



IMPROVING TENURE SECURITY TO SUPPORT SUSTAINABLE COCOA - IMPLEMENTATION PLAN

TENURE AND GLOBAL CLIMATE CHANGE (TGCC) PROGRAM



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Cover Photo: Cocoa community meeting near Dunkwa-On-Offin.

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PROGRAM

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DISCLAIMER

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ACRONYMS AND ABBREVIATIONS

ADR	Alternative Dispute Resolution
AGL	AgroEcom Ghana Ltd
CREMA	Community Resource Management Area
ECOM	Ecom Agroindustrial Corp
GHG	Greenhouse Gas
GOG	Government of Ghana
IEE	Initial Environmental Examination
SOW	Scope of Work
TGCC	Tenure and Global Climate Change
TOT	Training of Trainer
USAID	United States Agency for International Development

EXECUTIVE SUMMARY

In 2016, Hershey's and AgroEcom Ghana Ltd (AGL) – a subsidiary of Ecom Agroindustrial Corp (ECOM) and licensed buying company who supplies cocoa to Hershey's – began work with the Tenure and Global Climate Change (TGCC) Program to gain a better understanding of how to address the complex challenge of deforestation around smallholder cocoa farming in Ghana. This work resulted in an assessment and recommendations for future work, captured in the report *Land and Natural Resource Governance and Tenure for Enabling Sustainable Cocoa Cultivation in Ghana*.¹

The report describes an interlinked set of interventions that encourage replanting old cocoa farms while reducing land use pressures on the forest fringe. Due to limited remaining time and funding in the TGCC project the full set of interventions could not be carried out in the current pilot. Following extensive discussions between USAID, TGCC and AGL, the team decided to implement a reduced set of activities that are achievable in a short time frame and will pilot ways to improve tenure security, productivity and reduce deforestation in the cocoa sector of Ghana.

The overall goal of the pilot is to collaborate with AGL and Hershey's to better understand and test the components of a model for public-private collaboration to help smallholder cocoa farmers in Ghana increase tenure security, replant old cocoa farms, and reduce deforestation and degradation.

This goal will be achieved through five activities:

1. Finalize site selection and complete an initial community assessment;
2. Conduct legal education and establish a dispute resolution mechanism;
3. Clarify and document rights to land and trees for a community of cocoa farmers;
4. Support AGL's cocoa replanting pilot through development of a financial model and training-of-trainer technical assistance; and,
5. Capture learning, results and outreach.

The pilot will be implemented by Ghanaian consultants hired by Winrock International, a subcontractor under the TGCC Program. AGL will collaborate on field work on tenure by providing office space, vehicles, and logistical and staff support and be responsible for re-planting cocoa. Hershey's has funded existing farm level demarcation and will fund additional farm level demarcation, as needed.

¹ Please see the report for additional background and context for the implementation plan.

I.0 INTRODUCTION

Forests are being lost at an alarming rate. Over the last decade it has become clear that loss of forests in the tropics is driven by the expansion of internationally traded commodities. A number of companies have responded to this by pledging to remove deforestation from their supply chains. This catalyzed the creation of the Tropical Forest Alliance 2020—a global public-private partnership aimed at reducing deforestation associated with commodities. Governments have also made commitments to reduce commodity-driven deforestation. In Ghana, cocoa produced by smallholders has been the leading agricultural product driving deforestation for many years. As such, Ghana’s Intended Nationally Determined Contribution to the Paris Agreement on Climate Change specifically includes a 45 percent reduction of greenhouse gas emissions from the cocoa landscape.

However, implementation of these supply chain commitments is lagging, as many companies and governments find that reducing deforestation is harder than expected. Tenure constraints have been identified as a contributing factor, with weak tenure linked to reduced productivity and thus agricultural expansion into forests, and conversely, increased community-level tenure security linked to improved forest protection. This is true in the cocoa landscape in Ghana, where a complex land and tree tenure regime acts as a driver of deforestation and forest degradation while also posing a barrier to replanting unproductive farms to increase yields.

In 2016, Hershey’s and AGL – a subsidiary of ECOM and licensed buying company who supplies cocoa to Hershey’s – began work with the TGCC Program to gain a better understanding of how to address the complex challenge of deforestation around smallholder cocoa farming in Ghana. This work resulted in an assessment and recommendations for future work, captured in the report *Land and Natural Resource Governance and Tenure for Enabling Sustainable Cocoa Cultivation in Ghana*.²

The assessment report identifies a number of challenges that confront Ghana’s cocoa sector in addressing the productivity-deforestation linkage, in particular focusing on the role of land and natural resource governance and tenure. Historic government-held rights to shade trees combined with a desire to promote sun-grown cocoa incentivized the removal of the shade trees. The removal of shade trees produced short-term yield gains at the expense of biodiversity, carbon stocks, and long-term productivity of the cocoa farms. When juxtaposed against the reality that large areas of old cocoa trees have low yield, it is clear that vast areas of Ghana’s cocoa farms need to be replanted.

High costs of tree removal combined with insecure tenure among smallholders (where clearing old trees may result in loss of tenure) can create barriers to replanting. While the Lands Commission is interested in promoting commercial leases for industrial agriculture, the prevalence of a customary land regime promotes smallholder cocoa production. This has prevented large-scale capital investments that could overcome the high replanting costs. Customary tenure arrangements have also historically created incentives to carve out newly planted cocoa farms from secondary and old growth forests, thereby encouraging producers to expand their area rather than intensify production. Due to technical and financial constraints of customary institutions, landscape-scale governance and land use planning within rural cocoa areas rarely happens. Replacing the customary system with a statutory regime is neither realistic nor advisable – solutions need to work through both systems.

² Please see the report for additional background and context for the implementation plan.

Past tree tenure arrangements have also created incentives to degrade shade cocoa forest. While the Forestry Commission has changed its policy on tree tenure to allow farmer rights to shade trees, this is not widely known, and how benefits may be shared between tenant and landlord are untested.

Presently, existing smallholder farms are stuck in an inefficient deadlock of contestations around ambiguous land and tree tenure terms that encourage farmers to keep unproductive cocoa farms in use. Unblocking this deadlock would help create a conducive atmosphere for farmers, landowners, and customary and statutory authorities to mediate and negotiate standard terms for existing land contracts to both improve productivity over the long term as well as reduce deforestation.

Tenure reforms under a smallholder-led cocoa system need to focus on a number of issues. These include: improving coordination between customary and statutory structures; reducing conflict between landlord and tenant; clarifying and documenting rights in different contractual arrangements to strengthen tenure security; transferring rights over timber trees to landowning groups; channeling payments from revenue-sharing schemes to cocoa farmers; and assisting smallholders with cocoa rehabilitation to increase land use value.

The report grouped these reforms into an interlinked set of interventions that encourage replanting old cocoa farms while reducing land use pressures on the forest fringe:

- A. **Strengthen Land Governance.** Establish mechanisms to resolve tenure disputes; enforce land, tree, and farm rehabilitation agreements; and establish tenure-responsive land use planning to help address both problems of accountability and transparency and promote farm rehabilitation.
- B. **Clarify Rights to Land and Trees.** Educate farmers and landlords on benefits of clarifying rights. Document land and tree tenure to help address problems of tenure security in land and trees that undermine incentives to invest in present cocoa lands and maintain shade trees on cocoa farms.
- C. **Invest in Cocoa Farm Rehabilitation.** Engage cocoa buyers, Ghana's Cocoa Board (COCOBOD), and the chocolate industry to create financing plans for tree removal, inputs, and extension services to help overcome the high costs of cocoa farm rehabilitation facing resource-poor farmers. Some small farmers do not want to replant, and others will continue to move to frontier areas because that is what they have always done. But, for many other farmers in the cocoa sector, combining the commitment and wherewithal of cocoa companies, government support agencies, and even the timber industry in a public-private partnership with donor funding would help promote entrepreneurship (particularly among youth), increase cocoa productivity, establish valuable tree species, and improve environmental sustainability.

