



Project Title: Environmentally Sustainable Production Practices in Cocoa Landscapes Phase II

Project Number: 00095425

Implementing Partner: Ghana Cocoa Board

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Brief Description

This project document was developed by the United Nations Development Programme (UNDP) in close collaboration with the Ghana Cocoa Board (COCOBOD) and the Mondelēz International Cocoa Life (CL) Ghana, the donor agency. This project document clearly aligns the collective visions of COCOBOD, CL Ghana and UNDP to mainstream environmentally sustainable production practices into cocoa production landscapes across Ghana. The project entitled "Environmentally Sustainable Production Practices in Cocoa Landscapes Phase II (ESP Phase II)" is a continuation and the second phase of the Environmental Sustainability and Policy (ESP I) for Cocoa Production in Ghana Project.

Achieving environmentally sustainable cocoa production will play a pivotal role for sustainable development and poverty reduction in Ghana. A baseline study conducted on environment in the cocoa sector in 2011 showed that while cocoa production has intensified over the last three decades, it is as a result of expansion into forests with significant forest losses due to the promotion of zero shade systems and movements of the timber sector. This has gradually contributed to the fragmentation of forest landscapes, loss of wildlife corridors and forest connectivity, and degradation of biodiversity, ecosystem goods and services. One of the more prominent consequences of deforestation, which has significantly affected cocoa production, is a significant loss of major soil nutrients, which is now a leading cause of the gradual decline of national cocoa yields.

Furthermore, the study showed that the expansion of the cocoa industry and resultant forest loss was not only driven by the desire to increase national production, but was also a result of an influx of migrant farmers and related land tenure issues. Thus, land tenure issues have become an ongoing problem, which have facilitated forest loss by removal of forests to establish cocoa farms. Land tenure policy has also been a significant driver in the lack of on-farm investments generally including adoption of more environmentally sound production (i.e. greater shade). Today farmers have very limited incentive to plant or maintain shade trees because of land tenure and tree tenure issues with landowners, and landowners having limited rights to naturally occurring trees on their land. There is also a lack of awareness about tree tenure rights on farmlands.

Thus, the baseline study identified the following as some of the major environmental threats to sustainable cocoa production landscapes: (1) deforestation and habitat conversion; (2) conversion of sustainable cocoa to unsustainable intensified production system; (3) unsustainable land management practices and resource use, and; (4) climate change

The current phase of ESP sought to address some of these key challenges through pilot interventions. However, the ESP II will build on results and lessons learned from the current phase to scale-up the Environmental Pillar-V activities to cover all CL Ghana communities in Cohorts 1, 2 & 3. During the implementation of the current ESP interventions several constraints

were observed in ensuring effective mainstreaming of environmentally sustainable production practices into farmer trainings, which will be addressed by key adjustments of the strategy and approach

This project aims to help farmers in the Cocoa Life program adopt environmentally sustainable and climate change resilient cocoa production practices and to conserve ecosystems and natural resources in cocoa landscapes. Environmentally sustainable production practices have to do with how farmers can sustainably manage and conserve the current production environment, for example: how to spray responsibly, how to ensure long-term productivity with overhead shade trees and soil cover and how to protect forests and water bodies for biodiversity and human use.

The expected results from the successful implementation of the ESP Phase II will be:

1. To effectively mainstream environmentally sustainable cocoa production practices into farmer training curricula by building the technical capacities of CHED CEAs mandated to provide farmer level trainings.
2. Farmers in the project districts adopt environmental sustainable cocoa production practices on farms.
3. Increased shade trees and carbon stocks on cocoa farms and in cocoa landscapes to provide short to long-term environmental and socio-economic benefits to farmers.
4. The establishment of three Community Resource Management Areas to govern the use of natural resources at the landscape level including fire management; sacred groves protection and water resources management.
5. Policy engagement with government on land tenure and tree tenure rights.

UNDP Ghana in technical collaboration with UNDP's Green Commodities Programme, Mondelez Cocoa Life Ghana, COCOBOD, government institutions and relevant stakeholders will seek to address environmental interventions in Ghana's cocoa sector. This project will continue to build on efforts achieved in the current ESP I and to ensure effective mainstreaming of a package of environmentally sustainable production practices into farmer cocoa cultivation throughout the cocoa growing communities.

<p>Contributing Outcome (UNDAF/CPD, RPD or GPD): Outcome 3: National systems and existing institutional arrangements for climate change mitigation and adaptation and for disaster risk reduction, as defined in the Hyogo Framework for Action at the district, regional and national level are functional</p> <p>Indicative Output(s): Proportion of districts, regions and national agencies supporting the implementation</p>	Total resources required:	\$1,850,002.59	
	Total resources allocated:	UNDP TRAC:	
		Donor:	\$1,850,002.59
		Government:	
		In-Kind:	
	Unfunded:		

Agreed by :

UNDP	Implementing Partner (Ghana Cocoa Board)	Government of Ghana (Ministry of Finance)
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Table of Contents

I. Development Challenge.....	4
II. Strategy.....	6
III. Results and Partnerships.....	7
IV. Project Management.....	17
V. Results Framework.....	19
VI. Monitoring And Evaluation.....	22
VII. Multi-Year Work Plan (Detailed budget breakdown in annex).....	24
VIII. Governance and Management Arrangements.....	31
IX. Legal Context and Risk Management.....	34
X. Annexes.....	34
Annex 1: Risk Analysis.....	35
Annex 2: Detailed Budget.....	41
Annex 3: Terms of Reference for Project Board and Key Project Management Positions.....	46
Annex 4: Standard Letter of Agreement Between UNDP and the Ghana Cocoa Board for the Provision of Support Services.....	60
Annex 5: Environment and Social Safeguards Assessment.....	64
Annex 6: Project Design Quality Assurance Report.....	76
Annex 7: LPAC minutes.....	77

List of Acronyms

APR	Annual Project Report
CEA	Community Extension Agents
CHED	Cocoa Health Extension Division
COCOBOD	Ghana Cocoa Board
CREMA	Community Resource Management Area
CRIG	Cocoa Research Institute of Ghana
FIP	Forest Investment Program
GCP	Green Commodities Programme
GoG	Government of Ghana
HFZ	High Forest Zones
IP	Implementing Partner
NTFP	Non Timber Forest Products
PIR	Project Implementation Review
PDD	Project Design Document
REDD+	Reducing Emissions from Deforestation and Forest Degradation plus
SDG	Sustainable Development Goal
ToT	Training of Trainers
UNDP	United Nations Development Programme

I. DEVELOPMENT CHALLENGE¹

Globally, Ghana is the second largest exporter of cocoa after Cote d'Ivoire. Cocoa plays a key role in the Ghanaian economy employing about 800,000 smallholder farmers. It is the second largest export out of Ghana, with increase in export earnings of \$2,612.87 million in 2014². However, the increase in cocoa productivity has been largely attributed to farm expansions and to a lesser extent due to access to improved and high yielding seeds, as well as the farm input subsidies programme initiated by COCOBOD.³ In Ghana, cocoa production is carried out in two main agro-ecological zones: in the moist semi-deciduous forest (i.e. Eastern, Ashanti, Brong-Ahafo, and Central Regions) and high rainforest (i.e. Western Region) with an estimated cultivation area of over 1.6 million ha⁴. The cocoa sector could contribute to meeting Ghana's Sustainable Development Goal (SDG) 1: No Poverty while improving the livelihoods of both men and women engaged in cocoa farming.

The Government of Ghana (GoG) is committed to tackling deforestation and forest degradation across the country through various programs, example is the Forest Investment Program (FIP), which is largely focussed on the high forest zones (HFZ); an area with the potential to yield the largest total benefit in terms of carbon sequestration through landscape restorations in forest reserves, and improving connectivity across the landscape between forests and off-reserves. Incidentally, large cocoa production landscapes are found in the HFZ and have contributed to the deforestation and degradation rates through agricultural expansions in off-reserves. Therefore, the GoG's FIP aims to address the underlying drivers of deforestation and catalyse transformational change by providing upfront investment to support the implementation of the REDD+ strategy, and generate information and experience for policy and regulatory changes⁵. Under the FIP the strategy for the cocoa landscapes will be to promote sustainable climate smart cocoa and agriculture production practices and farmers incentivised to plant shade trees on cocoa farms through the Cocoa REDD+ scheme.

Initially, cocoa cultivation in Ghana was in relatively dense forests under shade regimes. The relatively dense forests that characterized the initial cultivation of cocoa in Ghana maintained a natural ecosystem suitable for cocoa growth. It also conserved to some extent many ecosystem functions and the remnant biodiversity of the original forest. However, in the past few decades there have been observed shifts towards less shaded cocoa landscapes that undercuts the environmental sustainability of cocoa production and biodiversity conservation. There is supportive evidence that while Ghana has experienced significant forest loss largely due to the movements of the timber sector, but, to some extent also from the expansion of cocoa farms as a result of the promotion of zero shade cocoa production systems. This has gradually led to the fragmentation of forest landscapes, loss of wildlife corridors, forest connectivity, degradation of biodiversity and other ecosystem goods and services. One of the more prominent consequences of deforestation, which has significantly affected cocoa production, is a significant loss of major soil nutrients. This has been a leading cause of the gradual decline of national cocoa yields.

In addition, land tenure policy has also been a significant driver to the lack of on-farm investments such as the adoption of more environmentally sound production (i.e. greater shade) practices. Today farmers have very limited incentives to plant or maintain shade trees because of land tenure issues; with landowners having limited rights to naturally occurring trees on their land.

¹Development Challenge analysis was extracted from the Environmental Baseline Report on Cocoa in Ghana. UNDP 2011. Consultancy Report

²The State of the Ghanaian Economy in 2014. ISSER, University of Ghana, Legon-Accra

³Quaye et al. (2015). Does the current land tenurial arrangement in Ghana incentivise adoption of environmentally sustainable cocoa production practices? A case study of four selected cocoa growing districts in Ghana, *African Journal of Science, Technology, Innovation and Development*, 7:4, 265-275

⁴World Bank 2012

⁵Ghana Investment Plan for the Forest Investment Program (FIP) Draft 31 August 2012

Coupled with that is the lack of awareness about tree tenure rights of both natural occurring and planted trees on farmlands in off-reserves.

The baseline report by UNDP (2011) also identified the following as some of the major environmental threats to sustainable cocoa landscapes: (1) deforestation and habitat conversion; (2) conversion of sustainable cocoa to unsustainable intensified production system; (3) unsustainable land management practices and resource use, and; (4) climate change.

The threat of unsustainable production methods has driven cocoa farmers to extend into forested areas but they are now left with little land for further expansion. For instance, cocoa cultivation using traditional agroforestry techniques has dwindled following the introduction of sun-tolerant hybrid cocoa. In the past, low-shade or no-shade was recommended for hybrid cocoa, leaving a highly unsustainable production system. The weakness of the zero shade system was masked by the short-term yield increases driven by initially fertile forest soils. However, yields soon declined as forest soils were depleted of major nutrients. The practice of using zero shade production systems needs to be reversed. Also, the use of slash and burn techniques has led to reduced soil fertility through elevated nutrient release, loss of soil structure and stability, and lack of natural forest mulching that reduces soil and water loss from erosion and from poor water infiltration and retention in the soil. Near abandonment of traditional cocoa agroforestry systems in favour of zero shade cultivation methods has also resulted in widespread land degradation in the cocoa growing areas. Finally, the threat posed by the current and future projections of climatic changes shows declines in rainfall and temperature patterns in the semi-deciduous and high rainforest zones of Ghana which will further exacerbate these traditional threats and may further lower crop yields.

The continued production of cocoa on nutrient-depleted forest soils coupled with poor tree maintenance have also steadily resulted in decreasing national yield per unit land area. Currently, average yields are only 400 kg/ha compared to well managed intensified practices that achieve 1000kg/ha. Thus, cocoa productivity in Ghana is ranked low compared to other countries.⁶ The depletion and loss of ecosystem services once offered by cocoa landscapes has left many cocoa farms more susceptible to a range of plant health problems. Furthermore, exacerbated by the advanced age of most cocoa tree stocks and the continued use of farmer-selected planting material of low yield potential. Improvement through distribution of fast maturing, high yielding and disease tolerant cocoa hybrids is also constrained by planting on impoverished soils, poor microclimatic conditions and risks posed by drought, flooding, and increased pest and disease infection.

The threats posed by these unsustainable cocoa production practices on both local livelihoods and environment as well as the global supply chain can be mitigated by the adoption of sound environmentally sustainable climate smart production practices in cocoa cultivation. The adoption of environmentally sustainable production practices such as agroforestry production models using shade trees favour species richness, alternative income options, habitat creation, crop microclimates, enhance soil fertility, reduce plant stress and assist in the rejuvenation of ecosystem goods and services and on-farm biodiversity. Other environmental practices to accompany on-farm practices are composting and soil management, water catchment to maintain soil humidity, pesticide usage, among others.

Under the current ESP, it became evident that land tenure and, more recently, tree tenure, with sharing of ownership and benefits in the candidate trees as well as in other products of the farm may incentivise farmers to plant trees. These issues raise concern about land tenure and its impact on land use and on natural resource management in Ghana. Also, without incentives, farmers may opt for production systems that may provide short-term benefits. Currently, there is an increasing preference for moving from shaded to non-shaded cocoa production especially in the Western Region where hybrid cocoa is being planted. This is due to the short-term benefits of

⁶Institute of Development Studies and the University of Ghana. "Mapping Sustainable Cocoa Production in Ghana: Report to Cadbury". 2011

increased yields. In spite of the environmental benefits of shaded cocoa, the area grown without shade has expanded largely at the expense of the primary forests which hold large stocks of carbon and have significant potential for carbon sequestration schemes.

Therefore, it is apparent that increasing cocoa production through farm expansion is no longer an option; however, the challenge now is how to meet the dual goals of environmental sustainability and improvement of farmers' welfare through the adoption of sustainable production practices.⁴

II. STRATEGY

Since 2013 UNDP and COCOBOD have implemented Pillar V, the "Environment" pillar, of the Mondelēz' International Cocoa Life Ghana program under the "Environmental Sustainability and Policy for Cocoa Production in Ghana Project" (ESP). The project which has global support from UNDP's Green Commodities Program (GCP), aims to help farmers adopt and implement good environmental practices in cocoa landscapes, and support natural resources management and policy change to improve sustainability of Ghana's cocoa sector.

To date the ESP I project has achieved the following results:

- Over 150 cocoa extension officers and hundreds of farmers trained in environmentally sustainable good agriculture practices in 7 Cocoa Life operational districts including Asunafo North where a landscape approach is now being piloted.
- Over 800,000 timber tree seedlings have been procured and supplied to farmers for planting in cocoa landscapes to increase tree and carbon stock, as well as enhance the micro-climatic conditions on cocoa farms. The tree species supplied will thus bring both environmental and economic benefits to farmers in the long term.
- Farmers in Cocoa Life's 7 operational districts as well as the Asunafo North pilot landscape sensitized on the benefits of trees on farms, and on the existing forestry legislation and regulations that allows farmers to become owners of the trees they plant.
- Supplementary training materials on environmentally sustainable cocoa production practices developed and made available to cocoa extension staff to cover gaps in the existing Cocoa Health and Extension Division (CHED) training programs.
- Trained the trainers of other Cocoa Life Implementing Partners, gradually preparing them to cover environmental issues in regular farmer training.
- Studies on land tenure and tree tenure, which are vital policy issues for environmental sustainability and biodiversity management in cocoa production landscapes have been completed and disseminated.
- Piloted Community Resource Management Area (CREMA) in Asunafo North cocoa growing landscape to allow communities to jointly manage the natural resources of a larger ecosystem together with relevant stakeholders.

The ESP I project will end in September 2016 and is on target to deliver its objectives.

The new phase- ESP II is designed to build on results and lessons learned from the current phase, and scale up Pillar V activities to cover all Cocoa Life in 330 communities in 14 districts by adopting three key strategies.

1. Mainstreaming of environmentally sustainable production practices into farmer extension trainings. The main element of this strategy is to develop training modules on selected environmental sustainability practices and train CEAs and other IPs to enable them to also train farmers on the selected practices (using the trainer of trainer's concept). The reasons for this strategy are: *first*, environmentally sustainable cocoa production practices stand the best chance of being adopted if they are presented to farmers as part of a package of practices that also have economic and social benefits; *second*, there is considerable

overlap between good environmental practices and traditional cocoa agronomy, and the two should not be seen as separate. Sustainable production practices have to do with *how* farmers can sustainably manage and conserve the current production environment, for example: how to spray responsibly, how to ensure long-term productivity with overhead shade trees and soil cover and how to protect forests and water bodies for biodiversity and human use.

