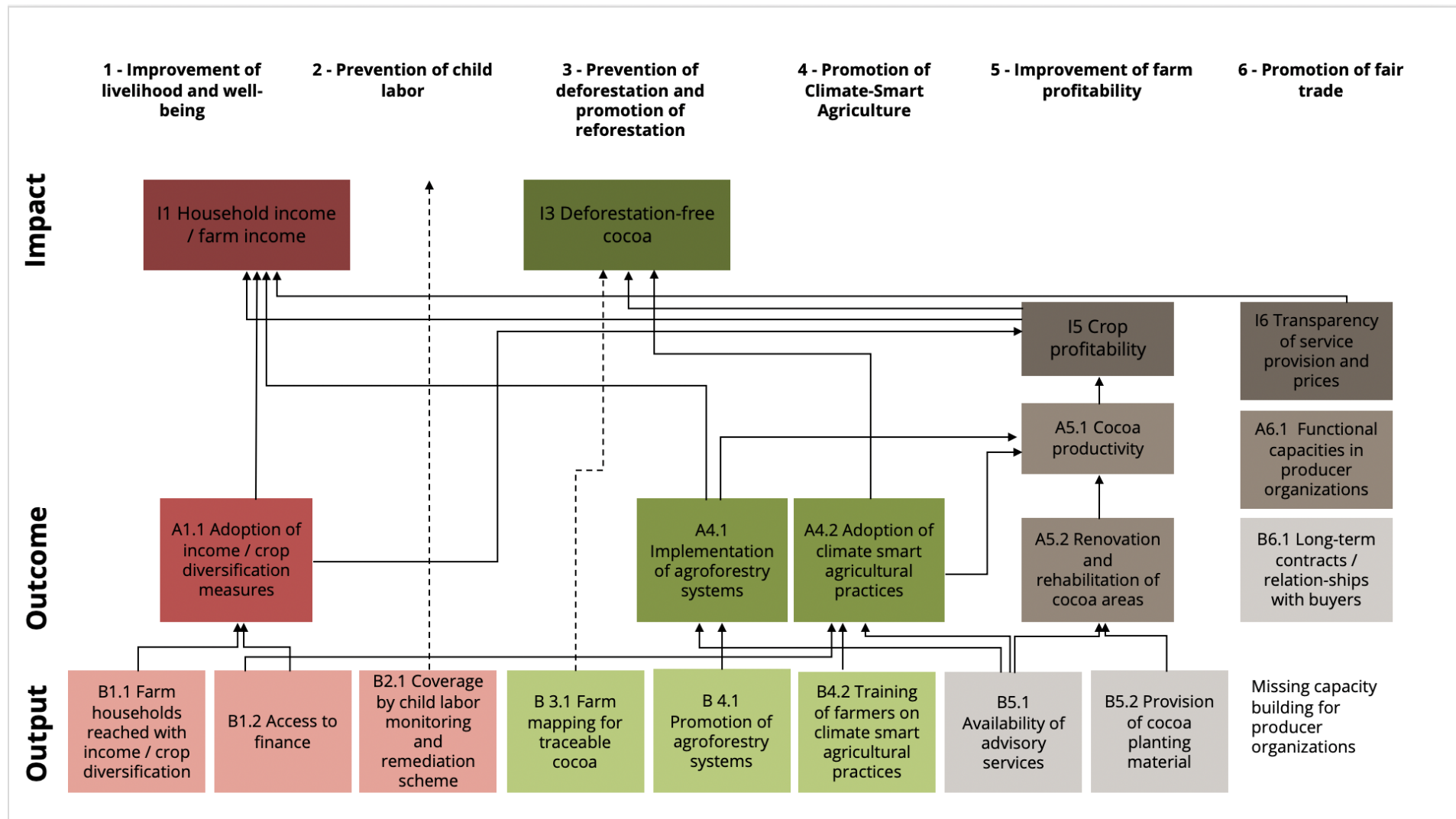


Figure 3: Results chain (will be updated after the consultation)