To achieve results of increasing tenure security, productivity, and forest carbon all three components need to be addressed. However, the TGCC project ends in 2017 and there are insufficient time and resources remaining to carry out a comprehensive pilot that includes all the recommended interventions contained in the report. Following extensive discussions between USAID, TGCC and AGL, the team has decided to implement a reduced set of activities described below that are achievable in a short time frame and will pilot ways to improve tenure security, productivity and reduce deforestation in the cocoa sector of Ghana.

The reduced set of activities combines an existing 50 ha replanting pilot AGL was already planning on carrying out in 2017 with additional work on improving tenure security and developing financial models for replanting with a different (but overlapping) set of farmers. Because replanting needs to occur during the May – July time period it is not possible to sequence the tenure work to occur in advance of the replanting. The methodology for selecting farmers to pilot replanting is also different to the selection

criteria for increasing tenure security. The pilot focusing on tenure insecurity aims to document customary tenure arrangements in a single cocoa farming community. Farmers within the community are expected to have diverse tenure arrangements, with some having weak or insecure tenure and others more secure tenure. The replanting pilot will be driven by farmer self-selection and scattered over a number of communities. In general, the self-selection process is not expected to occur where farmers have tenure insecurity that acts as a barrier to replanting. However, some of the farmers benefiting from replanting may experience tenure insecurity.

Because the tenure landscape in Ghana's cocoa area is a mosaic of different landlord-tenant relationships there is scope to co-locate some of the re-planting activities in the same community where the tenure documentation activities will occur. This should create a useful learning environment. Farmers in the tenure pilot should be able to see the tangible benefits of tenure security leading to opportunities to receive financial and technical assistance support to re-plant. Studying the tenure and decision making criteria of the farmers in the re-planting pilot will also allow the team to better understand how tenure impacts financing models and farmer's decisions to re-plant. When taken together, it is expected that these activities could help develop a model for broader programing in the future. The potential for overlap was discussed during a 20 February 2017 kick-off workshop in Accra between USAID, Tetra Tech, Winrock, AGL, and Hershey's.

2.0 IMPLEMENTATION PLAN

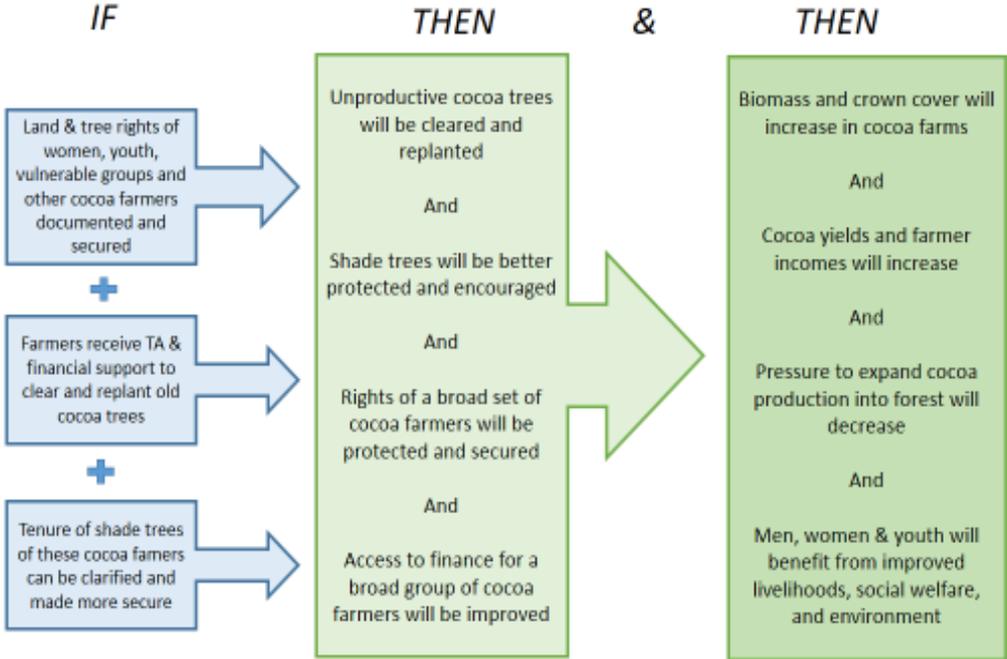
2.1 OVERALL GOAL

The overall goal of the pilot is to collaborate with AGL and Hershey’s to better understand and test the components of a model for public-private collaboration to help smallholder cocoa farmers in Ghana increase tenure security, replant old cocoa farms, increase yields and productivity, and reduce deforestation and degradation.

The learning objectives contained in this overall goal are premised upon the following theory of change:

IF land tenure of women, youth, vulnerable and other smallholder cocoa farmers can be clarified and made more secure, and IF tenure of shade trees of these cocoa farmers can be clarified and made more secure, and IF cocoa farmers can receive technical and financial support to replant old, unproductive cocoa farms, THEN unproductive cocoa trees will be cleared and replanted, shade trees will be better protected and encouraged within cocoa farms, rights and access to finance of a broad group of cocoa farmers will be improved and THEN over time this will result in increased biomass and crown cover in cocoa farms, increases in cocoa yields and farmer incomes, improved livelihood and environments of men, women and young cocoa farmers, and reduce pressure to expand cocoa production into forest areas to increase yield and income.

FIGURE 1: THEORY OF CHANGE



It should be noted that to be most effective at achieving the final objective of reducing pressure on forests additional work on land use planning and enforcement will likely be needed. This is unfortunately beyond the scope of the current pilot.

2.2 SPECIFIC OBJECTIVES

This overall goal contains four specific objectives:

1. Increase tenure security of smallholder cocoa farmers through clarifying and documenting the rights of landholders and tenants that discourage removing old cocoa trees under *stranger tenancy* contracts.³
2. Promote the increase in carbon stocks in cocoa farms over the long term by explaining new Forestry Commission policy on tree tenure and documenting tenants' and landlords' beneficial interests in shade trees.
3. Replant old, unproductive cocoa farms to increase productivity over the next 5-10 years. This requires developing a financing model to replant old cocoa farms and provide extension services to farmers.
4. Develop lessons and recommendations for the Government of Ghana, Ghana's Cocoa Forest REDD+ Program, the World Cocoa Foundation, TFA 2020 partners and others working on related topics with smallholder farmers that will allow the pilot to be replicated and scaled up over time.

2.3 MANAGEMENT AND PRIVATE SECTOR CONTRIBUTIONS

2.3.1 Management and Staffing

US Management and Technical Input

The activities in this Implementation Plan will be supervised within Tetra Tech by the Tenure and Global Climate Change's Tenure Specialist Michael Roth. TGCC will provide on-going support on technical guidance as well as learning from pilots throughout the course of implementation.

Winrock will lead and be responsible for managing the in-country work over the period March 2017 to December 2017. Robert O'Sullivan will provide technical support and management within Winrock with administrative home office support from Therese Tepe. Pablo Ramirez will lead technical input on financial models. Lauren Keller will be responsible for M&E and gender aspects of the project.