2. Ensuring long-term ecosystem protection at the district to community levels by establishing 3 Community Resource Management Areas (CREMA) in selected districts to govern local resources and ecosystem management in cocoa landscapes. While the farmer based interventions will ensure change and improvements at the farm level it is crucial to sustain this at the landscape level. Hence, the CREMA establishment, a mechanism that allows communities to jointly manage natural resources of a larger ecosystem with relevant stakeholders will ensure long-term sustainability and scaling up of interventions.
3. Policy engagement with government on land tenure and tree tenure rights. Securing tree tenure rights for farmers engaged in the tree plantings on cocoa farms by establishing a tree registration mechanism with the Forestry Commission will incentivise farmers to implement and scale up ESP practices. Already under ESP Phase I the project has almost completed the tree registration mechanism with the Forestry Commission and will roll out the registration activities which will serve as learnings for ESP Phase II.

III. RESULTS AND PARTNERSHIPS

Expected Results

The United Nations Development Assistance Framework (UNDAF) (2012-2016) provides support to strengthen the capacity of Ghana to address energy and environmental challenges at national, regional, and local levels, by focusing on key priority areas, such as climate change, disaster risk reduction, energy and biodiversity. The new area UNDP focus area is on biodiversity. In line with the UNDAF's current emphasis on preservation of water bodies and afforestation, this project proposes direct and indirect farmer-based interventions to assist cocoa farmers adopt environmentally sustainable cocoa production practices on farms while conserving ecosystems and natural resources in cocoa landscapes.

The project aims to meet two broad objectives, which are:

1. Farmers in the Cocoa Life program adopt environmentally sustainable and climate change resilient cocoa production practices on their farms.
2. Cocoa production landscapes in the Cocoa Life communities and districts are managed sustainably to conserve ecosystems and natural resources.

The objectives will be achieved by implementing the following outputs under these Outcomes:

Outcome 1: Mainstreaming environmentally sustainable production practices into farmer level practices

Through-out the project phase the focus is on embedding environmentally sustainable themes into the regular farmer training administered by COCOBOD Health and Extension Division (CHED) Community Extension Agents (CEAs) and Cocoa Life's CEAs as much as possible, for several reasons: *first*, environmentally sustainable cocoa production practices stand the best chance of being adopted if they are presented to farmers as part of a package of practices that also have economic and social benefits; *second*, there is considerable overlap between good environmental practices and traditional cocoa agronomy, and the two should not be seen as separate. Sustainable production practices have to do with *how* farmers can sustainably manage and conserve the current production environment, for example: how to spray responsibly, how to

ensure long-term productivity with overhead shade trees and soil cover and how to protect forests and water bodies for biodiversity and human use; *third*, as Mondelez' Cocoa Life is a long-term effort which continuously expands its target group, embedding environmental issues in regular farmer training makes Pillar V scalable and cost effective to implement.

Outcome 1 will therefore be achieved by implementing the following outputs:

Output 1.1 Farmers trained and equipped in environmentally sustainable production practices

This is designed to offer direct technical assistance to cocoa farmers to adopt environmentally sustainable production practices to enhance productivity and maintain ecosystem health including biodiversity conservation in cocoa landscapes.

The approach to be adopted are series of training-of-trainers (TOT), to build the technical capacities of CHED CEAs, other Cocoa Life IPs with the newly appointed district coordinators and development facilitators and community animators to deliver appropriate environmental sustainable production practices to farmers. These trainings will be closely coordinated and integrated into CHED's farmer training programs and will happen at strategically important points throughout the production year.

The trainers will be equipped with supplementary manuals as well as training tools to enhance the knowledge of CEAs on contemporary methodologies, sustainability concepts and techniques as well as the opportunity for practical knowledge to reverse the current trends in unsustainable farming practices. It is envisaged that the CEAs would incorporate the knowledge gained in environmental sustainability practices in their scheduled engagement with farmers. The CHED CEAs will also be supported by field officers hired under the project to provide technical assistance during farmer trainings.

The training curriculum will cover 3 training modules as outlined in the trainer's guide⁷ developed under the ESP I:

Module 1: Sustainable and climate smart production practices

1. Introduction to concept of green production and sustainable practices
2. Types of certifications schemes and eco-labels
3. Climate change and cocoa farming in Ghana
4. Trees and climate change
5. Deforestation and cocoa productivity
6. Biodiversity conservation in cocoa landscapes
7. Water conservation
8. Soil conservation
9. Safe use of agrochemicals

Module 2: Motivating Farmers to adopt sustainable production practices

Module 3: Adult learning and sensitization methodology

In the training delivery, particular focus on water conservation and management practices on cocoa farms. The reasoning is that most cocoa landscapes have water resources especially waterbodies such as rivers and streams that supply water for both domestic and agriculture use for most communities. Unfortunately, several of these waterbodies are now polluted, contaminated or heavily silted. There is therefore the need for farming communities to conserve these water

⁷Learning about sustainable and climate friendly cocoa production and biodiversity conservation in cocoa landscapes- A trainer's guide

bodies to ensure that future generations have adequate water supply. Sustainable water management is important to ensure access to clean water.

Many of the most important watersheds in Ghana are in agricultural land-use mosaics where crop and forest production influence hydrological systems. Agriculture landscapes can be managed to maintain critical watershed functions, such as recharging underground aquifers, maintaining flow and water quality, mitigating flood risks, reducing sediment load, and sustaining critical aquatic species and habitats. This has led to the concept of 'green water': that terrestrial vegetation management has a critical role in the hydrological cycle.

The ESP training manuals developed under the current phase covers curriculum on water management and conservation practices. Therefore, Outcome 2 will be delivered through training of the trainers' approach of CHED CEAs who will work alongside the field officers in the communities to train and help farmers adopt these practices.

The training on water conservation and management will be combined with other environmentally sound production practices to be delivered to farmers by trained CHED CEAS working alongside the field officers. The following farmer training activities will be covered:

1. CHED CEAS to train farmers to establish effective buffer zones/ no-spray zones where all forms of farming activities such as clearing and burning of vegetation and the use of agrochemical would be excluded.
2. Farmer trainings on how to wash spray equipment away from waterbodies and on how to treat wastewater from spray equipment to prevent contamination of soils and water bodies.
3. Promotion of year-round soil vegetative cover and maintenance and enhancement of riparian vegetation through afforestation with economic trees along rivers by communities - ESP already has recorded some success in this regard in a number of communities in the Asunafo Pilot Landscape that would be replicated in other communities.
4. Promotion of water-conserving crop mixtures –especially with farmers who do dry season gardening as alternative livelihood.
5. Training on soil and water management (including irrigation and maintenance of soils to facilitate rainfall infiltration).

Output 1.2. Farmers enhance trees and carbon stocks on cocoa farms

The fact that trees play an important role in Ghanaian farming systems, especially in cocoa landscapes, is not a new phenomenon. For decades trees available on farms have provided useful benefits to crops, the environment and humans. Farmers through their indigenous practices have maintained these trees for overhead shade and other purposes. In particular, trees provide habitats for arboreal fauna by maintaining biological diversity in rapidly degrading landscapes in most of the cocoa growing regions in Ghana. Trees on farms could provide both ecological and economic incentives for smallholder farmers as well as fauna refuges. This is particularly true in fragmented landscapes, where shaded cocoa trees have been noted to provide habitat and resources for plant and animal species and maintain connectivity between different land uses.

However, when forestry policies are not aligned with farmers' indigenous practices, the result, whether intended or not, is the destruction of valuable resources by farm activities. Such has been the fate of many naturally occurring shade trees in cocoa landscapes that are allocated for timber concessions. Today, instead of planting cocoa amidst shade trees, as had been the traditional practice in the past, farmers are rather destroying trees on their cocoa farms. The reason is that farmers are not motivated to keep nurturing regenerated trees on their farmlands when existing forestry regulations deny them the ownership rights. Experiences like these have gone a long way in fostering the common perception that timber trees are undesirable in cocoa cultivation and must be removed. Thus, eroding important ecological interactions in the farming system; a loss which could have dire consequences not only for cocoa farming communities and their economic

productivity, but also for the whole of Ghana as the realities of deforestation and climate change worsen.

To arrest the situation described above, the ESP, since its inception, has been working to encourage farmers to either re-plant the destroyed trees or undertake new plantings on farms that do not have enough tree stocks as per recommendations by Cocoa Research Institute of Ghana (CRIG) of at least 8 trees per acre. As part of the program, the project, under Phase I promoted tree planting as part of the flagship activities which included empowering farmers to assert their rights by sensitizing them on current forestry sector policies and regulations.

ESP intends to continue this activity under Phase II in line with efforts to mainstream environmentally sustainable production practices into farmer trainings; ESP will support farmers through CHED CEAs and farmer societies to undertake the following activities in relation to tree plantings:

1. Sensitize farmers on the multiple benefits of appropriate shade trees with commercial timber species, and to build awareness of tree-tenure rules that ensure farmers' ownership of the trees they plant on their farms.
2. Work with COCOBOD to mainstream the distribution of commercially valuable timber shade tree species to farmers within COCOBOD's regular cocoa seedlings distribution programs. If COCOBOD begins distribution of shade tree seedlings at a massive scale ESP will scale back tree procurement and distribution accordingly.
3. Procure and deliver tree seedlings from decentralized private nurseries and coordinate their distribution, planting with farmer cooperatives/societies. Ensure plant care is covered in farmer and CEA training programs. The number of trees will be determined by a needs assessment at the beginning of Phase II and on an annual basis. Assuming COCOBOD will distribute a sizeable number of shade tree seedlings as a supplementary activity, ESP estimates to distribute about two million trees during the life of this phase.

It is expected that the tree-planting program would result in the following co-benefits to the cocoa farmer and farmlands:

- Reduced vulnerability of the cocoa plants against extreme weather conditions
- Maintenance of optimum soil moisture and humidity
- Conservation of local biodiversity
- Creation and maintenance of wildlife corridors
- Reduced incidences of pests and diseases
- Enhanced carbon stocks and nutrients cycles
- Reduced soil erosion
- Improved Non-Timber Forest Products (NTFP) sources for local people

Output 1.3. Tree registration and tree tenure policies for the adoption of environmentally sustainable cocoa production practices²

Land tenure policy has also been a significant driver to the lack of on-farm investment generally. It is a critical to the management and conservation of the environment for sustainable productivity. This has constrained expansion of more environmentally sound production (i.e. greater shade). Today farmers have very limited incentive to plant or maintain shade trees because of land tenure issues with landowners, and landowners have limited rights to naturally occurring trees on their land. There is also a lack of awareness about tree tenure rights. Tenure insecurity undermines the effectiveness of best environmental practices in the cocoa industry in Ghana. Land tenure systems that constrain tenurial security impact negatively on long-term investments in land improvements.

They also limit the realization of the requisite environmental conditions for achieving sustainable cocoa production. Some of the issues relating to customary land tenure are insecurity of tenure,

high rents and uncertainty about terms of the contract. Others are non-registration of oral customary law transactions, bad maps and site plans, corruption, lack of documentation of land titles that facilitate ownership and weak institutions at the community level, unable to protect and ensure the security of farmers and their farmlands.

When tenure rights are certain, whether customary or statutory, the land tenure system can provide incentives to use the land in a sustainable manner or invest in resource conservation whether for individual or community purposes.⁸

On the other hand, tree tenure-ownership and benefit sharing in planted and naturally growing trees on farms have become one of the thorny issue areas facing both landowners and cocoa tenants. Without tree tenure security, efforts in promoting the rehabilitation of cocoa farms and degraded forest sites through tree planting with the view to creating conducive conditions for environmentally sustainable cocoa production would be constrained.

Under this output a farmer will be assisted to secure tenure rights for newly established tree plantings and existing old forest timber trees located on farmer's plots by formally registering trees. The ESP Phase I Project achieved significant progress in tree tenure and tree registration by working closely with the Ghana Forestry Commission to put in place a tree registration mechanism including a tree registration form to be adopted for the registration of trees planted on cocoa farms in Phase 1 and for Phase II. Under this output, trees planted will be registered a year after planting. The Project Management Unit in collaboration with CHED CEAs and farmer cooperatives/societies will conduct tree registrations each year following the tree plantings.

Outcome 2: Natural resources and ecosystems management in cocoa production landscapes

Ghana's cocoa regions face dire long-term challenges, including climate change – that can deteriorate the production landscapes' geophysical capacity to sustain cocoa production, and others – like access to potable water – that threaten quality of life in cocoa communities. Some of these threats can be addressed by changing practices on cocoa farms, but many of the larger problems, including logging, excessive hunting, gold mining, conservation of water bodies, fire prevention and land- and tree tenure cannot be addressed at the farm level. These problems require concerted efforts between grower communities, local government institutions, local chiefs and civil society, to agree on problems and coordinate necessary action. The ESP Phase I, has showed that policy coordination and joint action at the district and community level stand a much better chance of success because the action happens with people who have a direct interest in the results.

The community-based intervention under this phase of the project will be a joint effort with the other Cocoa Life IPs as a complementary activity and meant to integrate sustainability issues into the other pillars of the program. Most of the activities under this component would be focused at community wide interventions instead of farmer level alone. It will also be aimed at promoting environmental sustainability across board in all Cocoa Life communities in ways that protect the environment and also give farmers the best of income for what they produce, and also satisfy the requirement of the international market. For a sector which has predominantly relied upon an expansionist production strategy and has significantly contributed to the degradation and deforestation of the high forest zone over the past hundred years, this effort represents a major shift in environmental thinking and management by the ESP. Through this project, Cocoa Life would be formally linking the sustainability of the cocoa sector with the health of the environment upon which it relies.

Therefore, Outcome 2 will broadly focus on the establishment of two additional Community Resource Management Areas (CREMAs) in addition to the Asunafo North CREMA and establishment of three fire brigades in the CREMAs. The establishment of the CREMAs will follow

⁸ Ogolla & Mugabe. 1996. Land Tenure Systems, In Land We Trust, Initiatives Publishers, Nairobi, Kenya

a concerted effort to engage and build capacities of traditional authorities and community opinion leaders to enable them enforce traditional conservation practices to conserve biodiversity.

The following outputs are therefore expected to be achieved:

Output 2.1. CREMAs established

One key activity the ESP Phase I Project was the establishment of a pilot Community Resource Management Areas (CREMA) in the Asunafo landscape to help conserve natural resources and also maintain the ecosystems in cocoa landscapes. The successfully piloted Asunafo North CREMA has in place an Executive Committee consisting of representatives from each community, local chiefs, and representatives from public agencies. The Executive Committee is effectively creating consensus and identifying joint action for the broader cocoa production landscape, which is an important complement to on-farm sustainability. Particularly, the CREMA structure can be instrumental in ensuring monitoring and addressing problems related to expansion of cocoa activities into forests.

The CREMA is a formally recognized entity, which has the opportunity to become self-financing and thereby sustainable beyond project phase. Though the CREMA concept was originally aimed at encouraging local communities to better integrate wildlife management into farming and as a legitimate land-use option, ESP has broadened the concept in the Asunafo pilot landscape to encompass other biodiversity conservation related issues through a landscape based approach. CREMAs confer increased local control and participation in natural resource (especially wildlife) management, increase the scope for farmer rights over trees, and provide a facilitating platform to sort out land tenure issues. It is expected that the Asunafo North CREMA activities will be expanded in the future to include REDD+ (Reducing Emissions from Deforestation and Forest Degradation) objectives.

The following key activities will be covered:

1. Consolidation of results and ensuring long-term sustainability of the Asunafo North CREMA. The development of the CREMA in the Asunafo Pilot Landscape is ongoing and would be continued under Phase II. Work is currently in progress to obtain the final devolution certificate for the Asunafo CREMA but it would still be necessary for ESP to continue its work there until the CREMA matures to operate on its own.
2. Two additional CREMAs established. To facilitate the establishment of these two new CREMAs the following sub-activities will be carried out:
 - Based on geophysical and socio-political factors, evaluate the feasibility of establishment of two CREMAs in the project districts;
 - Facilitate the establishment of CREMA governing bodies and support the drafting of the byelaws by communities and approved by Municipal Assembly.
 - CREMA byelaws presented and gazette by the Government Press as an Assembly Bylaw and submitted to the Wildlife Division to enable them obtain the certificate of devolution from the Ministry of Lands and Natural Resources.
 - Consultative developments of CREMA Management Plans and Midterm plans to assist communities' natural resources management and conservation in the cocoa landscapes.

Output 2.2. Three community fire prevention volunteer brigades established and trained in the CREMAs

Fire is widely accepted throughout the country as being a valuable tool in the management of natural vegetation, agriculture including livestock production and in other land use systems. In the

past and even in some instances today hunters, herders, farmers and cigarette smokers are the primary recipients of blame for uncontrolled and indiscriminate bush burning. Many bushfires in the forest zone are deliberately started during the dry season. In many areas, farmers and hunters do so to facilitate access by men and animals. Many farmers use fire to reduce the fuel load or combustible litter in order to reduce the potential frequency and intensity of late dry season fires.