Annex H: Optional Indicators

Pr.	Level	Indicator	Metrics	Data collection
1	OUTCOME	OI 1: Adequate working conditions	Lowest daily wage (\$); Breaks (#); Av. weekly work time (hrs); Use of protective gear (Y/N); Workers with permanent contract (# and %)	Sample data Farm survey
	OUTCOME	OI 2: Cocoa farming viable option for next generation	Y/N (age group, M/F)	Sample data Farm survey
2	IMPACT	OI 3: Child labour incidence in cocoa growing communities	Farm households in community affected; children per community affected (# and %, age group, M/F)	Sample data Farm survey
	OUTCOME	OI 4: Children attending school	Children per community receiving school education at age-appropriate level (# and %, M/F)	Sample data Farm survey
		OI 5: Availability of school education	Schools (primary/secondary) per 1000 children, within walking distance (#)	Sample data Farm survey
3	OUTCOME	OI 6: Reforestation in cocoa production areas	Cocoa production areas restored with native trees (ha); native trees planted off farm (#) [Requirements to be fulfilled according to FAO definition of forest]	Sample data Farm survey
4	IMPACT	OI 7: Reduction in CO ² emissions on farm	CO ² avoided/sequestered per farm (tonnes)	Sample data Cool Farm Tool
5	IMPACT	OI 8: Change in livelihood strategies	Cocoa area converted to other land uses (ha)	Sample data Farm survey
6	OUTCOME	OI 9: Value chain integration	Collabouration, information exchange, financial flows	Network mapping data

Annex I: Farm characteristics

ID	Variable	Metric
1	Total farm size	Ha
2	Area of cultivated land (all crops)	Ha
3	Number and type of crops	Crops (#), Type
4	Certification	Y/N
5	Household size	Persons (#)
6	Household composition	M/F (#), Persons of working age (#), Dependents (#), household head (M/F)
7	Age of farm manager	Years
8	Gender of farm manager	M/F
9	Formal education level of farm manager	Schooling (Years)
10	Experience of farm manager with cocoa	Years
11	Further education of farm manager	Training attended in last 5 years (#)
12	Membership in farmer association / producer organisation	Y/N

Annex J: Agroforestry Systems

Based on the joint ISCO definition list, SWISSCO differentiates between (i) entry level, (ii) basic, (iii) advanced and (iv) dynamic agroforestry systems depending on # of permanent shade trees per ha on cocoa farm and # of permanent shade tree species per ha on cocoa farm

Entry Level for Agroforestry: At least 16 (non-cocoa) trees per ha with a minimum of 3 different tree species, that are preferably native. This entry level for agroforestry systems corresponds to CFI and WCF indicators on agroforestry.

Basic Category for Agroforestry: At least 40% shade canopy cover with a minimum of 5 different native tree species. This category for agroforestry is in accordance with Rainforest Alliance's shade coverage and species diversity reference parameters.

Advanced Category for Agroforestry: At least 40% shade canopy cover; minimum of 12 different native tree species (pioneer species excluded); at least 15% native vegetation coverage; 2 strata or stories and shade species should attain a minimum of 12-15 meters in height. In this category a special focus is given to the landscape approach on agroforestry. This category is alignment with the recommendations of the VOICE Network.

Dynamic Agroforestry Systems: These systems are characterized by a very high density of trees per hectare. There is an abundance of different tree species, high biodiversity, plant communities with

different life cycles that serve different purposes (CO2, income sources, food etc.). They grow in different stories (strata) without competition. There are at least 3 different stories (strata), regenerative practices are used, and food security and income sources outside of cocoa are guaranteed. This system mimics the natural habitat of cacao in a highly developed cultivation system. Chocolats Halba's Dynamic Agroforestry Projects are seen as a model for this category.

Annex K: Climate Smart Agriculture Practices

Climate Smart Agriculture (CSA) is an approach that aims to enhance the capacity of agricultural systems **to sustainably intensify productivity**, incorporating the need for **adaptation** and the **potential for mitigation**. At the farm level, the CSA approach translates into the implementation of a wide spectrum of farm management practices that are considering the contextual specificities (i.e. climate conditions and predictions) of a given region. The latter are covering and coinciding with several practices associated to the concepts of Good Agricultural Practices (GAP), Integrated Pest Management (IPM) and Integrated Soil Fertility Management (ISFM) and given their complementarities and trade-offs in achieving the CSA goal, they must be recognized as a package.