In-Country Management and Staff

All in-country staff will be retained by Winrock. Project activities in Ghana will be managed by Dr. Yaw Adarkwah Antwi, based in Accra. Dr. Antwi served as a key advisor and co-author in the previous assessment. He is an expert on tenure in Ghana, is well regarded by a number of government stakeholders, and is familiar with the initiative's goals and activities as a co-creator of the overall pilot during the prior assessment phase.

Site-based activities will be coordinated by Mr. René Dogbe – a tenure and alternative dispute resolution expert who will be located in Kumasi. An additional junior field coordinator will be hired by Winrock and be based in the field close to the project site.

Mr. Yaw Osafo will provide legal advice on documenting tenure arrangements. Mr. Osafo is a practicing Ghanaian lawyer and consultant to the Government of Ghana on REDD+. He recently completed

³ Stranger tenancy arrangements are those in which the cocoa farmer is not a member of the customary community and not permitted to own land under the customary norms of the community. Rather the farmer develops varying arrangements with the customary landowner specifying what percentage of the crop they receive (abunu or abusa) and the nature of their property rights in the land. These arrangements are undocumented and frequently unclear to the parties involved, made more so over successive generations. This tenure type is discussed in more detail in the report *Land and Natural Resource Governance and Tenure for Enabling Sustainable Cocoa Cultivation in Ghana*.

research on tenure for the Government's REDD+ Program. The pilot will be located within the area covered by the Government's REDD+ program.

Dr. Richard Asare will provide advice and training on cocoa farm replanting and agroforestry best practices.

Tetra Tech will sub-contract the land survey firm Landmapp⁴ to produce farm boundary maps of farmers receiving support to document their tenure rights.

2.3.2 Contributions from AGL and Hershey's

Winrock will work closely with AGL to carry out a number of activities with additional support from Hershey's. AGL has graciously offered its office space and use of vehicles for local travel along with support from their field staff to help organize community meetings, conduct additional farm level demarcation if needed, and support other interactions with communities such as surveys. AGL will also lead the replanting of old cocoa farms⁵ – this includes staff time to develop a micro-finance model for cocoa farms along with replanting cocoa. This involves five steps of: i) situational analysis; ii) site selection; iii) planting materials and seedling production; iv) field preparation and planting; and v) plant diversification (see Activity 4 c. for additional detail). AGL will also cover additional costs for Dr. Asare to participate in field level training on agroforestry replanting practices. Ms. Olga Gormalova of AGL will oversee AGL's input.

Tawiah Agyarko-Kwarteng from Hershey's is the local Hershey's representative who will be kept apprised of developments and be involved in any outreach and communication in Ghana throughout the project. Hershey's is currently funding the demarcation of approximately 12,000 producers across 12 districts via an existing program. This program will be used to fund the demarcation of additional farms in our pilot that have not already been mapped.

2.4 ACTIVITIES

Summary Timeline

As noted in the Introduction, the assessment report suggested a comprehensive set of activities that need more than 12 months to complete. The set of activities and timeline presented below are a reduced and condensed set of activities designed to deliver learning objectives and fit into a 10-month implementation window ending in mid-December 2017. The team acknowledges that when dealing with communities and land tenure issues, unexpected challenges may arise in the course of implementation. The team has taken this into consideration in the design and will focus on a manageable number of farmers within a community to minimize the risk of problems and the time it should take to address them.

The implementation plan was discussed and validated at a workshop in Accra on February 20th, 2017. The validation workshop included USAID, TGCC, Hershey's and AGL staff and fine tune this implementation plan so that all partners are in agreement. Following the workshop, finalization of the implementation plan, and approval by USAID, activities will begin in March 2017. Consultant TORs and contracts will be prepared in advance, but cannot be finalized until after the implementation plan has been approved by USAID.

⁴ For more information visit www.landmapp.net.

⁵ See Site selection, p.8 for the grouping of farmers

TABLE I: ACTIVITY AND SUB-ACTIVITY TIMELINE

Sub-Activity	F	M	A	M	J	J	A	S	O	N	D
Activity 1: Finalize Site Selection and Initial Community Assessment											
1. Pilot site identified	X	X									
2. Data collection instruments finalized		X									
3. Information brief		X	X								
4. Rapid assessment/initial survey completed for replanting and tenure security beneficiaries (Group 1 and Group 2; see below)		X	X								
5. Additional farm demarcation (if needed), and demarcation validation			X	X							
Activity 2: Legal Engagement and Dispute Resolution											
6. Training curricula on land and tree tenure		X	X								
7. TOT course for AGL			X								
8. Community meetings and education on land and tree tenure				X	X						
9. Consultation meetings on dispute resolution mechanisms				X	X						
10. Dispute resolution mechanism identified					X	X					
11. Develop and train ADR team						X					
Activity 3: Clarify and Document Rights to Land and Trees											
12. Document review and develop list of norms				X							
13. Develop community map					X						
14. Consultation to agree on terms						X	X				
15. Draft templates							X				
16. Community meeting to verify terms and map								X			
17. Finalize documentation								X	X		
18. Signing ceremony									X		
Activity 4: Develop Financial Model to Invest in Cocoa Farm Rehabilitation											
19. Develop manual and TOT on agroforestry		X	X	X	X	X					
20. Financial analysis and development of draft models		X	X								
21. Community meetings and finalize financial model				X							
22. Replant cocoa farms (AGL)				X	X	X					
Activity 5: Capture Learning, Results and Outreach											
23. Final report and survey completed									X	X	X
24. Close-out workshop in Accra											X
25. Key findings presented at COP 23 or TFA 2020 meeting										X	
26. Presentation at World Cocoa Foundation 2017 Partnership Meeting									X		
27. Briefing note on tree tenure									X	X	
28. Blogs		X									X
29. Quarterly reports to TGCC			X			X			X		X

2.4.1 Activity 1: Finalize Site Selection and Initial Community Assessment

The first activity contains two sub-activities: finalizing site selection and conducting an initial community assessment.

a. Site Selection

The pilot will cover two separate groups of cocoa farmers⁶:

- Group 1 consists of a single community where Winrock will lead work to increase tenure security.
- Group 2 consists of a set of 65 self-selected farmers (8 women and 57 men)⁷ spread across multiple different cocoa communities where AGL will pilot replanting approximately 50 ha of cocoa. The replanting is expected to occur between May and July 2017. Depending on the sites, this work may focus on site preparation with cocoa seedlings only being planted in 2018 after the pilot ends.

Groups 1 and 2 represent two different development approaches to cocoa tenure reform rehabilitation. Group 1 emphasizes community, the role of social relationships and traditional institutions to validate and enforce land and tree rights. Group 2 consists of ‘leader’ farmers and targets interventions at the farmer rather than community level. While Group 2 embeds an entrepreneurial approach to cocoa development, it is unclear how effective this approach is at resolving tenure constraints and therefore how scalable it is. Group 1 is a new way for licensed buying companies to interact with cocoa farmers and gives stronger attention to community rather than farmer development consistent with actions endorsed by Cocoa Action.

To the extent possible, the pilot will aim to overlap Group 1 and Group 2 farmers, with expectations of approximately 10 farmers overlapping between the two groups. See the introduction for additional discussion on the rationale for splitting the pilot between two groups, and the learning that is expected to come from this.