In the forest ecosystem, fire is practically the cheapest means available for clearing slash and felled trees from fields to create a larger planting area for crops. Burning is essential for a good crop with minimum of labor. Farmers share the opinion that when the vegetation is burned, large quantities of nutrient-rich-ashes are deposited on the soil surface which provides the newly planted crops with the benefits of the biomass that has grown on the site. This observation is supported by studies, which confirm the availability of nutrients for growing plants.

Clearly, measures are urgently needed to control the use of fire to ensure maintenance of biodiversity, protect wildlife and habitat for vegetation enhancement. Under this output three-community fire prevention volunteer brigades will be established in the two new CREMAs and the Asunafo North CREMA. The activities of the community fire volunteers will be embedded in the CREMA byelaws sanctioning regimes to regulate the use of fires.

Under this output the following activities will be implemented:

1. Organize a series of community dialogues with other Cocoa Life Implementing Partners including the District Coordinators and Community Animators and the National Fire Service to establish Community Fire Volunteer Squads starting in the CREMA areas. Depending on community interest and participation it would be extended to other areas.
2. The fire volunteer squads in the CREMA districts will be trained by the Ghana National Fire Service and equipped with the necessary tools to deal with the problem of bushfires and to enable local people enforce fire policies consistent with the national prospects for sustainable production.
3. Farming systems based on prescribed burning would be featured in the CREMA byelaws and would also be made part of environmental sustainability curriculum for the training of CEAs and farmers to reduce the hazards of bushfires. This will be based on the premise that effective prevention and control of bushfires demand proper enforcement of rules and regulations by local people.

Output 2.3. Build capacities of traditional authorities and community opinion leaders to enable them enforce traditional conservation practices to conserve biodiversity

As part of the CREMA led activities, the three CREMAs will work closely with traditional authorities and community opinion leaders in the implementation of the byelaws to enforce traditional customs and norms for the protection and management of biodiversity and natural resources.

The Project Management Unit (PMU) will work closely with CHED CEAS and other Cocoa Life IPs to host community dialogues with traditional authorities and opinion leaders to introduce the project objectives and involve leaders in the CREMA establishment as ways to sensitize and build capacities to enforce traditional conservation practices such as:

1. Conservation of certain trees and animal species and restricting access into sacred groves that are considered sacred.
2. Attributing a tribe's existence to a particular species and making it an offence to destroy that species (totem).
3. Banning activities (for example hunting, farming and/or fishing) in certain areas for certain periods of time.
4. Cultivating and breeding certain species of plants and animals; farming to conserve biodiversity; and protecting streams and rivers.
5. Restoration by enrichment or border plantings in sacred groves.

6. Enhance the capacities of farmers and landowners in designing/developing land use agreements such as sharecropping arrangements.

Outcome 3: Funding Mechanisms

Output 3.1. Investigate additional funding mechanisms and develop new proposals

There are a number of emerging funding mechanisms that could potentially fund activities that lead to environmental sustainability and climate change mitigation in cocoa communities. These funding mechanisms may fund investments that facilitate change directly at farmer level, or they may help sustain activities at the systemic level and ensure sustainability of the project results in the longer term.

These mechanisms include REDD+, which is been established in Ghana and focuses on cocoa sustainability, as well as voluntary carbon market funding. Recently, there have been efforts made by the Forestry Commission (FC) of Ghana, COCOBOD, and the Ministry of Lands and Natural Resources (MLNR) with support from the World Bank to develop a performance based emission reduction program for the Cocoa Forest Mosaic Landscape (i.e. Ghana Cocoa Forest REDD+ Program (GCFRP)) in the high forest zone. The program aims to curb emissions driven by expansion of cocoa into forest areas, whilst also addressing illegal logging and chain sawing, and illegal mining. By tackling these drivers, Ghana aims to secure the future of its forests and make the cocoa sector climate-resilient, whilst sustaining and enhancing income and livelihood opportunities for farmers and forest users across the program area. The GCFRP covers most of the areas ESP Phase II will be operating in.

While these funding mechanisms are relatively new and the modalities yet to be fully developed and operationalized in Ghana's cocoa sector, nonetheless represent an opportunity for sustainable financing for improvement on farms and at the systemic level. UNDP and the PMU will collaborate with the FC/COCOBOD to leverage the project achievements under ESP Phase I and the new Phase II.

For specific funding mechanisms, help design financial products that can improve climate change resilience and environmental sustainability, potentially including:

- a. Carbon compensation funding to help sustain the cost of farmer support programs, particularly after the project ends.
- b. Farm investments including cocoa farm renovation, fuel-efficient wood stoves, pelleting from cocoa husks, solar energy technologies etc.
- c. Assessments to determine the economic feasibility of a REDD+ scheme in Cocoa landscapes for development as an additional/alternative funding mechanism

Output 3.2. Donor dialogues in Ghana and globally with the support of UNDP Global Commodities Programme to explore other funding opportunities

Identify and establish dialogue with relevant donor agencies such as the Netherlands, Canada and JICA already engaged in the cocoa sector in Ghana and internationally through the UNDP Global Commodities Program with the aim to facilitate future funding flow to Ghana's cocoa sector.

Providing complementary support through ongoing projects currently implemented by the Sustainable Development Cluster of UNDP Ghana which are strengthening the capacity of Ghana to address energy and environmental challenges at national, regional, and local levels. For instance, UNDP has commissioned studies on the Assessment of socio-economic impacts of mining in the cocoa landscape in Ghana. The overall objective of the study is to comprehensively map out the extent of mining especially illegal small-scale mining and related land degradation and water pollution. Following the completion of the study, will propose policy recommendations to help curb the recent upsurge of small-scale mining on arable lands and resultant pollution to water bodies.

Resources Required to Achieve the Expected Results

The intervention, which is planned as a 51-months project starting October to December, 2016 and ending in December of 2020, will be implemented in 330 communities in Cocoa Life's cohorts 1, 2 and 3. This presents a major opportunity for the project to demonstrate the viability of environmentally sustainable production practices in Ghana and to lead the way in bringing back production models that can ensure long-term productive capacity.

Therefore, in order to ensure proper and effective implementation and delivery of project activities the project proposes to have in place a project management unit composed of the following expertise:

- Project Coordinator/Manager
- Agro-forestry Technical Specialist
- Finance and Administrative Assistant
- 2 Drivers
- 5 Field Officers

The UNDP CO and GCP teams will work together to provide technical support and quality assurance in the overall implementation. The project will also hire consultants to carry out specific activities which are in line with the overall delivery, for instance the CREMA establishment and devolution process.

The UNDP costs and the PMU costs as well as project implementation costs are captured under the multi-year work plan and budget on page 20.

Partnerships

The project interventions fall under the Environment Pillar V of the Mondelez International Cocoa Life Ghana Program works with the following partners: COCOBOD, farmer cooperatives/societies and NGO partners in the implementation of 5 key pillars:

- Farming
- Community
- Youth
- Livelihoods
- Environment

The project has made several concerted efforts to work with and through the partners.

Risks and Assumptions

The general political and economic environment of Ghana is stable and conducive for development, it is assumed that Government will continue to show commitment; demonstrate political will and create an enabling environment for development interventions to thrive. However, with 2016 being an election year however has implications on project implementation. There is the risk that IPs may be involved in politics and may have limited commitment to implementation of planned activities. Furthermore, the new management arrangement contained in the AWP may create some relationship and reporting challenges. This may also impact on the implementation, and ultimately the planned results.

To mitigate these challenges, while activities commenced this year from October – December 2016 will focus largely on procuring equipment and hiring additional personnel to begin planned activities for the new year, 2017 when political activities have already taken place.

The full risk log is attached in the annex.

Stakeholder Engagement

Target Groups: The project seeks to benefit farmers' engaged in cocoa production by embedding sustainable and climate friendly cocoa production and biodiversity conservation practices into cocoa farming in Ghana. To ensure that farmers in the selected districts are reached, under the project efforts will be made to provide technical trainings to CHED CEAS and other Cocoa Life IPs directly responsible for training farmers on cocoa agronomy practices. Already, under ESP I technical trainings were conducted for CHED CEAs and CL IPs and will be further strengthened and continued under the new phase. The CHED CEAs and Cocoa Life IPs will be assisted technically by Field Officers in the field to deliver trainings to farmers.

South-South and Triangular Cooperation (SSC/TrC)

The UNDP Green Commodities Program is engaged in a technical advisory role for the project implementation. The GCP involvement is contributing to south-south cooperation by promoting the exchange of best practices, lessons learned and innovative approaches between Ghana and other cocoa growing countries such as Dominican Republic and Indonesia and others in the African Region. Also, facilitate capacity building trainings and knowledge exchanges via onsite trainings, online resources such as webinars etc. for the PMU, Cocoa life Ghana and COCOBOD teams' participation in the GCP's Community-of-Practice, a network of agro-commodity practitioners working on related issues

Knowledge

The project will develop specific knowledge products such as publications, briefs, fact sheets, and media write-ups on lessons learned and best practices from trainings and implementation of project specific activities will be communicated on the donor- Cocoa Life Global, UNDP and COCOBOD's websites and social media platforms.

Information on the CREMA establishment and implementation; the tree registration mechanism will be well documented and shared with Forestry Commission and other donor agencies and civil society organisation involved in the cocoa sector.

The project will also ensure that lessons learned and best practices are adequately communicated to the beneficiaries in the form of simple briefs and or short films in local languages that motivates sustained change will be developed.

Already under ESP Phase I, the *Trainer's Guide* manual supplemented by teaching aids have been developed to train CHED CEAS and other Cocoa Life IPs and to assist them train farmers. Under ESP Phase II, when necessary revisions or additions to the manual will be incorporated and reprinted and shared with CHED CEAs.

Sustainability and Scaling Up

The new ESP Phase II is designed to build on results and lessons learned from the current phase to help scale up activities to cover all Cocoa Life communities in Cohorts 1, 2 & 3. This proposal has been elaborated in accordance with Cocoa Life's new environmental strategy and will significantly contribute to its objectives.

The following proposed strategies under this phase could ensure long-term sustainability and scaling up of project results.

1. Mainstreaming of environmentally sustainability production practices into farmer training curriculum by embedding into CHED CEAs and other cocoa life IPs working closely with farmers to improve farming practices. The strategy is to continue the technical capacities of CHED CEAs to embed environmental sustainability activities into their everyday farmer extension work and deliver it simultaneously with other farmer support activities as a package. The main element of this strategy is to develop training modules on selected environmental sustainability practices and train CEAs and other IPs to enable them to also train farmers on the selected practices (using the trainer of trainer's concept). The reasons for this strategy are: for several reasons: *first*, environmentally sustainable cocoa production practices stand the

best chance of being adopted if they are presented to farmers as part of a package of practices that also have economic and social benefits; *second*, there is considerable overlap between good environmental practices and traditional cocoa agronomy, and the two should not be seen as separate. Sustainable production practices have to do with *how* farmers can sustainably manage and conserve the current production environment, for example: how to spray responsibly, how to ensure long-term productivity with overhead shade trees and soil cover and how to protect forests and water bodies for biodiversity and human use; *third*, as Mondelēz' Cocoa Life is a long-term effort which continuously expands its target group, embedding environmental issues into regular farmer trainings will make Environment Pillar (Pillar V) scalable and cost effective to implement.

2. Ensuring long-term ecosystem protection at the district to community levels by establishing CREMA structures in the selected districts will ensure long-term sustainability of natural resources and ecosystem management in cocoa landscapes. While the farmer based interventions will ensure change and improvements at the farm level it is crucial to sustain this at landscape level. Hence, the CREMA establishment, a mechanism that allows communities to jointly manage natural resources of a larger ecosystem with relevant stakeholders will ensure long-term sustainability and scaling up of ESP interventions.
3. Policy engagement with government on land tenure and tree tenure rights. Securing tree tenure rights for farmers engaged in the tree plantings on cocoa farms by establishing a tree registration mechanism with the Forestry Commission will incentivise farmers to implement and scale up ESP practices. Already under ESP Phase I the project has almost completed the tree registration mechanism with the Forestry Commission and will roll out the registration activities which will serve as learnings for ESP Phase II.

IV. PROJECT MANAGEMENT

Cost Efficiency and Effectiveness

Under the ESP Phase II the project activities will be scaled up from 5 districts in Phase I to cover 14 districts in Cocoa Life's Cohorts 1, 2 and 3 district clusters. In addition to the Project Coordinator and the Agroforestry Technical Specialist the project will hire 5 Field Officers stationed in each of the in five different Cocoa Life Cohort 1, 2 & 3 districts. The five districts to have a PF will be identified before the project starts. The PFs will deliver training to farmers alongside CHED CEAs, and facilitate overall coordination with other Implementing Partners and monitor and report on progress. Once the COCOBOD and the PMU, UNDP and Cocoa Life determine that environmental activities have successfully been embedded in CHED's farmer training plans and is delivered satisfactorily to communities, the PF can be shifted to a new district. For the remaining districts in Cohort 1, 2 and 3, the PMU will rely on Cocoa Life's District Coordinators to support the implementation of Pillar V activities. The PMU will train the District Coordinators, and Cocoa Life's staff will ensure that the District Coordinators are properly motivated to take on this work. The PMU will monitor and report on environment implementation in all districts. Cocoa Life and UNDP will evaluate the implementation by District Coordinators after one year. If District Coordinators are not successful in implementing environment pillar the model will be changed. If, however, implementation through District Coordinators is successful this model will gradually be used throughout the Cocoa Life program.

The project will have one PF in Asunafo North to support the consolidation of the CREMA. New CREMAs will be established using specialized consultant support.

UNDP will provide support in procurement, financial management and the monitoring and evaluation of the project as well as ensure quality assurance of project delivery.

Project Management

This proposal builds on key results and lessons learned from the ESP Phase I Project to scale up Environment Pillar V of Mondelez International Cocoa Life Program in 14 districts in 5 Regions: Eastern Region (New Dwabeng, Fanteakwa, Suhum, West Akyem and Tepa); in Ashanti Region (Amansie West, Mampong, Efiduase); Central Region (Awutu Senya); Western Region (Dwabeso) and Brong Ahafo Region (Sankore, Asunafo North, Goaso, Asutifi West).

In order to adequately cover all the project areas, the project team will have a lean Accra Office and 5 field offices in the project districts. The field offices including the current Asunafo North office will be based in the CHED district offices, with field officers working closely with CHED CEAS and other Cocoa Life IPs to implement project activities. The PFs will also work closely with the other Cocoa Life IPs newly appointed District Coordinators and community animators to coordinate community meetings/dialogues effectively.

Audit Clause: The project will be audited in accordance with UNDP Programme and Operations Policies and Procedures (POPP) and would cover the following areas; review of work plans, progress reports, project resources, budget, expenditure, delivery, recruitment, operational and financial closing of projects (if applicable) and disposal or transfer of assets.

V. RESULTS FRAMEWORK⁹

Intended Outcome as stated in the UNDAF/Country [or Global/Regional] Programme Results and Resource Framework: Outcome 3: National systems and existing institutional arrangements for climate change mitigation and adaptation and for disaster risk reduction, as defined in the Hyogo Framework for Action at the district, regional and national level are functional											
Outcome indicators as stated in the Country Programme [or Global/Regional] Results and Resources Framework, including baseline and targets: Proportion of districts, regions and national agencies supporting the implementation of the national policy on climate change and disaster risk reduction											
Applicable Output(s) from the UNDP Strategic Plan: Environment and Sustainable Development											
Project title and Atlas Project Number: Environmentally Sustainable Production Practices in Cocoa Landscapes- Pillar V, Phase II											
EXPECTED OUTPUTS	OUTPUT INDICATORS	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)					DATA COLLECTION METHODS & RISKS	
			Value	Year	Year 1	Year 2	Year 3	Year 4	FINAL		
Output 1.1 Farmers trained and equipped in environmentally sustainable production practices	1.1.1 Number of trainers trained on environmentally sustainable production practices	Project Reports & Surveys	1,000	2016	186	200	220	240	846	Training Reports, No Risk	
	1.1.2. Number of cocoa farmers trained in environmentally sustainable production practices		40,000	2016	6,000	7,000	8,000	9,000	30,000	Training Reports, No Risk	
	1.1.3 % of farmers adopting soil improvement practices in Cocoa Life Communities		40,000	2016	10%	25%	28%	32%	95%	Surveys, No Risk	
Output 1.2 Farmers enhanced trees and carbon stocks on cocoa farms	1.2.1 Number of shade trees procured and distributed		NA		0	400,000	400,000	800,000	800,000	Planting Data/Report. Risk - failure of farmers to complete forms accurately	
	1.2.2 Number of shade trees planted on cocoa farms in the project districts		NA		0	400,000	400,000	800,000	800,000	Planting Data/Report. Risk - failure of farmers to complete forms accurately	

⁹ UNDP publishes its project information (indicators, baselines, targets and results) to meet the International Aid Transparency Initiative (IATI) standards. Make sure that indicators are S.M.A.R.T. (Specific, Measurable, Attainable, Relevant and Time-bound), provide accurate baselines and targets underpinned by reliable evidence and data, and avoid acronyms so that external audience clearly understand the results of the project.