In the following table (developed by FiBL for SWISSCO and SECO) the CSA practices to be accounted for in the assessment of “**B4.2 – Training of farmers in climate-smart agricultural practices**” and “**A4.2 – Adoption of climate-smart agricultural practices**” are listed. The latter were selected mainly from the following sources:

- World Cocoa Foundation and Rainforest Alliance, 2018: Climate-Smart Agriculture in Cocoa: A Training Manual for Field Officers.
- International Centre for Tropical Agriculture (CIAT), 2018: Prioritization of Climate Smart Practices for Cocoa in Peru.
- Babin Regis, 2018: Handbook of Pest Management in Organic Farming, Chapter: 20, Publisher: CAB International, Editors: pp.502-518.

ID	PRACTICE	DEFINITION	RELEVANCE
<i>Soil Management Practices</i>			
01	Land preparation: no burning	The land is cleared without burning and unnecessary removal of organic matter.	Especially relevant in case of: ✓ Establishment of new plantations.
02	Application of mulches on early stage plantations	Application of organic materials to the soil surface.	Especially relevant in case of: ✓ Early stage plantations; ✓ Mature plantations with no leave bed cover.
03	Use of Cover crops	Growing of low-lying crops within the cocoa plantation, such as: <i>cow pea, sweet potato, pumpkins</i> , etc.	Especially relevant in case of: ✓ Early stage plantations; ✓ Mature plantations with no leave bed cover.

04	Application of organic fertilisers	Such as manure (fresh animal dung) and compost (mixture of decayed organic matter, incl. vermicomposting, etc.).	General
05	Optimised application of inorganic fertilisers	The use of inorganic fertilisers is limited to a minimum by considering nutrient analysis of soils or cocoa leaves.	General
Water Management Practices			
06	Drainage measures – trenches / contour lines	Establishment of trenches and/or contour lines on the cocoa field.	Especially relevant in case of: ✓ Heavy rains, especially in hotter climates where the soil can be very dry.
07	Rainwater harvesting and use	Rainwater harvesting can be done for instance by digging ponds, placing barrels outside when it rains etc.	General
08	Heat and drought tolerant varieties*	Integration of cocoa varieties that are able to maintain their biomass production during arid or drought conditions.	General
Pest and Disease management			
09	Regular weeding	Removal of weeds on a regular basis.	General
10	Monitoring of pests and diseases	Includes the regular scouting of plants for pests and diseases and the use of other methods to monitor the levels of infestation e.g. sticky traps	General
11	Regular Sanitary Pruning	Selective removal of visibly infected parts of the plants such as branches, shoots, etc. (at least three times a year).	General
12	Disease resistant varieties*	Integration of cocoa varieties that are able to resist to certain types of diseases.	General
13	Use of bio-pesticides	This includes the application of plant extracts such as neem and/or bacterial and fungal preparations (<i>Bt</i> , <i>beauveria bassiana</i>)	General
Crop and Shade Trees Management			
14	Maintenance pruning	Cocoa trees are pruned in order to ensure a structure is maintained that maximises the production capacity of the trees.	General

15	Integration of temporal shade	Temporal shade crops/trees (i.e. plantain) are integrated when establishing new cocoa fields.	Especially relevant in case of: ✓ Early stage plantations.
16	Integration of permanent shade trees	Integration of a diversity of shade trees in cocoa field. Adequate levels (number of shade trees per ha) vary according to different factors (climate zone, cocoa variety, shade tree species etc.).	General

Income diversification strategy

17	Adoption of income/crop diversification measures	<p>Four major types of diversification measures are distinguished in the cocoa farming context:</p> <ul style="list-style-type: none"> ✓ <i>Diversification with annual crops (e.g. vegetable crops, staple crops)</i> ✓ <i>Diversification with perennial crops (e.g. fruit trees, timber trees)</i> ✓ <i>Diversification with livestock or aquaculture at the farm-level (e.g. chicken or cattle)</i> ✓ <i>Diversification with off-farm activities (e.g. salaries from non-farm work)</i> <p>Notes:</p> <ul style="list-style-type: none"> - This is a separate indicator in the framework (A1.1 - Adoption of income / crop diversification measures). - Diversification measures should consider future predictions for local climates and might include a gradual phasing out of cocoa cultivation alongside a slow transition to alternative, more heat and drought tolerant crops. 	General
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* the breeding of varieties that are tolerant to heat/drought and/or to certain pests and diseases need to also account for other relevant traits (e.g. quality and flavour) contributing to an overall sustainable cocoa crop.