AGL has identified two tentative pilot sites (Atobiase and Famomanyo) for Group 1 in advance of the February validation workshop in Ghana. Site selection for Group 1 includes the following criteria:

- Good AGL relations with cocoa community and limited number of competing Licensed Buying Companies operating in the community.
- Most or all farm boundaries are already mapped by AGL.
- Close proximity to remnant forest or gazetted forest reserve.
- Presence of cocoa farms that have low yields and need to be replanted.
- Some farmers are included in Group 2.
- Interest in written documentation of land and tree rights by landholders, tenants, and communities (this may occur after the validation workshop).
- Presence of stranger tenant farmers (see footnote 3 for a brief explanation of this tenure arrangement).
- Winrock field staff will undertake an initial site visit of the two communities to meet community leaders and to assess tenure conditions and make a recommendations on final site selection. This

⁶ It is important to tailor the research methodology to the unique characteristics of the two groups. For example, under Group 1, questions will focus on the nuances of tenure and financial constraints to future cocoa rehabilitation, while under Group 2, farmers may be indigenes (customary landowners) who may not require or want tenure documentation because they already feel they have secure tenure.

⁷ These numbers are indicative based on available information and may change in the course of implementation

process would be in consultation with the chief and also be utilized to encourage women and youth to participate in the pilot.

AGL will be responsible for selecting farmers included in Group 2. Farmers will self-select to join the pilot. AGL will focus on farmers with 2 or more ha of cocoa farm with replanting happening on up to 1 ha per farmer. This will leave the farmers with some productive cocoa while the newly planted cocoa trees reach maturity and start producing cocoa pods.

TABLE 2: ACTIVITY 1a SUB-ACTIVITIES AND TEAM RESPONSIBILITIES

Sub-Activities	Team Responsible
1. Group 1 pilot site identified	AGL staff time with input from Mr. O’Sullivan, Mr. Antwi and Mr. Dogbe, and attendees at the validation workshop.
2. Group 2 pilot site identified	AGL staff time and other costs

b. Rapid Assessment

To establish a baseline for the community and collect information needed for subsequent activities it is important to conduct an initial assessment of farmers in both Group 1 and Group 2. This activity will build upon an existing ECOM survey questionnaire and data set. (see text box). For land tenure of the producer, the ECOM questionnaire records the ownership of farms as either: (a) owns land (self-owned), (b) family owned land (but producer work on it), (c) sharecropping arrangement (Ebunu), (d) Caretaker arrangement (Ebusa). However, there are some questions regarding the methodology used to collect this information and the dataset does not record any Ebunu or Ebusa terms.

Capturing the same information for both groups will help comparative learning over the course of the project. All of the rapid assessment questions, except for those on dispute resolution, will be carried out at the household farmer level as semi-structured interviews that may include a mix of open-ended questions and/or closed-ended, discrete answer questions on each of the topics listed below. The dispute resolution questions will be discussed in two community level focus groups, with semi-structured interviews and open-ended questions, divided into men and women. The objective of the survey is to capture a combination of quantitative data (farm size, tree age etc.) along with qualitative information to understand different factors that constrain farmers and how they make decisions. The Rapid Assessment will capture the following information for each group, with the exception of the discussion on dispute resolution which will be limited to Group 1:

Existing Information in AGL Dataset

- Farmer Profile
- Household Profile
- Number of Cocoa Farms
- Land Use Change
- Revenue From Cocoa Sales
- Other Income
- Record Keeping
- Profit and Loss
- Farm Location and Information
- Land Tenure (see text for detail)
- Cocoa Varieties
- Farm Area Allocations
- Hunting
- Good Agricultural Practices
- Health and Safety

- *Area:* Total estimated land area, number of farmers, how many hectares of cocoa and other crops they manage (either as tenant, sharecropper or landlord), confirm existing demarcation of cocoa farm boundary.
- *Farm characteristics and yield:* How long the farm has been in cocoa production, how old the current cocoa trees are, the number and species of shade trees in the cocoa farms, prevalence of pests or

disease affecting cocoa trees, prior experiences with replanting and estimated cocoa yield per ha per year.

- *Tenure*: Terms of customary land ownership and tenancy arrangements governing land and shade trees from the farmer’s perspective. This includes nature of tenure (customary freehold, *abunu*, *abusa*, caretaker), terms of tenancy such as rights and responsibilities of farmer and landlord and who owns the shade trees. Farmer’s perspectives on the value of documenting tenure terms and where a farmer would like to see documentation kept. The assessment of tenure security will be guided by USAID best practices and examples of TGCC tenure survey’s in Zambia. In addition, in order to avoid methodological problems encountered by other surveys, the assessment will include multiple questions on tenure security designed to capture nuance. For instance, one possible question will be hypothetical in nature, asking the respondent whether they feel their land would be encroached upon if the cocoa trees were removed.
- *Decision making*: The key factors that driver a farmer’s decisions on land use and crop management (including replanting old cocoa) and how this is influenced by tenure, access to finance, labor and/or other factors. This includes limitations or barriers to the farmer’s ability or capacity to manage land and farms in the way they would like to – e.g. key production constraints and opportunities, income, security, etc.
- *Microfinance questions*: Additional questions may be identified as needed to help inform the financial model.
- *Participation in pilot*: Why a farmer is interested in participating in the pilot, their expectations, and any concerns or questions they may have. For Group 2 participants, questions on perceived tenure security will be particularly relevant.

Group 1 Focus Group Meetings:

- *Tenure rights*: Community meeting on land tenure and community level land relations.
- *Dispute resolution*: Which authority (customary, statutory or other) the farmer thinks should be involved in resolving disputes over tenure (land and tree), as well as which of these actors are in practice involved in dispute resolution, along with financing agreements for replanting cocoa farms.

In addition to the rapid assessment questionnaire, a short information brief on the scope, objectives, stakeholders involved, and timeline of the pilot will be developed for field staff and used to discuss with the farmers **after** the survey. The information brief will be the initial sensitization on the pilot and its objectives.

A survey will be conducted at the beginning as part of a rapid assessment and will be repeated at the end of the project for both Group 1 and 2. The survey instruments would be similar but tailored to each group. For example, for Group 2 the final survey will assess farmer interest in documentation of land and tree tenure and the Group 1 survey will assess community perception of tenure documentation. Results will be recorded digitally to assist with analysis and will comply with USAID data policy. A local gender expert will provide input on the survey.

TABLE 3: ACTIVITY 1b SUB-ACTIVITIES AND TEAM RESPONSIBILITIES

Sub-Activities	Team Responsible
3. Data collection instruments	Mr. Dogbe (lead) with review and oversight by Dr. Antwi. Mr. O’Sullivan, Ms. Keller, Local Gender Expert, Mr. Roth, AGL, and USAID will peer review survey instruments as they are developed.

4. Information brief on the pilot for Rapid Assessment field team	Dr. Antwi (lead). Mr. O’Sullivan and Mr. Roth will peer review.
5. Rapid assessment – Group 1	Mr. Dogbe and Mr. Antwi (lead) and Winrock field coordinator with logistical support from AGL.
6. Rapid assessment – Group 2	AGL, after an initial training by Mr. Antwi and Mr. Dogbe.

c. Demarcate additional farm boundaries; and validation of existing demarcation

It is expected that Group 1 farmers will already have their farm boundaries demarcated as part of the selection process under sub-activity a. above. However, it is possible that some farmers that want to participate in the scheme do not have their farm boundaries demarcated. If this is the case, AGL will use their existing survey team to demarcate the boundaries of additional farms.

The existing survey team is tasked with surveying approximately 12,000 farmers across 12 districts. Given the desire to look forward to scaling up the pilot in the future, it is prudent to validate the accuracy of the existing demarcation work to assess how suitable the database is for possible large scale documentation in the future. To assess this Tetra Tech will hire the surveyor firm Landmapp to re-map the farms in Group 1 and Winrock GIS staff will compare the existing demarcation with the re-mapped demarcations.