	1.2.3 % of farmers with adequate shade trees on their farms to enhance biodiversity	40,000	2016	10%	30%	30%	30%	100%	Surveys, No Risk
	1.2.4 Number of hectares planted	NA			22,200	22,200		44,400	Farm mapping & measurement. Risk - mapping errors
Output 1.3 Tree registration and tree tenure policies for the adoption of environmentally sustainable cocoa production practices improved	1.3.1 Number of CHED CEAs and farmer cooperative leaders trained on tree registration modalities	NA		168		200		628	Training Reports, No Risk
	1.3.2 Number of trees registered	NA		500,000	300,000	400,000	400,000	1,600,000	Registration Data No risk
	1.3.3 Number of farmers registered	NA		2,000	1,960	4,000	4,000	11,960	Registration Data No risk
Output 2.1 CREMAs established	2.1.1 Suitable areas for CREMA establishment identified, delineated and 2 new CREMAs established	NA		2	0	0	0	2	Surveys, No Risk
	2.1.2 % of forest degradation/deforestation at cocoa frontiers avoided	NA		10%	15%	15%	15%	55%	Survey. No risk
	2.1.3 % of farmers practicing sustainable ecosystem management practices	NA		6,000	7,000	8,000	9,000	30,000	Survey. No risk
	2.1.4 Number and percent of Water bodies in Cocoa Life Communities protected	80	2016	5	25	28	20	78	Surveys, No Risk
	2.2.1. Three priority fire-prone areas identified	NA		1	2	0	0	3	Survey. No Risk
Output 2.2 Three community fire prevention volunteer brigades established and trained in the CREMAs	2.2.2 Number of community fire prevention brigade members trained			1	2	8	0	3	Training Reports. Risk - community interest
	2.2.4 Hectares of protected areas of various forms in Cocoa Life Districts	NA		50 Ha	60 Ha	65 Ha	40 Ha	215 Ha	Mapping Risk - mapping errors
	2.2.5 Number of farmers trained on sustainable ecosystem management practices			186	200	220	240	846	Training Reports No Risk
Output 2.3 Enhance capacities of traditional authorities	2.3.1 Number of community dialogues and capacity building trainings organized	NA		20	30	25	25	100	Training Reports No Risk

and community opinion leaders to enable them enforce traditional conservation practices to conserve biodiversity	2.3.2 Number of communities sensitized	30	35	30	35	30	130	Training Reports No Risk
	2.3.3 Number of farmers and landowners including chiefs who participated in community dialogue sessions	100	300	300	300	300	1,000	Training Reports No Risk
Output 3.1. Investigate additional funding mechanisms and develop new proposals	3.1.1 Number of proposals developed	2	2	2	2	2	8	Submission Records
Output 3.2. Donor dialogues in Ghana and globally with the support of UNDP Global Commodities Programme to explore other funding opportunities	3.2.1 Number of dialogues held	2	3	2	3	2	11	Training Reports. No risk

VI. MONITORING AND EVALUATION

Monitoring Plan

Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
Track results progress	Progress data against the results indicators in the RRF will be collected and analysed to assess the progress of the project in achieving the agreed outputs.	Quarterly, or in the frequency required for each indicator.	Slower than expected progress will be addressed by project management.	PMU/UNDP CO/GCP	
Monitor and Manage Risk	Identify specific risks that may threaten achievement of intended results. Identify and monitor risk management actions using a risk log. This includes monitoring measures and plans that may have been required as per UNDP's Social and Environmental Standards. Audits will be conducted in accordance with UNDP's audit policy to manage financial risk.	Quarterly	Risks are identified by project management and actions are taken to manage risk. The risk log is actively maintained to keep track of identified risks and actions taken.	PMU/UNDP CO/GCP	
Learn	Knowledge, good practices and lessons will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project.	At least annually	Relevant lessons are captured by the project team and used to inform management decisions.	PMU/UNDP CO/GCP	
Annual Project Quality Assurance	The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project.	Annually	Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance.	UNDP CO/GCP	
Review and Make Course Corrections	Internal review of data and evidence from all monitoring actions to inform decision making.	At least annually	Performance data, risks, lessons and quality will be discussed by the project board and used to make course corrections.	UNDP CO/GCP/PMU	
Project Report	A progress report will be presented to the Project Board and key stakeholders.	Annually, and at the end of the	PMU		

	<p>consisting of progress data showing the results achieved against pre-defined annual targets at the output level, the annual project quality rating summary, an updated risk long with mitigation measures, and any evaluation or review reports prepared over the period.</p>	<p>project (final report)</p>			
<p>Project Review (Project Board)</p>	<p>The project's governance mechanism (i.e., project board) will hold regular project reviews to assess the performance of the project and review the Multi-Year Work Plan to ensure realistic budgeting over the life of the project. In the project's final year, the Project Board shall hold an end-of-project review to capture lessons learned and discuss opportunities for scaling up and to socialize project results and lessons learned with relevant audiences.</p>	<p>Biannually</p>	<p>Any quality concerns or slower than expected progress should be discussed by the project board and management actions agreed to address the issues identified.</p>	<p>Steering Committee/PMU</p>	

Evaluation Plan¹⁰

Evaluation Title	Partners (if joint)	Related Strategic Plan Output	UNDAF/CPD Outcome	Planned Completion Date	Key Evaluation Stakeholders	Cost and Source of Funding
<p>e.g., Mid-Term Evaluation</p>						

¹⁰ Optional, if needed

VII. MULTI-YEAR WORK PLAN ¹¹²(DETAILED BUDGET BREAKDOWN IN ANNEX)

EXPECTED OUTPUTS	PLANNED ACTIVITIES	Planned Budget by Year					RESPONSIBLE PARTY	PLANNED BUDGET		
		Y1 (2016) (Oct-Dec)	Y2 (2017)	Y3 (2018)	Y4(2019)	Y5 (2020)		Funding Source	Budget Description	Amount (\$)
Outcome 1: Mainstreaming environmentally sustainable production practices into farmer level practices										
Output 1.1 Farmers trained and equipped in environmentally sustainable production practices	1.1.1 Activity: Capacity building trainings of CHED CEAS and other extension officers CL IPs in environmentally sustainable and climate smart production practices including sustainable water management practices to then train farmers	0	17,720	17,720	17,720	0	PMU & Field officers	Cocoa Life	3 trainings per year for district cocoa officers, district extension officers. Salaries of field officers and operational costs.	53,160.00
	1.1.2 Activity: Farmer sensitization and trainings on ESP practices by CHED CEAS and farmer cooperatives/societies with technical backstopping from field officers						PMU/Field Officers/CHED CEAS		Farmer trainings	
	Field Officers Costs	0	15,302.5	15,302.5	15,302.5	0	UNDP CO		Salaries of field officers and operational costs	45,907.50
	MONITORING	0	1,700	1,080	1,000	2,320	UNDP CO/GCP/PMU		Quarterly field monitoring and review of progress	6,100.00
Sub-Total for Output 1		0	34,722.5	34,102.5	34,022.5	2,320				\$105,167.50

¹¹ Cost definitions and classifications for programme and development effectiveness costs to be charged to the project are defined in the Executive Board decision DP/2010/32

¹² Changes to a project budget affecting the scope (outputs), completion date, or total estimated project costs require a formal budget revision that must be signed by the project board. In other cases, the UNDP programme manager alone may sign the revision provided the other signatories have no objection. This procedure may be applied for example when the purpose of the revision is only to re-phase activities among years.

EXPECTED OUTPUTS	PLANNED ACTIVITIES	Planned Budget by Year					RESPONSIBLE PARTY	PLANNED BUDGET		
		Y1 (2016) (Oct-Dec)	Y2 (2017)	Y3 (2018)	Y4(2019)	Y5 (2020)		Funding Source	Budget Description	Amount (\$)
	1.2.1 Activity: 1. Sensitize farmers on the multiple benefits of appropriate shade trees with commercial timber species, and to build awareness of tree-tenure rules that ensure farmers' ownership of the trees they plant on their farms.	0	6,000	6,000	0	0	PMU/Field Officers/CHED CEAs/Farmer Societies	Cocoa Life	A series of farmer/community entry dialogue meetings on benefits of trees on farms	12,000.00
	1.2.2 Activity: 3. Procure and deliver tree seedlings from decentralized private nurseries and coordinate their distribution, planting with farmer cooperatives/societies	0	50,000	50,000	50,000	50,000	PMU/Field Officers/ district cocoa extension officers.		Tree seedlings procurement and distribution including transportation costs from nurseries to farms. Training on tree planting techniques	200,000.00
	Output 1.2. Farmers enhance trees and carbon stocks on cocoa farms									
	Field Officers Costs	0	30,605	30,605	30,605	30,605	UNDP CO		Salaries of field officers and operational costs	122,420.00
	MONITORING	0	1,700	1,080	1,000	2,320	UNDP CO/GCP/PMU/Field Officers		For the purpose of quarterly field visits by UNDP Programme Officer/GCP yearly visits to monitor and evaluate progress.	6,100.00
	Sub-Total for Output 1.2	0	88,305	87,685	81,605	82,925				\$340,520.00

EXPECTED OUTPUTS	PLANNED ACTIVITIES	Planned Budget by Year					RESPONSIBLE PARTY	PLANNED BUDGET		
		Y1 (2016) (Oct-Dec)	Y2 (2017)	Y3 (2018)	Y4(2019)	Y5 (2020)		Funding Source	Budget Description	Amount (\$)
Output 1.3. Tree registration and tree tenure policies for the adoption of environmentally sustainable cocoa production practices	1.3.1 Activity: Monitor and facilitate the registration of all planted trees with the Forestry Commission of Ghana	38,620	8,700	12,920	1,870	27,971	PMU/Field Officers/CHED CEA/GCP	Cocoa Life	Tree registration including physical farm visits to individual farms to map and register individual farmers and submit forms to District Forestry Office.	90,081.00
	Field Officers Costs	0	15,302.5	15,302.5	15,302.5	15,302.5	UNDP CO		Salaries of field officers and operational costs	61,210.00
	MONITORING	0	1,700	1,080	1,000	2,320	UNDP CO/GCP/PMU		Quarterly field monitoring and review of progress	6,100.00
	Sub-Total for Output 1.3	38,620	25,702.5	29,302.5	18,172.5	45,593.5				\$157,391.0
	Total for Outcome 1	38,620	148,730	151,090	133,800	130,838.5				\$603,078.5
Outcome 2: Natural resources and ecosystems management in cocoa production landscapes										
Output 2.1. CREMA established	2.1.1 Activity: Consolidate and monitor the Asunafo North CREMA to become functional and independent	5,000	2,500	2,500	0	0	PMU/PF/UNDP GCP	Cocoa Life	Trainings for the CREMA Executive Committee to setup office and implement the Management Plan and Mid-term Action Plans	10,000.00
	2.1.2 Activity: Evaluate the feasibility of 2 additional CREMAS	11,360	0	0	0	0	PMU/UNDP		Conduct baseline studies in the cohorts 1,2,3 to assess which districts are more suitable for the establishment of CREMAS	11,360.00

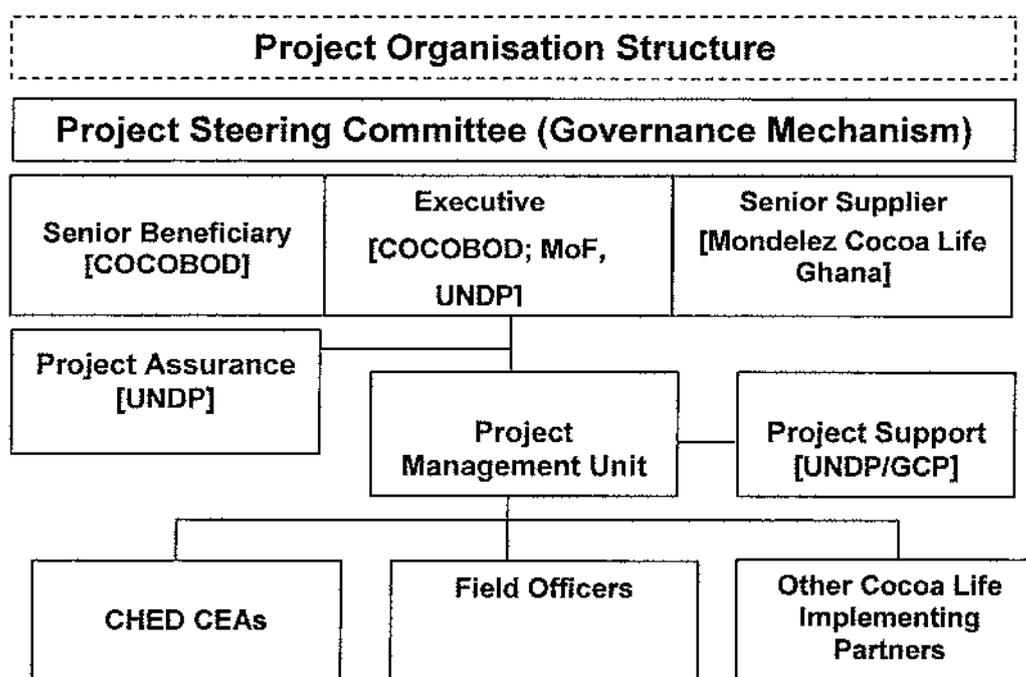
EXPECTED OUTPUTS	PLANNED ACTIVITIES	Planned Budget by Year						RESPONSIBLE PARTY	PLANNED BUDGET	
		Y1 (2016) (Oct-Dec)	Y2 (2017)	Y3 (2018)	Y4(2019)	Y5 (2020)	Funding Source		Budget Description	Amount (\$)
		2.1.3 Activity: Establish 2 additional CREIMAs based on the recommendations of feasibility report	0	25,000	25,000	45,000	45,000		45,000	Consultant/PMU/UNDP/GCP
Field Officers Costs	3,000	15,302.5	15,302.5	15,302.5	30,605	30,605	UNDP CO	Salaries of 4 field officers and field operational costs. In Year 1-the current field Officer in Asunato North will have been hired to continue his work	79,512.50	
Technical advisory support by the Global Commodities Programme	0	20,000	20,000	20,000	20,000	20,000	UNDP CO/GCP	Technical advisory support by GCP	80,000.00	
MONITORING	0	1,700	1,080	1,000	2,320	2,320	UNDP CO/GCP	Quarterly field monitoring and review of progress	6,100.00	
Sub-Total for Output 2.1	19,360	64,502.5	63,882.5	81,302.5	97,925	97,925			\$326,972.50	
Output 2.2. Three community fire prevention volunteer brigades	2.2.1 Activity CREMA stakeholder consultations to determine fire prone areas in the districts	1,200	0	0	0	0	PMU/PF	Initial meetings with fire prone communities to discuss and identify volunteers to be part of the fire volunteer squad	1,200.00	

EXPECTED OUTPUTS	PLANNED ACTIVITIES	Planned Budget by Year					RESPONSIBLE PARTY	PLANNED BUDGET		
		Y1 (2016) (Oct-Dec)	Y2 (2017)	Y3 (2018)	Y4(2019)	Y5 (2020)		Funding Source	Budget Description	Amount (\$)
established and trained in the CREMAs	2.2.2 Activity Formation and training of fire volunteers' squads	0	9,810	9,000	9,000	0	PMU/PF		Community dialogues and engagement to establish 3 fire volunteers	27,810.00
	2.2.3 Activity Equipment/tooling support procured	0	6,000	6,000	6,000	0	UNDP CO/PMU		Equipment purchased to support fire volunteers established under the CREMAs	18,000.00
	Field Officers Costs	0	15,302.5	15,302.5	15,302.5	15,302.5	UNDP CO		Salaries of field officers and operational costs	61,210.00
	MONITORING	0	1,700	1,080	1,000	2,320	UNDP CO/GCP/PMU		Quarterly field monitoring and review of progress	6,100.00
	Sub-Total for Output 2.2	1,200	32,812.5	31,382.5	31,302.5	17,622.5				\$114,320.00
Output 2.3. Enhance capacities of traditional authorities and community opinion leaders to enable them enforce traditional conservation practices to conserve biodiversity	2.3.1 Activity: Community dialogues held with CREMA stakeholders including traditional authorities and opinion leaders and farmers on enforcement of traditional conservation practices	0	4,500	4,500	4,500	4,500	PMU/PF		A series of community engagements to discuss the CREMA concept with the preselected communities to be considered for the CREMA formation	18,000.00
	Sub-Total for Output 2.3	0	4,500	4,500	4,500	4,500				\$18,000.00
	Total for Outcome 2	20,560	101,815	99,765	117,105	120,047.5				\$459,292.5