TABLE 4: ACTIVITY 1c SUB-ACTIVITIES AND TEAM RESPONSIBILITIES

Sub-Activities	Team Responsible
7. Additional cocoa farm demarcation	AGL survey team (funded by Hershey’s)
8. Demarcation validation	Survey firm Landmapp contracted by Tetra Tech and Mr. Brown.

TABLE 5: ACTIVITY I TIMELINE

Sub-Activity	F	M	A	M	J	J	A	S	O	N	D
Pilot site identified	X	X									
Data collection instruments finalized		X									
Information brief		X	X								
Rapid assessment completed (Group 1 and Group 2)		X	X								
Additional farm demarcation (if needed); validation of existing demarcation			X	X							

Activity I Deliverables

1. Validation workshop with pilot sites identified
2. Rapid assessment

2.4.2 Activity 2: Legal Engagement and Dispute Resolution

Activity 2 will only be carried out for Group I farmers.

a. Undertake community outreach and tenure education

Many farmers are unaware of recent Forest Commission changes on tree tenure and may be unclear on the value of documenting tenure. Farmers have also received conflicting information over the value of shade trees. Work will focus on community awareness and education sessions for Group I farmers. Legal education will also be provided to improve farmer understanding on tree tenure, documentation, and mechanisms for resolving disputes and enforcing agreements with a special focus on rights of women and vulnerable groups. The following will be carried out under this sub-activity:

- Develop training curricula and materials with clear messages to help the community understand the purpose, scope, and benefits of the interventions proposed: documentation of customary land tenure rights and obligations; tree tenure policy; and benefits of shade trees. This will be incorporated into the agroforestry training manuals of this pilot.
- Provide a “training of trainer” course for AGL field staff on tree and land tenure to help ensure dissemination of messages and retention of knowledge within AGL agents. This TOT will occur at the same time as the agroforestry training under Activity 4a.
- Ensure community entry utilizing local knowledge of AGL extension staff for quick community buy-in.
- Hold community meetings using the training curricula to educate traditional leaders, landowners and farmers on tenure issues, discuss the process to develop templates to document land and tree rights, and the process to validate documented claims. AGL field staff that participated in the “training of trainer” course will participate in the community meetings as part of their training.

TABLE 6: ACTIVITY 2a SUB-ACTIVITIES AND TEAM RESPONSIBILITIES

Sub-Activities	Team Responsible
9. Training curricula on land and tree tenure	Dr. Antwi (lead) with input from Mr. Dogbe. Mr. O’Sullivan, Ms. Strozier, Mr. Osafo, and Mr. Roth will peer review.
10. Training of trainer course for AGL field staff	Dr. Antwi (lead) with Mr. Dogbe, Mr. Osafo, Winrock Field Coordinator, and AGL attending.
11. Community meetings and education on land and tree tenure	Mr. Dogbe (lead) and Winrock Field Coordinator with logistical support and participation from AGL.

b. Develop mechanism for dispute resolution.

A dispute resolution mechanism may be needed to resolve disputes between landlord and tenant (e.g. over terms of a customary arrangement) and between farmers (e.g. over farm boundaries). The work on dispute resolution mechanisms under this activity will focus on Group I, but the same type of dispute resolution mechanisms could also be explored to enforce farm re-habilitation agreements in the future.

Note: Options for contract enforcement will also be explored as part of the financial planning for cocoa replanting in Activity 4.

The work to develop a dispute resolution process will build on the results of the Rapid Assessment. Consultation will be expanded to include landholders, traditional authorities, and statutory bodies where appropriate. The following authorities may need to be consulted —Community Sub-Chief, House of Chiefs, District Assembly, Office of the Administrator of Stool Lands, Customary Land Secretariat, Forestry Commission and Land Commission. All of these intervene in land affairs (rights clarification, documentation, revenue collection, and dispute resolution) to varying degrees. The starting point for determining who to consult with will be based on the farmer’s responses collected in the Rapid Assessment combined with the expert judgment of Dr. Antwi.

The following will be carried out under this activity:

- Consultation with authorities and farmers to identify dispute resolution mechanisms that could be applied to the pilot activities in Group I.
- Develop an Alternative Dispute Resolution (ADR) team that has recognized credibility among stakeholders. The team will be mandated to resolve tenure disputes and disagreements during pilot implementation for Group I.
- Provide training in agreed upon dispute resolution techniques.

TABLE 7: ACTIVITY 2b SUB-ACTIVITIES AND TEAM RESPONSIBILITIES

Sub-Activities	Team Responsible
12. Consultations with stakeholders on dispute resolution mechanisms	Dr. Antwi (lead) and Mr. Dogbe with support from Field Coordinator.
13. ADR mechanism identified and team finalized	Mr. Dogbe (lead) with input from Dr. Antwi and support from Field Coordinator.
14. Training for ADR team in agreed upon dispute resolution techniques	Mr. Dogbe with support from Field Coordinator and AGL if necessary.

TABLE 8: ACTIVITY 2 TIMELINE

Sub-Activity	F	M	A	M	J	J	A	S	O	N	D
Training curricula on land and tree tenure		X	X								
TOT course for AGL			X								
Community meetings and education on land and tree tenure.				X	X						
Consultation meetings on dispute resolution mechanisms				X	X						
Dispute resolution mechanism identified					X	X					
Develop and train ADR team						X					

Activity 2 Deliverables

1. Training Material on Land and Tree Tenure
2. ADR Mechanism Identified

2.4.3 Activity 3: Clarify and Document Rights to Land and Trees

Activity 3 will only be carried out for Group I farmers.

a. Develop templates to document land and tree rights

Written agreements that set out the rights and responsibilities on landlord and tenant are expected to increase tenure security of farmers, help to reduce conflicts, promote shade trees, discourage deforestation/degradation by clearing new lands, and in some circumstances address a tenure barrier to clearing and replanting old cocoa farms. The documentation can also help with compensation claims in the event of loss of land rights through, for example, mining operations or compulsory acquisition (eminent domain). Templates to document land and tree rights for smallholders will be developed with clearly stated terms and conditions that apply under customary law. The template will aim to balance the interests of farmers and landlords and reflect the customary norms of Group I. They may, however, be applicable to other communities that have similar customary norms. The templates will be developed as follows:

- Review the range of current leasehold contracts (for *abunu* and *abusa* contracts) and tree permits developed by NGOs and statutory institutions currently on file (approx. 10).
- Review Rapid Assessment findings of farmer’s understanding of customary norms governing land and tree rights, and land ownership and tenancies within the Group I pilot area to develop a list of norms.
- Consult with landlords on their views and work with landlords and tenants to reach consensus on terms.
- Develop draft model templates that outline rights, responsibilities and obligations of tenants and landlords based on terms agreed in prior steps. One or more templates may be needed depending on the different types of tenure arrangements within Group I. Templates will deal with land and tree tenure and will be consistent with prevailing customary norms and new Forest Commission policy on tree tenure.
- Develop community level map for Group I showing spatial location and boundaries of individual cocoa farms included in the pilot. The map should be of sufficient scale to allow community identification of landmarks such as roads, community buildings etc. and visual validation of farm boundaries.
- Work with AGL to determine if the templates need to contain any provisions that may be needed as part of the financial model developed under Activity 4.
- Verify draft templates in community meetings with landlords and utilize the Alternative Dispute Resolution Team under Activity 2 to mediate disagreements.