EXPECTED OUTPUTS	PLANNED ACTIVITIES	Planned Budget by Year					RESPONSIBLE PARTY	PLANNED BUDGET		
		Y1 (2016) (Oct-Dec)	Y2 (2017)	Y3 (2018)	Y4(2019)	Y5 (2020)		Funding Source	Budget Description	Amount (\$)
		Outcome 3: Funding Mechanisms								
Output 3.1. Investigate additional funding mechanisms and develop new proposals	3.1.1 Activity Additional Funding Mechanisms developed including new proposals	0	5,000	5,000	5,000	5,000	UNDP GCP	Cocoa Life	Investigate mobilizing additional resources	20,000.00
	3.1.2 Activity Undertake an assessment to determine the economic feasibility of a REDD+ scheme in Cocoa landscapes for development as an additional/alternative funding mechanism	0	5,000	5,000	5,000	5,000	UNDP GCP	Cocoa Life	UNDP to dialogue with the Forestry Commission to explore ways in which a REDD+ scheme could be developed in the Cocoa Landscapes under ESP I and II. UNDP will commit some of its own internal resources to hold meeting and dialogues. (GCP Technical Advisory Support)	20,000.00
	Sub-Total for Output 3.1	0	10,000	10,000	10,000	10,000				\$40,000.00
Output 3.2. Donor dialogues in Ghana and globally with the support of UNDP Global Commodities Programme to explore other funding opportunities	3.2.1 Activity Dialogues with other funding agencies in Ghana and globally with the support of UNDP Global Commodities Programme to explore other funding opportunities	0	5,000	5,000	5,000	5,000	UNDP GCP	Cocoa Life	Development of additional proposals and support strategic and global partnerships	20,000.00
	Sub-Total for Output 3.2	0	5,000	5,000	5,000	5,000				\$20,000.00

EXPECTED OUTPUTS	PLANNED ACTIVITIES	Planned Budget by Year					RESPONSIBLE PARTY	PLANNED BUDGET		
		Y1 (2016) (Oct-Dec)	Y2 (2017)	Y3 (2018)	Y4(2019)	Y5 (2020)		Funding Source	Budget Description	Amount (\$)
	Total for Outcome 3	0	15,000	15,000	15,000	15,000			\$60,000.00	
	Project Management									
	Personnel cost	26,806.55	100,900.19	100,900.19	100,900.19	100,900.19	UNDP CO, COCOBOD	Cocoa Life	Project Management Unit in Accra Office	430,407.31
	Administrative cost	4,747.50	15,373.00	15,063	15,010	15,030	PMU		Operational costs for PMU Accra office	65,223.50
Project Management	Equipment	63,818.73	0	0	0	0	UNDP CO		8 hp elite laptops; 5 Printers; 28 Garmin GPS; 5 Office furniture and 5 motorbikes	63,818.73
	Total for Project Management	95,372.78	116,273.19	115,963.19	115,910.19	115,930.19				\$559,449.54
SUB-TOTAL		154,552.78	381,818.19	381,818.19	381,815.19	381,816.19				1,681,820.54
UNDP FEES (10%)		15,455.28	38,181.82	38,181.82	38,181.52	38,181.62			General Management Support and Direct Project Cost	168,182.59
GRAND-TOTAL		170,008.06	420,000.01	420,000.01	419,996.71	419,997.81				1,850,002.59

VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS



Project Steering Committee/Board

The Implementing Agency (COCOBOD) is responsible for the overall implementation of the ESP Phase II activities. The Project Management Unit once formed will report to a steering committee. The chairman of the Steering Committee will be the Deputy-Executive Director, Operations, COCOBOD. The steering committee will be formed from a group of representatives from COCOBOD CHED and CRIG, UNDP, Mondelez Cocoa Life Ghana, Ministry of Lands and Natural Resources and its two implementing Agencies (Lands Commission and Forestry Commission), Ministry of Finance and Economic Planning (MOFEP) and Ministry of Food & Agriculture.

The committee will convene biannually to:

1. Approve work plans and budgets, to oversee the implementation and review progress of the project activities and expenditure against the outputs;
2. Ensure that project implementation is in line with the objectives of the Environmental Pillar V is fully aligned and coordinated on a regular basis with the overall Cocoa Life Program;
3. Information sharing occurs between the environmental project and Cocoa Life project to support coordination efforts;
4. Ensure that the choice of implementation partners and project consultants for the various project outcomes and activities;

Project Assurance

UNDP CO will support the steering committee and the project management unit by providing independent project oversight and monitoring functions. UNDP CO will also ensure that appropriate project management milestones are managed and completed. Project Assurance has to be independent of the Project Manager; therefore, the Project Board cannot delegate any of its assurance responsibilities to the Project Manager.

Project Management Unit

A Project Management Unit (PMU) will be responsible for the day-day management of the project and will be responsible for the overall project activities implementation. The PMU will have a lean Accra-based team of 5 people; and 5 field officers and 1 driver as follows:

- Project Coordinator/Manager
- Agro-forestry Technical Specialist
- Finance and Administrative Assistant
- 2 Drivers
- 5 Field Officers

The Project Management Unit hired with support from the UNDP CO will complete the following activities:

1. Prepare annual work plans and budgets; and quarterly progress reports for approval by the steering committee
2. Prepare supporting documentation regarding changes to project activities and budgets
3. Monitor and review the project including risks, quality and timeliness of implementation of specific activities
4. Coordinate the overall project implementation and management
5. Undertake resolution of project conflicts
6. Assume formal acceptance of project deliverables
7. Directs and provides strategic guidance

In addition, the project will station one field officer in each of the five different Cocoa Life Cohort 1, 2 & 3 districts. The five districts to have a PF will be identified before the project starts. The PFs will deliver training to farmers alongside CHED CEAs, facilitate overall coordination with other Implementing Partners and monitor and report on progress.

Once UNDP and Cocoa Life determine that Pillar V activities have successfully been embedded in CHED CEAs farmer training plans and is delivered satisfactorily to communities the PF can be shifted to a new district. For the remaining districts in Cohort 1, 2 and 3, the PMU will rely on Cocoa Life's District Coordinators to support the implementation of Pillar V activities. The PMU will train the District Coordinators, and Cocoa Life's staff will ensure that the District Coordinators are properly motivated to take on this work. The PMU will monitor and report on Pillar V implementation in all districts. Cocoa Life and UNDP will evaluate the implementation by District Coordinators after one year. If District Coordinators are not successful in implementing Pillar V the model will be changed. If, however, implementation through District Coordinators is successful this model will gradually be used throughout the Cocoa Life program.

Project Support

UNDP Country Office will provide technical assistance and support will be responsible for coordination and implementation of the program including support in the following areas:

1. Overall program coordination and oversight in close coordination with project manager and key implementation partners including UNDP Country Offices.
2. Assist in operationalizing the program and contributing to ensuring highest programmatic technical quality
3. Support and advise program implementation
4. Drafting of internal and external reports, proposals, terms of reference, promote the exchange of best practices and innovative approaches
5. Administrative support through substantive and financial follow-up and reporting

The UNDP Green Commodities Program (GCP), has a global presence and generate experiences, and results that are valuable and could enrich the work under this project. UNDP CO will engage GCP to provide the following technical assistance to the overall project implementation:

1. Technical backstopping and close project implementation support.
2. Provide guidance and technical review of annual work plans.
3. Review technical outputs of the project and provide feedback on regular basis as needed.
4. Facilitate capacity building trainings and knowledge exchanges via onsite trainings, online resources such as webinars etc. for the PMU, Cocoa life Ghana and COCOBOD teams' participation in the GCP's Community-of-Practice, a network of agro-commodity practitioners working on related issues.
5. Support the development of additional and related proposals; resource mobilization and strategic global partnerships (e.g. cocoa action, FCPF).
6. Promote the exchange of best practices, lessons learned and innovative approaches between Ghana and other cocoa growing countries such as Dominican Republic and Indonesia and others in the African Region.

IX. LEGAL CONTEXT AND RISK MANAGEMENT

Select the relevant one from each drop down below for the relevant standard legal text:

1. Legal Context:
 - Country has signed the Standard Basic Assistance Agreement (SBAA)
 - Country has not signed the Standard Basic Assistance Agreement (SBAA)
 - Regional or Global project
2. Implementing Partner:
 - Government Entity (NIM)
 - UNDP (DIM)
 - CSO/NGO/IGO
 - UN Agency (other than UNDP)
 - Global and regional projects

Or [click here](#) for the MS Word version of the standard legal and risk management clauses.

X. ANNEXES

1. Risk Analysis
2. Detailed Budget
3. Terms of Reference for Project Board and Key Project Positions
4. Standard Letter of Agreement Between UNDP and the Ghana Cocoa Board for the Provision of Support Services
5. Environment and Social Safeguards Assessment
6. Project Design Quality Assurance Report
7. LPAC minutes

Annex I: Risk Analysis

<p>Project Title: Environmentally Sustainable Production Practices in Cocoa Landscapes Phase II</p>	<p>Award ID: 00095425</p> <p>Date: 21/9/2016</p>
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#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Mngt. response	Owner	Submitted, updated by	Last Update	Status
1	<p>Enter a brief description of the risk</p> <p><i>(In Atlas, use the Description field. Note: This field cannot be modified after first data entry)</i></p>	<p>When was the risk first identified</p> <p><i>(In Atlas, select date. Note: date cannot be modified after initial entry)</i></p>	<p>Environmental Financial Operational Organizational Political Regulatory Strategic Other</p> <p>Subcategories for each risk type should be consulted to understand each risk type (see Deliverable Description for more information)</p> <p><i>(In Atlas, select from list)</i></p>	<p>Describe the potential effect on the project if this risk were to occur</p> <p>Enter probability on a scale from 1 (low) to 5 (high) P =</p> <p>Enter impact on a scale from 1 (low) to 5 (high) I =</p> <p><i>(In Atlas, use the Management Response box. Check "critical" if the impact and probability are high)</i></p>	<p>What actions have been taken/will be taken to counter this risk</p> <p><i>(in Atlas, use the Management Response box. This field can be modified at any time. Create separate boxes as necessary using "+", for instance to record updates at different times)</i></p>	<p>Who has been appointed to keep an eye on this risk</p> <p><i>(in Atlas, use the Management Response box)</i></p>	<p>Who submitted the risk</p> <p><i>(In Atlas, automatically recorded)</i></p>	<p>When was the status of the risk last checked</p> <p><i>(In Atlas, automatically recorded)</i></p>	<p>e.g. dead, reducing, increasing, no change</p> <p><i>(in Atlas, use the Management Response box)</i></p>
1	<p>There is the risk that due to the 2016 election year the IP may be involved in politics and may have limited commitment to</p>	<p>8/8/2016</p>	<p>Political</p>	<p>Low</p> <p>P= 2 I = 2</p>	<p>To mitigate these challenges, while activities commenced this year from October – December 2016 will focus largely on procuring equipment</p>	<p>PMU</p>	<p>Programme Officer</p>	<p>6/10/2016</p>	<p>No change</p>

808

2	<p>implementation of planned activities.2016 is an election year with implications for project implementation due to delays in signing off the project document to begin implementation and requests authorization by the IP.</p>	8/8/2016	Political Regulatory	<p>Low P=2 I=2</p>	<p>and hiring additional personnel to begin planned activities for the new year, 2017 when political activities have already taken place.</p>	PMU	Programme Officer	6/10/2016	Tree tenure issues- reducing Land tenure- no change
	<p>Current land and tree tenure policies does not provide enough incentives to farmers to adopt environmentally sustainable production practices</p>				<p>Currently, the project management unit is working with the Forestry Commission of Ghana to review a tree registration form and mechanism for registering trees planted on farms. This process is almost completed the project will implement to secure the tree tenure rights for trees planted under the project.</p> <p>Land tenure rights on the other hand is considered complex and may call for policy reforms to address them.</p>				

3	Changing climatic conditions make cocoa farming increasingly difficult in parts of the cocoa regions of Ghana so that farmers abandon cocoa farming in favour of other crops	8/8/2016	Environmental	Low P= 2 I = 2	This may indeed happen in some of the "old" cocoa regions, but is unlikely to happen on a large scale over the next several decades. The project promotes the use of increased tree cover in cocoa production landscapes, including the use of shade trees in cocoa farms, which will improve the microclimate and to some extent mitigate the effects of a deteriorating climate.	PMU	Programme Officer	6/10/2016	Increasing
4	The cocoa farmers in Ghana are reluctant to adopt biodiversity-friendly cocoa agroforestry practices and to invest in maintaining farm productivity because of perceived higher short-term gains from little or unshaded cocoa.	8/8/2016	Environmental Financial Operational Organizational Political Regulatory	Low P= 2 I = 2	Given the presently very low overall yield levels, the project will demonstrate near and long-term benefits for farmers from using better agronomic practices and will show that yields can be increased while using biodiversity-friendly agroforestry practices. The project will also promote biodiversity-friendly ways of income diversification through introduction	PMU	Programme Officer	8/10/2016	Reducing

5	Increasing demand for cocoa in general (2-3% per year) and high-quality Ghanaian cocoa specifically will drive expansion of areas under cocoa also into forest, thereby undermining biodiversity benefits through changing practices on existing cocoa farms.	8/8/2016	Environmental Operational Organizational Political Regulatory	Low P= 2 I= 2	of timber and non-timber trees in cocoa farms and linking farmers to the corresponding markets (e.g. Allanblackia). The project addresses it by basing its strategy on the negotiation of agreements with communities, which include the conservation of forest, in return for project investments into existing cocoa farms (e.g. through extension services) that allow to increase cocoa output without expanding the area under production. The Government of Ghana is committed not to increase the cocoa area and focus on increasing cocoa yields from existing farms and the rehabilitation of old cocoa farms.	PMU	Programme Officer	6/10/2016	No change
6	World prices for cocoa decline because of factors at the global market level, leading to	8/8/2016	Environmental Financial Operational Organizational Political Regulatory	Low P= 1 I= 1	The project will promote crop diversification to reduce the over-dependence on cocoa as a source of	PMU	Programme Officer	6/10/2016	No change

7	<p>reduction of revenues to the farmers, which in turn affects their ability to invest in the productivity of their farms.</p> <p>The international cocoa and chocolate market does not recognize government's and farmers' efforts to adopt biodiversity-friendly land management practices and no market based mechanisms are forthcoming to sustain such practices through the cocoa market.</p>	8/8/2016	<p>Strategic Other</p> <p>Environmental Financial Regulatory Strategic</p>	<p>Low</p> <p>P= 2 I = 2</p>	<p>revenue to the farming communities, thereby reducing their dependency on cocoa prices.</p>	PMU	Green Commodities Programme/ Programme Officer	6/10/2016	No change
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8	The project impacts only a limited region and the recommended land use and sustainable practices are not adopted more widely.	8/8/2016	Environmental Financial Operational Organizational Political Regulatory Strategic Other	Low P= 2 I = 2	<p>also collaborate with COCOBOD to use domestic policy instruments and production-related measures to ensure and demonstrate that diverse agroforestry systems, combined with sound agronomic practice, will increase on-farm productivity and hence farmer incomes.</p> <p>The project's strong level of support from government will enable its results to be integrated into national strategies for biodiversity, poverty alleviation, land rehabilitation and cocoa production. Partnership with COCOBOD and other cocoa sector projects will provide channels for dissemination of project successes at a national (and international) scale.</p>	PMU	Programme Officer	6/10/2016	No change
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Annex 2: Detailed Budget

Outputs/Sub-Activities	2016 Oct-Dec	2017	2018	2019	2020	Total	Remarks/Justifications
Output 1.1 Farmers trained and equipped in environmentally sustainable production practices	2 trainings per year for district cocoa officers, district extension officers, CEAs, CL IPs, district coordinators and development facilitators, community animators, cooperative societies by PMU and field officers. Includes cost for printing additional training materials and salaries and operational costs of field officers supporting on ground implementation of project activities and GCP technical support.						
Contractual Services /Companies	0	720	720	720	0		6 Venues @ \$60 each
DSA for PMU	0	8,000	8,000	8,000	0		4 PMU (PC+FS+CocoF+1Driver) + 5 Days of travel @ \$200 =4*5*\$200
Training Materials/ Communications	0	3,000	3,000	3,000	0		Handouts (.50 p for 8 copies /lump sum \$3000)
DSAs for Participants	0	6,000	6,000	6,000	0		300 people*\$10 per day (meals+ travel) at 2 trainings per year
Field Officers Costs	0	15,302.50	15,302.50	15,302.50	0		Salaries of field officers and operational costs
Monitoring & Evaluation	0	1,700	1,080	1,000	2,320		
Sub-total 1.1	0	34,722.50	34,102.50	34,022.50	2,320	106,167.50	
Output 1.2. Farmers enhance trees and carbon stocks on cocoa farms	Tree seedlings procurement and distribution including seedlings plantings on farms. Includes training on tree planting techniques for farmers by CHED CEAs, Project Facilitators and Cooperative Societies with technical assistance from the PMU and GCP.						
DSAs for CEAs/Societies/Union leaders	0	6,000	6,000	0	0		Technical assistance for the distribution of seedlings to farmers/communities (200 CEAs at \$30 for 1DAY)
Seedlings Cost (500,000seeds at .2 cents each)	0	40,000	40,000	40,000	40,000		(est. 1 million trees) about 500,000 seedlings per year from 2017-2018 (seedling cost= \$0.2cents)
Transport Costs +Loading and Off-loading	0	10,000	10,000	10,000	10,000		Transportation+ Offloading + loading from a central nursery to farms and communities
Field Officers Costs	0	30,605	30,605	30,605	30,605		Salaries of field officers and operational costs
Monitoring & Evaluation	0	1,700	1,080	1,000	2,320		
Sub-total 1.2	0	88,305	87,685	81,905	82,925	340,520	