TABLE 9: ACTIVITY 3a SUB-ACTIVITIES AND TEAM RESPONSIBILITIES

Sub-Activities	Team Responsible
15. Review existing templates and Rapid Assessment responses and develop list of norms	Mr. Dogbe to develop list of norms. Dr. Antwi, Mr. Dogbe, Mr. Osafo, Mr. O’Sullivan and Mr. Roth to review templates, Rapid Assessment, and list of norms.

16. Consultation to agree on terms	Mr. Dogbe with support from Field Coordinator and AGL.
17. Draft template(s)	Mr. Osafo (lead) with review by Mr. O'Sullivan, Dr. Antwi, Mr. Dogbe, and Mr. Roth. Input on financial aspects from Mr. Ramirez and AGL.
18. Verify templates in community meeting(s)	Mr. Dogbe and Dr. Antwi with support from Field Coordinator and AGL.
19. Develop community map	Survey firm with support from Mr. Brown

b. Validate and lodge tenure documentation

Once the template agreements have been developed, community-wide forums will be used to validate farm boundaries demarcated by the survey firm contracted under Activity 1c, resolve any outstanding farm boundary disputes, finalize and lodge documents. This will be carried out as follows:

- Work with the survey firm to validate map(s) with farmers, landlords and relevant authorities via a community meeting. Disputes regarding boundaries will be resolved via dispute resolution mechanisms identified above. A map verification meeting will be held during the same community meeting on contract terms in sub-activity 17 above.
- Finalize farm level tenure documentation ready for execution and assemble community members and all principal stakeholders in a community event to present the map(s) and final set of tenure documents ready for review and execution. The farm level documentation will also include a map showing farm location. Copies of community maps will be left with the community.
- Assign a designated time for the community to review or contest, after which the documents will be executed in a community signing ceremony. Documents will be held in the location identified by farmers. In addition, maps and lease documents may also be lodged with the survey firm for possible future inclusion in the Government of Ghana's land information system.
- Conceivably, a subset of parcels and landholders may remain in dispute. All community members will have been informed that the program has an end date. Setting a final end date will encourage disputants to settle in order to take advantage of the program and possible cocoa rehabilitation interventions that follow.

TABLE 10: ACTIVITY 3b SUB-ACTIVITIES AND TEAM RESPONSIBILITIES

Sub-Activities	Team Responsible
20. Community meeting to validate maps and resolve disputes	Mr. Dogbe with support from Field Coordinator and AGL. Survey firm to revise map boundaries as needed.
21. Finalize maps, land and tree tenure documentation and hold community meeting on final documents	Mr. Dogbe and Dr. Antwi with support from Field Coordinator and AGL.
22. Hold signing ceremony	Mr. Dogbe, Dr. Antwi, Field Coordinator, AGL, Ms. Agyarko-Kwarteng / Hershey's.

TABLE 11: ACTIVITY 3 TIMELINE

Sub-Activity	F	M	A	M	J	J	A	S	O	N	D
Document review and develop list of norms				X							
Develop community map					X						
Consultation to agree on terms						X	X				
Draft templates							X				
Community meeting to verify terms and map								X			
Finalize documentation									X		
Signing ceremony										X	

Activity 3 Deliverables

1. Draft Templates
2. Finalize Documentation

2.4.4 Activity 4: Develop Financial Model to Invest in Cocoa Farm Rehabilitation

Activity 4 will focus on Group 2 farmers.

a. Develop manual and training of trainers on cocoa farm re-planting, agroforestry and intercropping

Current COCOBOD standard operating procedures do not contain adequate information on clearing and replanting cocoa farms and correct inter-cropping, or any information on agroforestry practices. There are a number of ways to diversify incomes for smallholder farmers, which will be increasingly important as farmers transition their plots for rehabilitation and replanting. However, different food crops affect cocoa seedlings in different ways and may require additional inputs to ensure all plants thrive. The project will carry out the following:

- Develop a user friendly manual on cocoa farm rehabilitation and agroforestry practices.
- Provide a training of trainers (TOT) activity for AGL extension agents on agroforestry and intercropping targeted to cocoa farmers. This training will comprise of both classroom and field based practical work and will be held concurrently with the tenure training under Activity 2a. AGL will bring in additional farmers to participate in the training. This training will enable AGL extension agents to inform and help farmers implement best practices for shade trees and alternative income opportunities available to them on their existing plots.

TABLE 12: ACTIVITY 4a SUB-ACTIVITIES AND TEAM RESPONSIBILITIES

Sub-Activities	Team Responsible
23. Develop manual	Dr. Asare
24. Training of trainer (TOT) session	Dr. Asare with the Field Officer attending. AGL will cover additional costs associated with training.

b. Develop financial model to cover cocoa rehabilitation costs and mitigate repayment risks

The work will focus on developing a financial model to cover the costs of cocoa tree rehabilitation. Options range from grant support in providing farmers with upfront coverage of investment costs in exchange for payment with cocoa in later years. Irrespective of the funding source, allowing repayment through increased cocoa yields in future years will be more attractive to farmers than cash repayment. Unfortunately, any repayment via cocoa yields carries the risk of farmers cross-selling to competitors and not honoring repayment agreements, exacerbated by inadequate enforcement mechanisms and lack of recourse. These risks need to be addressed at the same time as the funding model is being designed.

AGL is planning on piloting the replanting of approximately 50 ha of cocoa farms with farmers that are not expected to have tenure constraints to replanting; although this may be the case for some. The project will work with AGL to understand this financial model, how tenure constraints (or lack thereof) influence replanting and financing, and how it can be applied and adapted to areas facing tenure constraints.

The model will be developed as follows:

- Work with AGL to analyze costs and returns associated with replanting old, low yielding cocoa farms with new cocoa trees. Analysis will include all costs associated with replanting and take into account variations in yield along with the farmer’s need for income while cocoa trees are not producing pods. Analysis will use the pilot sites as indicative sites for replanting.
- Work with AGL to develop strategies to lessen the risk of side-selling and increase enforcement of loan repayment: Possibilities include:
 - If there are sufficient farmers in Group 1 that participate in the replanting scheme, use group cocoa repayment quotas or group guarantees rather than individual farm level quotas for repayment. Group quotas or guarantees create peer pressure to ensure collective compliance and also allow for individuals to cross-sell to cover unexpected emergencies if the community makes up the deficit.
 - Use existing customary structures or expand the role of the Alternative Dispute Resolution team discussed above to include contract oversight and compliance.
 - Reliance on farmer loyalty to AGL.
- In addition to risk of cross-selling and enforcement, other repayment risks will need to be identified, mitigated, or factored into the financial model:
 - Mitigate risk of low yield due to unforeseen events such as weather, fire, pest, disease, or other force majeure events.
 - Mitigate cocoa price risk—the risk of international prices dropping thereby depressing the local price.
- Once a set of concrete options have been identified, hold community meetings to raise awareness of financial issues and barriers, discuss options and gauge interest in different options. Depending on the number of communities in Group 2, meetings may be held in a selection of communities.
- Co-develop financial model with AGL.

TABLE 13: ACTIVITY 4b SUB-ACTIVITIES AND TEAM RESPONSIBILITIES

Sub-Activities	Team Responsible
25. Financial analysis of re-planting	AGL, Mr. Ramirez, and Mr. Roth
26. Develop financial models	AGL, Mr. Ramirez, and Mr. O’Sullivan
27. Hold community meetings to discuss models	AGL with support from Mr. Dogbe and Field Office in any meetings with farmers in Group 1 also participating in Group 2.