Outputs/Sub-Activities	2016 Oct-Dec	2017	2018	2019	2020	Total	Remarks/Justifications
Output 1.3. Tree registration and tree tenure policies for the adoption of environmentally sustainable cocoa production practices	The registration protocol approved under the current ESP will begin in 2016 and continue into 2017. The preceding years will cover registration of new plantings and include mapping of farmlands and tree registration with support to be provided by project facilitators/field officers and PMU						
Printing of Registration forms	2,500	1,500	1,500	1,450	1,550		Outsource printing of the registration forms to a printing press (5000 forms * .50cents)
Capacity trainings for filling out tree registration forms	10,500	0	6,000	0	6,000		Trainings for the CEAs, Union Leaders, CL Ips+ PFs (training for 350 participants * \$30 dsa per day)
Mapping of farms	20,000	5,000	5,000	0	20,001		Costs for hiring technicians to undertake farm mapping)
Contractual Services /Companies	420	0	420	420	420		Venue hiring PA system in 7 districts at 60\$ each per day= 60*7=\$420
DSAs for PMU	5,200	2,200	0	0	0		4 People (PC+FS+CocoF+1Driver)+ 5 Days each *\$200. In addition to 6 district forest managers at \$200 for 6 days. Field monitoring in 2017 by PMU
Field Officers Cost	0	15,302.50	15,302.50	15,302.50	15,302.5		Salaries of field officers and operational costs
Monitoring & Evaluation	0	1,700	1,080	1,000	2,320		
Subtotal 1.3	38,620	25,702.50	29,302.50	18,172.50	45,593.5	157,391	
Output 2.1. CREMA established	<ol style="list-style-type: none"> Certificate of devolution/ Formal inauguration of the CREMA/ Establishment of the CREMA Office and operational support for 2-3 years with follow ups by field officers. Conduct a baseline study across the cohorts 1,2,3 to assess which districts are more favorable for the establishment of CREMAs and baseline studies across all the districts. Approximately 2-3months to complete. PMU to conduct an initial assessment to select districts for further feasibility assessments. Consultancy fees including periodic assessments and CREMA byelaws devolution from the wildlife division for the establishment of 2 CREMAs (50,000 EACH). Monitoring of New CREMAs and the development of Management Plans and Midterm Action Plans for CREMAs with field facilitation and follow-ups by PFs and technical advisory support by GCP 						
Grant fund for the establishment of office space+operations	5,000	2,500	2,500	0	0		Cover the operations of the CREMA office for 2-3 years

Outputs/Sub-Activities	2016 Oct-Dec	2017	2018	2019	2020	Total	Remarks/Justifications
DSAs for prefeasibility assessments of the new districts	11,360	0	0	0	0		PMU (3 PC+AF+1driver) * 10 days * \$200 (This will be a prefeasibility needs assessment conducted in the localities before the roll out of project interventions). Including community dialogues which may be organized as an entry pointed discuss project interventions with farmer cooperative societies, traditional leaders etc.
Local Consultants	0	25,000	25,000	25,000	25,000		Initial consultancy fees includes periodic assessments cost of the wildlife division for the establishment of 2 CREMAs (50,000 EACH)+ final payment following devolution Monitoring of New CREMAs and the development of Management Plans and Midterm Action Plans for CREMAs
Grant fund for the establishment of office space+ operations	0	0	0	20,000	20,000		Cover the operations of the CREMA office for 2 years
Technical advisory support by the Global Commodities Programme	0	20,000	20,000	20,000	20,000		Technical advisory support by GCP
Field Officers Cost	3,000	15,302.50	15,302.50	15,302.50	30,605.0		Salaries of field officers and operational costs . In Year 1 only the current Field Officer in Asunafo North will have been hired to continue his work. And so his salary will be covered. 4 new Field Officers will be hired from 2017.
Monitoring & Evaluation	0	1,700.00	1,080	1,000	2,320		
Subtotal 2.1	19,360	64,502.50	63,882.50	81,302.50	97,925	326,972.50	
Output 2.2. Three community fire prevention volunteer brigades established and trained in the CREMAs	Year 1: Identify fire prone districts/communities/Assess the level of support required. Year 2: Choose communities/districts where fire brigade squads may be required/ sensitization/ establishment/revive/formalize the establishment of fire volunteers where needed and training and support them. Year 3: Support the establishment and or revive existing community fire brigades and some community level sensitization in the 3 CREMA districts and provide equipment support						
CREMA stakeholder consultations to determine fire prone areas in the districts	1,200	0	0	0	0		Consultations to determine fire prone areas (5districts+ 5 days+2PMU) at \$200

Outputs/Sub-Activities	2016 Oct-Dec	2017	2018	2019	2020	Total	Remarks/Justifications
Formation of fire volunteers squads	0	810	0	0	0		Technical assistance for the fire volunteers formation by National Fire Service as resource persons (\$30 per day for 3 days districts * 3 districts) lunch for 3 officers
Trainings	0	9,000	9,000	9,000	0		Volunteers selected in 3 districts in 10 communities per district and 12 volunteers per community (3*10*12)=360 volunteers (to be trained over a period of 3 years). 200 participants per year (200 persons @\$15/person for 5 days
Equipment/tooling Support	0	6,000	6,000	6,000	0		Wellington boots/other fire fighting equipment
Field Officers Cost	0	15,302.50	15,302.50	15,302.50	15,302.50		Salaries of field officers and operational costs
Monitoring & Evaluation	0	1,700	1,080	1,000	2,320		
Subtotal 2.2	1,200	32,812.50	31,382.50	31,302.50	17,622.50	114,320	
Output 2.3. Enhance capacities of traditional authorities and community opinion leaders to enable them enforce traditional conservation practices to conserve biodiversity							
DSA for training	0	4,500	4,500	4,500	4,500		DSA for three trainers from the NFS @\$100/day for five days/3 districts)
Subtotal 2.3	0	4,500	4,500	4,500	4,500	18,000	
Output 3.1. Investigate additional funding mechanisms and develop new proposals							
Technical advisory support by the Global Commodities Programme	0	10,000	10,000	10,000	10,000		Investigate mobilizing additional resources + Development of additional and related proposals and Support strategic global partnerships (e.g. cocoaaction, FCPF)
Sub-total 3.1	0	10,000	10,000	10,000	10,000	40,000	

Outputs/Sub-Activities	2016 Oct-Dec	2017	2018	2019	2020	Total	Remarks/Justifications
Output 3.2. Donor dialogues in Ghana and globally with the support of UNDP Global Commodities Programme to explore other funding opportunities							
Technical advisory support by the Global Commodities Programme	0	5,000	5,000	5,000	5,000		UNDP to dialogue with the Forestry Commission to explore ways in which a REDD+ scheme could be developed in the Cocoa Landscapes under ESP I and II. UNDP will commit some of its own internal resources to hold meeting and dialogues.
Sub-total 3.2	0	5,000	5,000	5,000	5,000	20,000	
Project Management							
Personnel Costs	26,806.55	100,900.19	100,900.19	100,900.19	100,900.19		1 Project Coordinator, 1 Agroforestry Specialist, 1 finance and admin assistant, 2 drivers (includes 1 field driver in Asunafo North). Estimates of salaries are based on the 2016 salary scale for UNDP Service Contractors
Administrative Costs	4,747.50	15,373	15,063	15,010	15,030		Operational costs for PMU office in Accra, including: stationery, utilities, maintenance, fuel, petty cash.
Equipment Costs	63,818.73	0	0	0	0		8 laptops (5 for field offices+3 for PMU); 5 Printers +28 GPS devices +5 desks + chairs; 5 motorbikes
Sub-total	95,372.78	116,273.19	115,963.19	115,910.19	115,930.19	559,449.54	
Total	154,552.78	381,818.19	381,818.19	381,815.19	381,816.19	1,681,820.54	
UNDP Fees (10%)	15,455.28	38,181.82	38,181.82	38,181.52	38,181.62	168,182.05	
Grand Total	170,008.06	420,000.01	420,000.01	419,996.71	419,997.81	1,850,002.59	

Annex 3: Terms of Reference for Project Board and Key Project Management Positions

PROJECT BOARD

Background:

Sustainable production of cocoa plays a pivotal role for poverty reduction and forest conservation in Ghana. The use of production landscapes for cocoa production has intensified dramatically over the last three decades. Ghana has experienced significant forest loss through the movements of the timber sector and expansion of the cocoa industry by promotion of zero shade cocoa production systems. This has gradually led to the fragmentation of forest landscapes, loss of wildlife corridors and forest connectivity, and degradation of biodiversity and the ecosystem goods and services these ecosystems offer. One of the more prominent consequences of deforestation, which has significantly affected cocoa production, is a significant loss of major soil nutrients. This has been a leading cause of the gradual decline of national cocoa yields.

The "Environmentally Sustainable Production Practices in Cocoa Landscapes Phase II" project is a partnership with the Ghana Cocoa Board (COCOBOD) funded by Mondelēz Cocoa Life, with technical and administrative support from the UNDP Ghana country office and UNDP Green Commodities Programme. The ESP Phase II project aims to help farmers in the Cocoa Life program adopt environmentally sustainable and climate change resilient cocoa production practices and to conserve ecosystems and natural resources in cocoa landscapes by mainstreaming environmentally sustainable production practices into cocoa production landscapes across Ghana.

To reach this aim, the project will promote sustainable production that will require a considerable shift in current cocoa farming systems.

The expected results from the successful implementation of the ESP Phase II will be:

1. To effectively mainstream environmentally sustainable cocoa production practices into farmer training curricula by building the capacities of CHED CEAs mandated to provide farmer level trainings.
2. To ensure that farmers in the project districts adopt environmental sustainable cocoa production practices on farms.
3. Increased shade trees and carbon stocks on cocoa farms and in cocoa landscapes to provide short to long-term environmental and socio-economic benefits to farmers.
4. The establishment of three Community Resource Management Areas to govern the use of natural resources at the landscape level including fire management; sacred groves protection and water resources management.
5. Policy engagement with government on land tenure and tree tenure rights.

Membership of the Project Board

The Implementing Agency (COCOBOD) is responsible for the overall implementation of the ESP Phase II activities. The Project Management Unit once formed will report to a steering committee. The chairman of the Steering Committee will be the Deputy-Executive Director, Operations, COCOBOD. The steering committee will be formed from a group of representatives from COCOBOD CHED and CRIG, UNDP, Mondelez Cocoa Life Ghana, Ministry of Lands and Natural Resources and its two implementing Agencies (Lands Commission and Forestry Commission), Ministry of Finance and Economic Planning (MOFEP) and Ministry of Food & Agriculture.

Functions of the Project Board

The Project Board will convene biannually to:

- Approve work plans and budgets, to oversee the implementation and review progress of the project activities and expenditure against the outputs;
- Ensure that project implementation is in line with the objectives of the Environmental Pillar V is fully aligned and coordinated on a regular basis with the overall Cocoa Life Program;
- Information sharing occurs between the environmental project and Cocoa Life project to support coordination efforts;
- Ensure that the choice of implementation partners and project consultants for the various project outcomes and activities

PROJECT COORDINATOR

Duty station: Accra with frequent travels within Ghana

Sustainable production of cocoa plays a pivotal role for poverty reduction and forest conservation in Ghana. The use of production landscapes for cocoa production has intensified dramatically over the last three decades. Ghana has experienced significant forest loss through the movements of the timber sector and expansion of the cocoa industry by promotion of zero shade cocoa production systems. This has gradually led to the fragmentation of forest landscapes, loss of wildlife corridors and forest connectivity, and degradation of biodiversity and the ecosystem goods and services these ecosystems offer. One of the more prominent consequences of deforestation, which has significantly affected cocoa production, is a significant loss of major soil nutrients. This has been a leading cause of the gradual decline of national cocoa yields.

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2. To ensure that farmers in the project districts adopt environmental sustainable cocoa production practices on farms.
3. Increased shade trees and carbon stocks on cocoa farms and in cocoa landscapes to provide short to long-term environmental and socio-economic benefits to farmers.
4. The establishment of three Community Resource Management Areas to govern the use of natural resources at the landscape level including fire management; sacred groves protection and water resources management.
5. Policy engagement with government on land tenure and tree tenure rights.

Duties and Responsibilities:

The Project Coordinator will be required to coordinate, assist and ensure that all of the principle results are achieved and completed to the highest quality. The project coordinator will need to employ a collaborative approach to project implementation by ensuring all outputs have undergone key stakeholder input.

He/she will be responsible for providing critical technical input on consultant's outputs, working closely with field team for community-level activities coordination, and advising how the project can develop mechanisms to encourage cocoa farmers to adopt environmental best practices. He/she will manage and provide day-to-day direction and supervision to the project staff and national and international consultants for the project. In particular, the project coordinator will be required to substantively support the following areas:

Policy Advisory:

- Understand and comprehend important national/institutional policies that have environmental implications to the cocoa sector;
- Provide guidance to policy assessments on issues on land tenure and tree tenure rights, and;
- Initiate and lead institutional dialogue with COCOBOD, Forestry Commission and other key institutions on proposed policy reforms.
- Initiate and lead the capacity building of CHED CEAs to enhance the mainstreaming of environmentally sustainable cocoa production practices in farmer training curricula.

Partnership:

- Liaise and coordinate meetings and discussions between the various agencies – COCOBOD, Forestry Commission, the donor, Cocoa Life partners, and other institutions and partners involved in making the programme a success, and;
- Maintain close relationship with all key stakeholders, project consultants and relevant partners to ensure adequate information flow – all key project stakeholders should be included in the mailing list and the project coordinator should respond to all stakeholder queries.

- Liaise and coordinate with relevant stakeholders to establish three Community Resource Management Areas to govern the use of natural resources at the landscape level including fire management; sacred groves protection and water resources management.

Technical Oversight:

- Coordinate project activities to ensure that the activities in each output area are timely, efficiently and effectively implemented in accordance with the project document and work plan;
- Liaise with relevant members of staff, consultants and UNDP technical staffs as necessary to ensure efficient and effective implementation of project outputs;
- Organize and facilitate stakeholder consultations and project review meetings as required, and;
- Ensure timely submission of project/progress reports.

Monitoring:

- Monitor the procurement of goods and services for the project and ensure execution according to the rules and guidelines established by UNDP;
- Monitor project implementation against the established indicators, and;
- Assist UNDP country office in the preparation of monitoring according to the timelines agreed upon.

Project Management:

- Manage the day-to-day operations of the project, including the keeping of financial and other records to facilitate audits of the project;
- Plan and coordinate activities with the implementing agency for project visibility according to UNDP guidelines;
- Facilitate troubleshooting options with relevant agencies to remove any bottlenecks that might arise during project implementation;
- Facilitate project monitoring and evaluation exercises;
- Plan and arrange Project Steering Committee meetings and serve as the secretary/coordinator;
- Prepare an annual work plan and associated budget in collaboration with the implementing agency, and present to the Project Steering Committee for approval;
- Undertake closing out activities for the project which include final financial and technical reports, and the handing over of documents as required, and;
- Undertake any other activity that may be necessary for the effective management of the Project.

Results/Deliverables

The Project Coordinator shall work in close cooperation with the staff from COCOBOD, UNDP Ghana, UNDP Green Commodities Programme, Mondelēz Cocoa Life, relevant ministries and institutions as appropriate to implement, guide and supervise activities related to the execution of the project. In particular, the project coordinator will be responsible and expected to deliver the following:

- Financial and technical reports (monthly, quarterly, annually) as and when required by the Steering Committee and UNDP;

- Detailed annual technical and financial work plans that also outline the objectives and achievements for each programming year;
- Compile final reports prepared by project partners and specialist consultants for each output;
- Serve as the secretary to the project Steering Committee; prepare agendas and reports for the Steering Committee meetings as required;
- Project reporting which includes, but not limited to, final project report, an overview of the project stating technical achievements and final financial status, lessons learned, and best practices

The Project Coordinator will be directly supervised by and functionally report to the Deputy Executive Director, Operations, COCOBOD. The Project Coordinator will at the same time report to the head of Sustainable Development Cluster, UNDP.