28. Finalize financial model	AGL with input from Mr. Ramirez.
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c. Replant old cocoa farms

Once steps a. and b. of Activity 4 have been completed AGL will help Group 2 farmers clear a portion of their cocoa farms that need to be replanted. As noted in the site selection criteria for Group 2, AGL will target farmers with at least 2 hectares of cocoa farms to participate in Group 2, and replant only a portion of this total to allow some ongoing production of cocoa pods before the newly planted cocoa trees start producing pods.

Replanting cocoa entails the following steps⁸:

1. Situational analysis, which includes understanding cocoa intensification, deciding which cocoa trees to rehabilitate or eliminate, making decision about where to replant cocoa;
2. Site selection, which includes analyzing soil characteristics;
3. Planting materials and seedling production, which involves collection or production of seedlings;
4. Field preparation and planting, which includes lining, pegging and holing, spacing, planting temporary shade for young cocoa trees, preparations to plant non-cocoa trees in cocoa farms, planting cocoa in the field; and
5. Plant diversification which includes identifying tree diversification options, selecting desirable non-cocoa trees for cocoa cultivation, selecting and promoting trees that are already growing in the cocoa farms, developing a farm map for making decisions about tree planting, killing undesirable trees in a cocoa farm, formation and structural pruning, and pruning forest trees in a cocoa farm.

Depending on the site only some of these steps may be completed on any given farm in a single year. For example, if some farms are diseased, the site may need to be cleared and planted with temporary shade and other crops in the first year before cocoa seedlings can be replanted the following year. AGL will work with farmers participating in Group 2 to complete these activities.

TABLE 14: ACTIVITY 4c SUB-ACTIVITIES AND TEAM RESPONSIBILITIES

Sub-Activities	Team Responsible
29. Prepare sites and if appropriate replant cocoa farms	AGL

TABLE 15: ACTIVITY 4 TIMELINE

Sub-Activity	F	M	A	M	J	J	A	S	O	N	D
Develop manual and TOT on agroforestry		X	X	X	X	X					
Financial analysis and development of draft models		X	X	X							
Community meetings and finalize financial model			X	X							

⁸ From Asare, R. and David, S. 2010. *Implementing guide for planting, replanting and tree diversification in cocoa systems*. International Institute of Tropical Agriculture, Ghana. Forest & Landscape Working Paper No. 46-2010.

Prepare sites and as appropriate replant cocoa farms				X	X	X						
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Activity 4 Deliverables

1. TOT Manual on Agroforestry
2. Finalize Financial Model

2.4.5 Activity 5: Capture Learning, Results and Outreach

The learning component has been split into two components. The first is a list of activities that are funded under the current budget. The second is a list of additional activities that could be funded if additional funding becomes available within TGCC later in 2017.

a. Currently funded activities

- A final survey of Group 1 and Group 2 to assess any changes in farmer’s attitudes and decision making. This survey will be a repeat of the initial Rapid Assessment that will be conducted following the same methodology. The survey findings will be written up into a final report that documents the project’s process and results to capture challenges and lessons learned.
- A final one-day workshop in Accra at the end of the pilot. Government of Ghana, USAID, COCOBOD, World Cocoa Foundation, and other stakeholders and donors will be invited, including those engaged in other cocoa pilots and relevant actors in other geographies and commodities (e.g. TFA 2020’s Africa Palm Oil Initiative). The location of the workshop is still to be determined, but Winrock will seek to minimize venue and other costs by using existing USAID project funded facilities (e.g. WaBICC) or facilities of other Winrock partners.
- Presenting the pilot results at one international conference. This may be a future TFA 2020 meeting or at a side event at the UNFCCC 2017 climate conference, this year to be held in Bonn, Germany.
- Presenting the pilot at the World Cocoa Foundation 2017 Partnership Meeting & Cocoa Sustainability Trade Fair in Washington, DC (currently scheduled for 24-25 October 2017).
- Briefing note for the Ghana Forestry Commission and National REDD+ Secretariat on findings from documenting tree tenure, and possible implications for future legislative changes being considered by the Forestry Commission.
- At least 2 blogs on the pilot.
- Additional events or speaking engagements of AGL, ECOM, or Hershey’s to promote sharing and uptake by the cocoa sector.

b. Additional activities not currently funded

- Additional short videos documenting farm rehabilitation, more extensive coverage throughout the pilot, or individual video’s at the start and conclusion. The current budget only allows for 2 site visits by the videographer – one at the beginning and one at the end – and the production and editing of a single video.
- A more comprehensive final analytic paper that contains deeper comparative analysis of the results of the current pilot and other similar pilot projects carried out by other NGOs in Ghana.
- A monitoring plan for AGL.
- A short video that captures the story of 2 or more farmers engaged in the pilot. The farmers could come from Group 1 and include a farmer also participating in Group 2.

- Additional report(s) with recommendations or advice to the Government of Ghana on options for tenure reform to support cocoa rehabilitation.
- Additional briefing notes and blogs.
- Updated field manual / curricula for community legal education. The initial training materials could be updated at the end of the project to capture lessons from implementation throughout project.
- Additional travel budget for greater participation of pilot staff at an international conference (e.g. 2017 COP).
- Sponsorship and presentation at the Global Landscapes Forum, an independent conference held in parallel to the UNFCCC COP. Presentation may require sponsorship along with development of a side event session or high level panel. High level panels normally contain senior or CEO level representation.
- Present at an Innovation Forum conference on the project and its findings. This may require sponsorship or purchase of conference passes along with travel costs, depending where the event is held.
- Refresher courses and interactive learning will be explored based on needs assessment.

TABLE 16: ACTIVITY 5 SUB-ACTIVITIES AND TEAM RESPONSIBILITIES

Sub-Activities	Team Responsible
30. Final survey and report	Survey: the same team that completed the Rapid Assessment under Activity 1. Final report: Dr. Antwi (lead author) and Mr. Dogbe with review by Mr. O'Sullivan, Mr. Roth, AGL and Hershey's.
31. One-day close out workshop in Accra	Dr. Antwi (lead), Mr. Dogbe and Mr. O'Sullivan will organize the workshop with input from TGCC, AGL, Hershey's and USAID.
32. Presentation at international conference (TFA 2020, UNFCCC COP)	Mr. O'Sullivan
33. Presentation at World Cocoa Foundation 2017 Partnership Meeting	TBD, but may include representatives from Hershey's, ECOM and USAID.
34. Briefing note on tree tenure for the Ghana Forestry Commission and National REDD+ Secretariat	Mr. Antwi (lead) with input from Mr. Dogbe, Mr. O'Sullivan, and peer review by Mr. Osafo, Mr. Roth, and USAID.
35. Blogs	Mr. Antwi and Mr. O'Sullivan.

TABLE 17: ACTIVITY 5 TIMELINE

Sub-Activity	F	M	A	M	J	J	A	S	O	N	D
Final report and survey									X	X	X
Close-out workshop in Accra											X

Key findings presented at COP 23 or TFA 2020 meeting										X	
Presentation at World Cocoa Foundation 2017 Partnership Meeting									X		
Briefing note on tree tenure									X	X	
Blogs		X									X

Activity 5 Deliverables

1. Final Report including results of final survey
2. Briefing note on tree tenure
3. Other knowledge management and outreach materials and events

3.0 OTHER CONSIDERATIONS

3.1 GENDER, VULNERABLE GROUPS

Migrant farmers in cocoa growing areas are vulnerable. They are more likely to lose their land rights and be rendered landless. This pilot has been designed specifically to identify and negotiate for improved tenure terms of land agreements to eliminate the principal cause of vulnerability for this group. On the gender front, the pilot aims for 30 percent women participation rate in Group 1 by adopting some of the existing strategies of AGL field operations that have proven to achieve this level of women participation. This includes creating women only focus groups during community meetings, as well as ensuring that women extension agents receive training in order to lead discussions. Furthermore the self-selected nature of Group 2 that does not contain the same 30 percent women participation offers a research opportunity to understand why there was an underrepresentation by women, and if the self-selection of this group was linked to tenure security of these farmers.

All tasks under this SOW will be implemented in a manner consistent with USAID's Gender Equality and Female Empowerment Policy (http://www.usaid.gov/sites/default/files/documents/1860/1-Gender_Equality_and_Female_Empowerment_Policy_2012.pdf), including addressing gender issues within any associated work plans, quarterly reports, and rigorous monitoring and evaluation framework.

The Rapid Assessment and tenure training will be gender inclusive, with input provided by a Winrock gender expert.

3.2 ENVIRONMENTAL COMPLIANCE

All tasks under this SOW will be implemented in a manner designed to result in no adverse effects on the environment, and in compliance with TGCC's Initial Environmental Examination (IEE). TGCC has the following interpretations of the TGCC IEE.

Categorical Exclusions

Activities found below are considered Categorical Exclusions because no environmental impacts are expected as a result of these activities. These activities fall under the following citations from Title 22 of the Code of Federal Regulations, Regulation 216 (22 CFR 216), subparagraph 2(c)(2) as classes of activities that do not require an initial environmental examination and include:

- (i) Activities involving education, training, technical assistance or training programs except to the extent such programs include activities directly affecting the environment (such as construction of facilities, etc.);
- (ii) Activities involving analyses, studies, academic or research workshops and meetings; and
- (iii) Studies, projects or programs intended to develop the capability of recipient countries and organizations to engage in development planning.

Proposed Activities	Screening Result			Recommended Determinations			Justification for Determination
	Very Low Risk	High-Risk*	Moderate or unknown risk*	No significant adverse impact	With specified mitigation, no significant adverse	Significant Adverse impact	
1. Finalize Site Selection and Initial Community Assessment	X			X			22CFR 216.2(C)(2)(iii)
2. Legal Sensitization and Dispute Resolution, community meetings and education	X			X			22CFR 216.2(C)(2)(i)
3. Clarify and Document Rights to Land and Trees, including developing community maps and documentation	X			X			22CFR 216.2(C)(2)(i)
4. Develop Financial Model to Invest in Cocoa Farm Rehabilitation	X			X			22CFR 216.2(C)(2)(ii)
5. Capture Learning, Results and Outreach	X			X			22CFR 216.2(C)(2)(iii)

Despite the Categorical Exclusions, TGCC will document each quarter how its activities comply with the broader TGCC Environmental Mitigation and Monitoring Plan. This involves respecting the following guidelines on trainings, scopes of work, and stakeholder engagement.

With Respect to Trainings: For all training with government officials and CSOs, TGCC will research and document best practices relevant to the project scope in NRM and sustainable forest management (based on USAID best practices for small scale activities in Africa, as well as FAO and other publicly available guidance), land tenure and property rights (based on USAID evaluation, research, and communications contract publications), and environmental compliance (based on USAID ENCAP best practices manuals and Sector Guidelines) and will integrate these best practices into TGCC-developed curriculum and delivered training.

For curriculum involving land-use planning and forests, TGCC will integrate principles of:

- a) Sustainable land use planning and management, in the context of the Urban and Regional Planning Act of 2015.
- b) Social and environmental soundness
- c) Vulnerability of current land-use patterns to climate change and variability, as appropriate

With respect to Scopes of Work, all SOWS will include the following:

SPECIAL CONDITIONS

The consultant should integrate the concept of environmental sustainability into any planning process, training, or supporting documentation, and the documentation should demonstrate how this commitment to environmental sustainability should be carried out. Gender and potential impact on vulnerable populations should be integrated into all analyses. The work should pay particular attention to the evolving national legal and policy frameworks governing land management.

With respect to broad stakeholder engagement: TGCC will employ a proactive approach to promote broad-based stakeholder engagement in all policy development related activities in Ghana. This includes, for each such event:

- a) Distributing invitations and issuing public announcements to announce meetings/consultations at least a week, though preferably at least two weeks, prior to the event;
- b) Representatives from organizations with a diverse group of interests being invited into policy dialogue activities;
- c) Collecting signed attendance/ participation forms;
- d) Preparing and distributing minutes from each event to all invitees (which will include the full list of participants); and,
- e) Request response and follow up from participants.

In addition, scopes of work (SOWs) will include reference to the need to ensure that broad interests are represented in decision-making processes and technical recommendations.

3.3 COMMUNICATIONS PROTOCOLS

Dr. Antwi will prepare bi-weekly progress reports via email to Mr. O’Sullivan, with a copy to Mr. Roth. The progress report will contain a list of activities completed over the prior 2 weeks, planned activities for the following 2 weeks, status of upcoming deliverables, and any delays or risks encountered over the last 2 weeks or anticipated in the following weeks.

Ms. Tepe will keep an issues log and Mr. O’Sullivan will flag any issues with Mr. Roth as they occur and provide quarterly summaries to TGCC. Information for quarterly reports will be provided to TGCC on will be submitted to TGCC by the 5th of the month following the end of each quarter (e.g., on April 5th, July 5th and October 5th, with the final quarter included with the final report).

TGCC will be responsible for communications with USAID.

4.0 MONITORING AND EVALUATION

The following indicators will be used to monitor progress of the project over the 12-month time period. Monitoring and evaluation data will be submitted to TGCC by the 5th of the month following the end of each quarter (e.g., on April 5th, July 5th and October 5th, with the final quarter included with the final report).

1. (TGCC1) Number of days of USG funded technical assistance on land tenure and property rights issues provided to counterparts or stakeholders (4.7.4-9)
2. (TGCC3) The number of disputed land and property rights cases that have been resolved by local authorities, contractors, mediators or courts with USAID support (MCC L-4)
3. (TGCC11) Number of hectares under improved technologies or management practices as a result of USG assistance (4.5.2-2) [for replanted areas, to be discussed]
4. (TGCC13) Number of farmers who have applied new technologies or management practices as a result of USG assistance (4.5.2-5) [for replanted areas, to be discussed]
5. (TGCC15) Number of individuals who have received USG supported short-term agricultural sector productivity or food security training (4.5.2-7)
6. (TGCC23) Proportion of female participants in USG-assisted programs designed to increase access to productive economic resources (assets, credit, income or employment) training/programming (GNDR-2)
7. (TGCC25) Number of USAID partnerships with multi-lateral institutions and/or private sector actors to advance climate change mitigation and/or adaptation, and or property rights and natural resource management goals.
8. (TGCC26) Number of presentations at forums, consultations, events to disseminate research and implementation findings (Custom)
9. (TGCC27) Number of publications developed (blogs, issue briefs, case studies, fact sheets, peer-reviewed journal publications) (Custom)

ANNEX A: DELIVERABLES

Deliverables	Due date
1. Validation Workshop	Feb 28, 2017
2. Rapid Assessment	May 31, 2017
3. Training Material on Land and Tree Tenure	March 31, 2017
4. ADR Mechanism Identified	July 31, 2017
5. Draft Templates	August 31, 2017
6. Finalize Documentation	October 31, 2017
7. TOT Manual on Agroforestry	April 30, 2017
8. Finalize Financial Model	May 30, 2017
9. Final Report including results of final survey	December 20, 2017
10. Briefing note on tree tenure	December 20, 2017
11. Other knowledge management and outreach materials and events	All completed by December 20, 2017

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