Competencies

- *Leadership*: Ability to lead processes by coaching, persuading and accommodating other opinions and positions with a positive attitude;
 - *Management skills*: Ability to plan, monitor progress, administers budgets, and work effectively with counterparts to realize goals.
 - *Facilitation skills*: Ability to effectively coordinate a multi-stakeholder project, facilitate meetings and processes effectively, compile complex and technical information in an understandable language to a wide variety of audiences.
 - *Results-orientation*: Skill in achieving results through persuading, influencing and collaboration;
 - *Conflict resolution skills*: Ability to dissipate and resolve conflicts as they arise
 - *Analytical skills*: Ability to draw conclusions based on a contextual examination of facts and processes.
 - *Communication skills*: Strong drafting, presentation and reporting skills;
 - *Teamwork*: Willingness to work as part of a team
- Required Skills and Experience:

The Project Coordinator is expected to have a strong environmental background, with a good understanding of Ghana's cocoa supply chain, its actors and the principal environmental issues facing the sector.

Educational Qualification:

- University degree in environmental management, development, or associated field;
- Postgraduate qualification preferred.

Work Experience:

- Minimum 5 years of experience in project management and coordination;
- Experience in Ghana's cocoa sector and forest/natural resource management required;
- Experience in field work and working with farming communities would be an asset;
- Knowledge in sustainable cocoa production context/issues including REDD (Reducing Emissions from Deforestation and Forest Degradation);
- Full computer (MS Office and internet) literacy.

Language:

- A good command of English is essential;
 - Knowledge in local language would be an asset.
-

AGRO-FORESTRY TECHNICAL SPECIALIST

Reports to: Project Coordinator

Duty station: Accra with frequent travels within Ghana

Background

Sustainable production of cocoa plays a pivotal role for poverty reduction and forest conservation in Ghana. The use of production landscapes for cocoa production has intensified dramatically over the last three decades. Ghana has experienced significant forest loss through the movements of the timber sector and expansion of the cocoa industry by promotion of zero shade cocoa production systems. This has gradually led to the fragmentation of forest landscapes, loss of wildlife corridors and forest connectivity, and degradation of biodiversity and the ecosystem goods and services these ecosystems offer. One of the more prominent consequences of deforestation, which has significantly affected cocoa production, is a significant loss of major soil nutrients. This has been a leading cause of the gradual decline of national cocoa yields.

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4. The establishment of three Community Resource Management Areas to govern the use of natural resources at the landscape level including fire management; sacred groves protection and water resources management.
5. Policy engagement with government on land tenure and tree tenure rights.

Responsibilities

The Agro-forestry Technical Specialist is expected to have a strong Environmental and Natural Resources Management background with specialization in Forestry, with a good understanding of Ghana's cocoa supply chain, its actors and the principal environmental issues facing the sector. Under the direct supervision of the Project Coordinator, he/she will be responsible for providing critical technical input on cocoa policy with particular focus on forestry and conservation (tree tenure, ecosystem conservation, environmental data management, etc), the creation of a sustainable cocoa landscapes (deforestation, forest regeneration, REDD+, sustainable community forest management, etc.) and advising how the project can develop incentive mechanisms to encourage cocoa farmers to adopt environmental best practices.

In particular, the Agro-forestry Technical Specialist will be responsible for, but not limited to, supporting the following areas:

Policy research

- Understand, comprehend, and produce necessary knowledge materials on important national/institutional natural resources and conservation policies that have environmental implications to the cocoa sector
- Provide guidance to policy issues with respect to forestry and biodiversity conservation and analysis of issues that are affecting the cocoa sector i.e. tree tenure rights, land tenure, land use planning etc.,
- Familiar with forestry and wildlife policy

Technical advisory and project implementation

- Provide technical advice on forest related project activities to ensure that the activities in each output area are timely, efficiently and effectively implemented in accordance with the project document and work plan
- Liaise with relevant members of staff, consultants, UNDP expert technical staff, COCOBOD, and Forestry Commission as necessary to ensure efficient and effective implementation of project outputs;
- Support timely submission of project/progress reports.

Results/Deliverables

The Agro-forestry Technical Specialist shall work in close cooperation with other members of the Project Management Unit and staffs from COCOBOD, UNDP, relevant ministries and institutions as appropriate to implement and guide activities related to the execution of the project. In particular, he/she will be responsible and expected to deliver the following:

- Coordinate closely with Project Coordinator and PMU in the evaluation and selection of pilot sites guided by other project requirements
- Provide organizational strengthening and training in environmental sustainable practices to participating communities, COCOBOD and other stakeholders
- Provide outreach and build the capacity of pilot communities, traditional authorities, COCOBOD and other stakeholders to understand national mechanisms, policies, and international markets for REDD based carbon investments

- Facilitate development and implementation of high quality carbon sequestration pilots in selected landscape verified to the Voluntary Carbon Standard or Climate, Community and Biodiversity Standard or other as appropriate, including the administrative and institutional arrangement framework for the sale of carbon credits and reinvestment and distribution of revenues
- Lead in discussions with relevant institutions to eliminate ambiguities related to tree tenure and certification and assist farmers to secure tenure rights to newly established tree plantings and existing old forest timber trees located on their farms
- Collaborate with COCOBOD and other relevant institutions to determine the most appropriate way forward for developing various institutional tools and systems for environmental management in Ghana's cocoa sector to improve data compilation, usage and interpretation
- Prepare scope of work documents and oversee consultants and local service providers as required
- Work with communities to develop sustainable forest management plans and establish Community Resource Management Areas (CREMA) and Conversation Advisory Boards to improve community livelihoods, coordinate community conservation plans that encourage the rehabilitation and protection of forest and watersheds
- Conduct a review of forest conservation activities in the various forest zones, the different community conservation plans and current rates of deforestation and establish a baseline for forest conservation in cocoa growing regions in Ghana
- Work closely with the Forestry Commission to monitor forest encroachment in forest zones and other critical ecosystems and prepare appropriate reports
- Coordinate and support a tree nursery development model for the propagation and distribution of selected economic timber and herbaceous understory species to farmers
- Prepare progress reports as required by UNDP/COCOBOD and donor project reporting schedules
- Any other assignment relevant to this position

Selection Criteria

- This position requires a strong background (at least at M.Sc.) in Environmental Management, Forestry, or Natural Resource Management with at least 5 years of relevant experience in Ghana's forestry sector. Experience and/or familiarity with environmental management systems, agroforestry practice and GIS and other data management tools and systems would be an asset.
- Ability to communicate complex information in understandable and relevant terms adapted for different stakeholders especially communities
- Proven project coordination skills with ability to effectively manage and prioritize a diverse workload within a team
- An excellent command of English is essential. The successful candidate will be expected to undertake field work. This position carries considerable responsibility and autonomy and requires good organizational capacity, good interpersonal and networking skills and a willingness to work as part of a team.

Core competencies:

Leadership: Ability to lead processes by coaching, persuading and accommodating other opinions and positions with a positive attitude;

Management skills: Ability to plan, monitor progress, and work effectively with counterparts to realize goals;

Facilitation skills: Ability to effectively coordinate a multi-stakeholder project, facilitate meetings and processes effectively, compile complex and technical information in an understandable language to a wide variety of audiences.

Results-orientation: Skill in achieving results through persuading, influencing and collaboration;

Conflict resolution skills: Ability to dissipate and resolve conflicts as they arise

Analytical skills: Ability to draw conclusions based on a contextual examination of facts and processes.

Communication skills: Strong drafting, presentation and reporting skills;

Easiness with IT: Strong computer skills, in particular mastery of applications of the ArcGIS (Geographic Information System), MS Office package, internet search.

ADMINISTRATIVE AND FINANCIAL ASSISTANT

Reports to: Project Coordinator

Duty station: Accra with frequent travels within Ghana

Background:

Sustainable production of cocoa plays a pivotal role for poverty reduction and forest conservation in Ghana. The use of production landscapes for cocoa production has intensified dramatically over the last three decades. Ghana has experienced significant forest loss through the movements of the timber sector and expansion of the cocoa industry by promotion of zero shade cocoa production systems. This has gradually led to the fragmentation of forest landscapes, loss of wildlife corridors and forest connectivity, and degradation of biodiversity and the ecosystem goods and services these ecosystems offer. One of the more prominent consequences of deforestation, which has significantly affected cocoa production, is a significant loss of major soil nutrients. This has been a leading cause of the gradual decline of national cocoa yields.

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4. The establishment of three Community Resource Management Areas to govern the use of natural resources at the landscape level including fire management; sacred groves protection and water resources management.
5. Policy engagement with government on land tenure and tree tenure rights.

Responsibilities

Under the direct supervision of Project Coordinator, the incumbent will be responsible for, but not limited to, the following duties:

- Assist in the day-to-day operations of the Project Coordination Unit.
- Maintain the project budget and expenditure, including formulation, revisions, and record keeping, monthly status reports, and reporting and liaising with the UNDP Ghana Sustainable Development Cluster on budget matters.
- With the authorization of the Project Coordinator, manage requests for the provision of financial resources using advance of funds, direct payments, or reimbursement.
- Monitor financial resources and accounting to ensure accuracy and reliability of financial reports.
- Responsible for preparing and submitting financial reports to UNDP on a quarterly basis
- Support preparation of background information for project implementation, work plans and budget.
- Prepare travel and logistical arrangements for project personnel and consultants, arrange itineraries, security clearances, and accommodation.
- Support the purchase of goods and services: including assisting in the recruitment process of consultants and institutions, and following up on issuance of contracts and payments.
- Support in the organization of meetings, seminars and workshops by making timely booking the venue, assisting in preparing and sending invitations, assisting in preparing agenda and/or background documentation.
- Liaise on the conduct of project audit and ensure access by auditors to project documentation, personnel, and institutions involved in the project.
- Maintain workspace and record management system of project activities.
- Undertake other duties per the requirements of the project.

Core Competencies:

Development and Operational Effectiveness

- Excellent management skills to perform administrative support functions and good understanding of project management cycle;
- Ability to formulate and manage budgets, manage transactions, conduct financial analysis and reporting.

Management and Leadership

- An ability to liaise effectively within an organization and develop partnerships with national stakeholders;
- Must be able to work with multiple people of different background and be a good team member;
- Strong interpersonal and communication skills, commitment to team work and to working across disciplines;
- Consistently approaches work with energy and a positive, constructive attitude;
- Demonstrates good oral and written communication skills in substantive and technical areas;
- Demonstrates openness to change and ability to manage complexities;
- An ability to work effectively, take initiative and deliver results, even under pressure.

Knowledge Management and Learning

- Actively works towards continuing personal learning and development, acts on learning plan and applies newly acquired skills.

Educational Background:

Secondary Education with specialized training in financial management. University Degree in Business or Public Administration would be desirable.

Experience and Skills:

At least 5 years of proven professional experience in financial resources management, budget management or administrative support functions.

Demonstrated track record of project and financial management.

Experience in the usage of computers and office software packages (MS Word, Excel, etc.) and experience in handling of web based management systems.

Experience in the implementation and monitoring of UNDP project is an asset.

Excellent analytical and organizational skills.

Fluency in both oral and written English.

PROJECT/FIELD FACILITATORS (5 Officers)

Reports to: Project Coordinator

Location: New Dwabeng, Fanteakwa, Suhum, West Akyem and Tepa Amansie West, Mampong, Efiduase; Awutu Senya; Dwabeso Sankore, Asunafo North, Goaso, Asutifi West)

Background:

Sustainable production of cocoa plays a pivotal role for poverty reduction and forest conservation in Ghana. The use of production landscapes for cocoa production has intensified dramatically over the last three decades. Ghana has experienced significant forest loss through the movements of the timber sector and expansion of the cocoa industry by promotion of zero shade cocoa production systems. This has gradually led to the fragmentation of forest landscapes, loss of wildlife corridors and forest connectivity, and degradation of biodiversity and the ecosystem goods and services these ecosystems offer. One of the more prominent consequences of deforestation, which has significantly affected cocoa production, is a significant loss of major soil nutrients. This has been a leading cause of the gradual decline of national cocoa yields.

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Position Summary:

The District Facilitator shall be the main link between the project clients/communities in each district and the ESP Phase II Project Management Unit (PMU) in Accra, and will be responsible for facilitating the implementation of all technical support to the project’s clients including cocoa

farmers and other key stakeholders. S/he will guide the ESP Phase II team's efforts to ensure cocoa farmers mainstream environmentally sustainable practices into the current production systems and achieve increased production. S/he will work with other stakeholders including Cocoa Life NGO partners and other relevant government agencies working in the cocoa and natural resource management sectors to promote biodiversity in cocoa landscapes to ensure ecosystem health and rejuvenation.

Duties and Responsibilities:

- Coordinate closely with local level stakeholders to ensure the smooth implementation of all project activities based on yearly annual work plans and budget
- Facilitate community participation and mobilization for project implementation
- Organize and facilitate community level training events on benefits of increased access to forest resources, sustainable forest management practices with an emphasis on appropriate environmental sustainability technologies which can lead to avoided deforestation and also promote ecosystem health
- Support project M&E reporting and technical delivery requirements
- Document and share information quarterly, particularly regarding cases with the most significant change which can contribute to periodic success stories and lessons learnt
- Provide inputs for the development of audio-visual and printed training and guidance material for the training of farmers and other project participants and for broader sharing
- Participate in project planning, strategic development and review activities, and produce reports as required
- Financial responsibility may include working within/managing a budget to complete project activities; negotiating and contracting with vendors; assisting with budget development; and assisting with fundraising as appropriate; and
- Organize and facilitate community level training events on enterprise development and production, with an emphasis on appropriate value-added processing technologies and non-traditional species or Non-Timber Forest Products (NTFPs) that can reduce pressure on over-harvested forest areas
- Promote tenure security agreement development, governance and accountability between communities and duty-bearers
- Promote the use of Community radio and local FM stations for community discussions and peer reviews on REDD (Reducing Emission from Deforestation and Forest Degradation), sustainable production practices and environmental conservation
- Provide technical assistance to CHED CEAs during farmer trainings.
- Other duties as assigned

Qualifications:

- Minimum of a first degree in natural resources management (forestry), agriculture or related field.
- Minimum of 2 years' field experience in cocoa agronomy and/or forestry, rural community development work and farmer, training
- Demonstrated experience in rural development directly involving community organizations and/or assisting small rural producers

- Familiarity with national forestry policies and initiatives; land and tree tenure issues in Ghana is highly desirable
- Excellent written and verbal communication skills
- Knowledge of and proven experience working in the high forest areas of Ghana
- Strong computer skills (Excel, Word, Outlook, and PowerPoint)
- Ability to effectively engage a wide range of stakeholders at the local level

Annex 4: Standard Letter of Agreement Between UNDP and the Ghana Cocoa Board for the Provision of Support Services

Honourable Chief Executive,

1. Reference is made to consultations between officials of the Ghana Cocoa Board (hereinafter referred to as "COCOBOD and officials of UNDP with respect to the provision of support services by the UNDP Country Office for nationally managed programmes and projects. UNDP and the COCOBOD hereby agree that the UNDP country office may provide such support services at the request of the COCOBOD through its institution designated in the relevant programme support document or project document, as described below.

2. The UNDP country office may provide support services for assistance with reporting requirements and direct payment. In providing such support services, the UNDP country office shall ensure that the capacity of the Government-designated institution is strengthened to enable it to carry out such activities directly. The costs incurred by the UNDP country office in providing such support services shall be recovered from the administrative budget of the office.

3. The UNDP country office may provide, at the request of the designated institution, the following support services for the activities of the programme/project:

- (a) Identification and/or recruitment of project and programme personnel;
- (b) Identification and facilitation of training activities;
- (c) Procurement of goods and services;

4. The procurement of goods and services and the recruitment of project and programme personnel by the UNDP country office shall be in accordance with the UNDP regulations, rules, policies and procedures. Support services described in paragraph 3 above shall be detailed in an annex to the programme support document or project document, in the form provided in the Attachment hereto. If the requirements for support services by the country office change during the life of a programme or project, the annex to the programme support document or project document is revised with the mutual agreement of the UNDP resident representative and the designated institution.

5. The relevant provisions of the (**Agreement between Government of Ghana and the United Nations Development Programme, 27th Day of November, 1978**) (the "SBAA"), including the provisions on liability and privileges and immunities, shall apply to the provision of such support services. The COCOBOD shall retain overall responsibility for the nationally managed programme or project through its designated institution. The responsibility of the UNDP country office for the provision of the support services described herein shall be limited to the provision of such support services detailed in the annex to the programme support document or project document.

6. Any claim or dispute arising under or in connection with the provision of support services by the UNDP country office in accordance with this letter shall be handled pursuant to the relevant provisions of the SBAA.

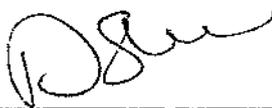
7. The manner and method of cost-recovery by the UNDP country office in providing the support services described in paragraph 3 above shall be specified in the annex to the programme support document or project document (next page).

8. The UNDP country office shall submit progress reports on the support services provided and shall report on the costs reimbursed in providing such services, as may be required.

9. Any modification of the present arrangements shall be effected by mutual written agreement of the parties hereto.

10. If you are in agreement with the provisions set forth above, please sign and return to this office two signed copies of this letter. Upon your signature, this letter shall constitute an agreement between COCOBOD and UNDP on the terms and conditions for the provision of support services by the UNDP country office for nationally managed programmes and projects.

Yours sincerely,



Signed on behalf of UNDP

Name/title: Dominic Sam, Country Director

Date: 18/11/2016



For the Ghana Cocoa Board

Name/title: MR. STEPHEN KWABENA OGANI

Date: CHIEF EXECUTIVE

18/11/2016

DESCRIPTION OF UNDP COUNTRY OFFICE SUPPORT SERVICES

1. Reference is made to consultations between **Ghana Cocoa Board**, the institution designated by the Government of *the Republic of Ghana* and officials of UNDP with respect to the provision of support services by the UNDP country office for the nationally managed project “**Environmentally Sustainable Production Practices in Cocoa Landscapes Phase II (PIMS: , Award ID: , Project ID:).**”
2. In accordance with the provisions of the letter of agreement signed on **27th November, 1978** (the “**SBAA**”) and the project support document, the UNDP country office shall provide support services for the Project as described below.
3. Support services to be provided:

Support services (insert description)	Schedule for the provision of the support services	Cost to UNDP of providing such support services (where appropriate)	Amount and method of reimbursement of UNDP (where appropriate)
1. Vendor Profiling	Year 1: x15	Year 1: 15x\$13.58 = \$203.70	UNDP will charge DPC at the end of each quarter of project implementation
	Year 2: x30	Year 2: 30 x\$13.58 = \$407.40	
	Year 3: x30	Year 3: 30 x\$13.58 = \$407.40	
	Year 4: x30	Year 4: 30 x\$13.58 = \$407.40	
	Year 5: x30	Year 5: 30 x\$13.58 = \$407.40	
		Total: \$1,833.30	
2. Payment Process	Year 1: x40	Year 1: 40x\$27.58 = \$1103.2	UNDP will charge DPC at the end of each quarter of project implementation
	Year 2: x120	Year 2: 120x\$27.58 = \$3309.60	
	Year 3: x120	Year 3: 120x\$27.58 = \$3309.60	
	Year 4: x120	Year 4: 120x\$27.58 = \$3309.60	
	Year 5: x120	Year 5: 120x\$27.58 = \$3309.60	
		Total: \$14,341.60	
3. Recurrent personnel management services: Staff Payroll & Banking Administration & Management	Year 1: x5 (3 months)	Year 1: 5x\$310.33/4 = \$387.91	UNDP will charge DPC at the end of each quarter of project implementation
	Year 2: x5	Year 2: 5x\$310.33 = \$1,551.65	
	Year 3: x5	Year 3: 5x\$310.33 = \$1,551.65	
	Year 4: x5	Year 4: 5x\$310.33 = \$1,551.65	
	Year 5: x5	Year 5: 5x\$310.33 = \$1,551.65	
		Total: \$6,594.51	
4. Cheque Issuance	Year 1: x40	Year 1: 40x\$12.79 = \$511.60	UNDP will charge DPC at the end of each quarter of project implementation
	Year 2: x120	Year 2: 120 x\$12.79 = \$1534.80	
	Year 3: x120	Year 3: 120 x\$12.79 = \$1534.80	
	Year 4: x120	Year 4: 120 x\$12.79 = \$1534.80	
	Year 5: x120	Year 5: 120 x\$12.79 = \$1534.80	
		Total: \$6,650.80	
5. Procurement Process not involving CAP	Year 1: x3	Year 1: 3x\$140.73=\$422.19	UNDP will charge DPC at the end of
	Year 2: x5	Year 2: 5x\$140.73=\$703.65	

	Year 3: x5	Year 3: 5x\$140.73=\$703.65	each quarter of project implementation
	Year 4: x5	Year 4: 5x\$140.73=\$703.65	
	Year 5: x5	Year 5: 5x\$140.73=\$703.65	
		Total: \$3,236.79	
6. Travel Authorization	Year 1: x2	Year 1: 2x\$23.90 = \$47.80	UNDP will charge DPC at the end of each quarter of project implementation
	Year 2: x8	Year 2: 8x\$23.90 = \$191.20	
	Year 3: x8	Year 3: 8x\$23.90 = \$191.20	
	Year 4: x8	Year 4: 8x\$23.90 = \$191.20	
	Year 5: x8	Year 5: 8x\$23.90 = \$191.20	
		Total: \$812.60	
Total: \$ 33,469.60			

Annex 5: Environment and Social Safeguards Assessment

Part A. Integrating Overarching Principles to Strengthen Social and Environmental Sustainability

QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?

Briefly describe in the space below how the Project mainstreams the human-rights based approach

The ESP, as a technical assistance program, has been designed to further the realization of human rights as laid down in the Universal Declaration of Human Rights (UDHR) and other international human rights instruments. All project activities are aimed at contributing directly to the realization of one or several human rights as specified in the declaration. Human rights principles guide key project activities in all phases of the design process - including assessment and analysis, project planning and design (including setting of goals, objectives and strategies); implementation, monitoring and evaluation.

The Project mainstreams the human-rights based approach based on the following principles:

- **Universality and inalienability:** The Project takes the view that Human rights are universal and inalienable. All people everywhere in the world are entitled to them. The human person in whom they inhere cannot voluntarily give them up. Nor can others take them away from him or her. As stated in Article 1 of the UDHR, "All human beings are born free and equal in dignity and rights". ESP therefore does not discriminate in the selection of project participants and communities.
- **Indivisibility:** Human rights are indivisible. Whether of a civil, cultural, economic, political or social nature, they are all inherent to the dignity of every human person. Consequently, they all have equal status as rights, and cannot be ranked, a priori, in a hierarchical order.
- **Equality and Non-discrimination:** All individuals are equal as human beings and by virtue of the inherent dignity of each human person. All human beings are entitled to their human rights without discrimination of any kind, such as race, color, sex, ethnicity, age, language, religion, political or other opinion, national or social origin, disability, property, birth or other status as explained by the human rights treaty bodies.
- **Participation and Inclusion:** Every person and all peoples are entitled to active, free and meaningful participation in, contribution to, and enjoyment of civil, economic, social, cultural and political development in which human rights and fundamental freedoms can be realized.
- **Accountability and Rule of Law:** States and other duty-bearers are answerable for the observance of human rights. In this regard, they have to comply with the legal norms and standards enshrined in human rights instruments. Where they fail to do so, aggrieved rights-holders are entitled to institute proceedings for appropriate redress before a competent court or other adjudicator in accordance with the rules and procedures provided by law.

Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment

ESP places premium on **Gender equality** that aims to bring about equal enjoyment by women, girls, boys and men of rights, opportunities, resources and rewards. A critical aspect of ESPs' work in promoting gender equality is the empowerment of women, with a focus on identifying and redressing power imbalances in cocoa communities. In the view of ESP, equality does not mean that women and men are the same but that their enjoyment of rights, opportunities and life changes are not governed or limited by whether they were born female or male. On the other hand, the ESP considers that **Women's Empowerment** takes much more than simply including women in its activities. The project treats Empowerment as an expansion of assets and capabilities (including leadership) of women participate in.

negotiate with, influence, control, and hold accountable the institutions that that affect their lives.

ESP has therefore deliberately designed strategies to encouraged Women to accept leadership positions in its farmer cooperatives and Community Resource Management Areas (CREMA) and as part of its capacity building efforts, will provide relevant skills and knowledge that will give women greater confidence. The project would collaborate with other Cocoa Life partners including Abantu for Development (the NGO responsible for all gender issues on the Program) to take up leadership positions – especially in the cocoa cooperatives.

It is important to note that the Cocoa Life program – of which ESP is a component part, among other things, was designed to improve the lives of women and men engaged in cocoa farming at the community level which has resulted in considerable positive changes. There is some evidence of impact aligned with the 5 pillars of the project. However, if fundamental structural barriers to women's leadership and agency (e.g. challenges such land ownership, a greater and equal share of the value chain by women and as producers in cocoa communities in general) are to be addressed, there will be the need to consider working on some social norms at the community level and at policy advocacy at national and global level. To address this, ESP would work to link the women's empowerment interventions of the project pillars to the Gender Dialogue Platform of Ghana and engage stakeholders at higher levels of the value chain. Further, women's leadership would be recognized as integral to advancing overall human development, not just the needs of women. Awareness, exposure, further training on communication, leadership, and negotiation are skills that many women can and should use in both personal sphere as well as public sphere.

Briefly describe in the space below how the Project mainstreams environmental sustainability

To satisfy the ever-increasing global demand for commodities including cocoa, we must make sure that the lands that support their production are well-managed, so that consumption does not come at the expense of ecosystems and wildlife, or the rights and dignity of workers and their families. ESP is therefore designed to shepherd cocoa production in Ghana toward a new model of sustainability; one that couples profit with functioning ecosystems, clean water, naturally rich soils, safe and comfortable working and living conditions, healthy families and communities.

ESP activities are aimed building the capacity of cocoa farmers on key sustainability practices such agroforestry involving the planting of native species, maintain wildlife corridors and conserve natural resources. Through our training programs, cocoa farmers learn methods that increase efficiency, as well as the productivity and resilience of the land leading to increased yields and income, as well as many other long-term benefits for farmers, families and communities that depend on cocoa.

201

Part B. Identifying and Managing Social and Environmental Risks

<p>QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “Yes” responses). If no risks have been identified in Attachment 1 then note “No Risks Identified” and skip to Question 4 and Select “Low Risk”. Questions 5 and 6 not required for Low Risk Projects.</i></p>	<p>QUESTION 3: What is the level of significance of the potential social and environmental risks? <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i></p>	<p>QUESTION 6: What social and environmental management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?</p>		
<p>Risk Description</p>	<p>Impact and Probability (1-5)</p>	<p>Significance (Low, Moderate, High)</p>	<p>Comments</p>	<p>Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.</p>
<p>Risk 1: Current land and tree tenure policies does not provide enough incentives to farmers to adopt environmentally sustainable production practices</p>	<p>i = 2 p = 2</p>	<p>Low</p>		<p>ESP have carried out two separate studies on how the current land and tree tenure policies are imparting on farmers' ability to adopt environmentally sustainable production practices. Both reports made recommendations for future actions based on their findings and ESP is focusing most of its policy level work in 2015 on these recommendations.</p> <p>The land tenure review work for instance has revealed that farmers with registered land or have security of tenure are more likely to undertake conservation measures on their land including tree planting and other biodiversity conservation promotion measures that would lead to long term ecosystem health and services. The report's recommendations include the development of Land Policy for cocoa farming that would ensure proper documentation and formalization of tenurial systems with clear benefit sharing agreements, farmer education on land registration, and proper acquisition of land as well as resolution of land disputes.</p> <p>An analysis of the various policies and laws related to tree tenure and their implications for a sustainable cocoa production system on the other hand also revealed key</p>

<p>QUESTION 2: What are the Potential Social and Environmental Risks?</p> <p><i>Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “Yes” responses). If no risks have been identified in Attachment 1 then note “No Risks Identified” and skip to Question 4 and Select “Low Risk.” Questions 5 and 6 not required for Low Risk Projects.</i></p>	<p>QUESTION 3: What is the level of significance of the potential social and environmental risks?</p> <p><i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i></p>	<p>QUESTION 6: What social and environmental management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?</p>	
<p>Risk Description</p>	<p>Impact and Probability (1-5)</p>	<p>Significance (Low, Moderate, High)</p>	<p>Comments</p>
<p>Risk 2: Changing climatic conditions make cocoa farming increasingly difficult in parts of the cocoa regions of Ghana so that farmers abandon cocoa farming in favour of other crops</p>	<p>I = 2 P = 2</p>	<p>Low</p>	<p>Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.</p> <p>areas in which the policies and laws were deficient in dealing with the requirements to make farmers interested in undertaking sustainable practices to preserve the trees on the farms. The report provided a detailed matrix showing a list of the various policies and Laws, their impact on cocoa farmers, the recommended change required to promote sustainability on cocoa farms as well as proposed actions to support the required change. ESP is working to address these concerns.</p>
<p>Risk 3: The cocoa farmers in Ghana are reluctant to adopt biodiversity-friendly cocoa agroforestry practices and to invest in maintaining farm productivity because of perceived higher short-term gains from little or unshaded cocoa.</p>	<p>I = 2 P = 2</p>	<p>Low</p>	<p>This may indeed happen in some of the “old” cocoa regions, but is unlikely to happen on a large scale over the next several decades. The project promotes the use of increased tree cover in cocoa production landscapes, including the use of shade trees in cocoa farms, which will improve the microclimate and to some extent mitigate the effects of a deteriorating climate.</p> <p>Given the presently very low overall yield levels, the project will demonstrate near and long-term benefits for farmers from using better agronomic practices and will show that yields can be increased while using biodiversity-friendly agroforestry practices. The project will also promote biodiversity-friendly ways of income diversification through introduction of timber and non-timber trees in cocoa farms and linking farmers to the corresponding markets (e.g. <i>Allanblackia</i>).</p>

200

QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “Yes” responses). If no risks have been identified in Attachment 1 then note “No Risks Identified” and skip to Question 4 and Select “Low Risk” Questions 5 and 6 not required for Low Risk Projects.</i>	QUESTION 3: What is the level of significance of the potential social and environmental risks? <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i>	QUESTION 6: What social and environmental management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?		
Risk Description	Impact and Probability (1-5)	Significance (Low, Moderate, High)	Comments	Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.
Risk 4: Increasing demand for cocoa in general (2-3% per year) and high-quality Ghanaian cocoa specifically will drive expansion of areas under cocoa also into forest, thereby undermining biodiversity benefits through changing practices on existing cocoa farms.	I = 2 P = 2	Low		This is a main reason why a farm-level project approach is insufficient for achieving real improvements for biodiversity in cocoa production landscapes. The project addresses it by basing its strategy on the negotiation of agreements with communities, which include the conservation of forest, in return for project investments into existing cocoa farms (e.g. through extension services) that allow to increase cocoa output without expanding the area under production. The Government of Ghana is committed not to increase the cocoa area and focus on increasing cocoa yields from existing farms and the rehabilitation of old cocoa farms.
Risk 5: World prices for cocoa decline because of factors at the global market level, leading to reduction of revenues to the farmers, which in turn affects their ability to invest in the productivity of their farms.	I = 1 P = 1	Low		The project will promote crop diversification to reduce the over-dependence on cocoa as a source of revenue to the farming communities, thereby reducing their dependency on cocoa prices.
Risk 6: The international cocoa and chocolate market does not recognize government's and farmers' efforts to adopt biodiversity-friendly land management practices and no market based mechanisms are forthcoming to sustain such practices through the cocoa	I = 2 P = 2	Low		Based on the analysis of barriers to changing company purchasing practices that the project has carried out, the project will work with/support Mondelez International to increase consumer awareness of biodiversity issues in cocoa production to increase market demand for environmentally friendly cocoa and encourage companies to develop corporate social responsibility

QUESTION 2: What are the Potential Social and Environmental Risks?
Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any "Yes" responses). If no risks have been identified in Attachment 1 then note "No Risks Identified" and skip to Question 4 and Select "Low Risk". Questions 5 and 6 not required for Low Risk Projects.

Risk Description	Impact and Probability (1-5)	Significance (Low, Moderate, High)	Comments	Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.
market.				programs to address the related issues. Moreover, the project will not rely only on the cocoa market to provide incentives to farmers to adopt the recommended practices, but will also collaborate with COCOBOD to use domestic policy instruments and production-related measures to ensure and demonstrate that diverse agroforestry systems, combined with sound agronomic practice, will increase on-farm productivity and hence farmer incomes.
Risk 7: The project impacts only a limited region and the recommended land use and sustainable practices are not adopted more widely.	I = 2 P = 2	Low		The project's strong level of support from government will enable its results to be integrated into national strategies for biodiversity, poverty alleviation, land rehabilitation and cocoa production. Partnership with COCOBOD and other cocoa sector projects will provide channels for dissemination of project successes at a national (and international) scale.

QUESTION 3: What is the level of significance of the potential social and environmental risks?
Note: Respond to Questions 4 and 5 below before proceeding to Question 6

QUESTION 4: What is the overall Project risk categorization?	Comments
Select one (see SESP for guidance)	
Low Risk	<input checked="" type="checkbox"/>
Moderate Risk	<input type="checkbox"/>
High Risk	<input type="checkbox"/>

<p>QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any "Yes" responses). If no risks have been identified in Attachment 1 then note "No Risks Identified" and skip to Question 4 and Select "Low Risk". Questions 5 and 6 not required for Low Risk Projects.</i></p>	<p>QUESTION 3: What is the level of significance of the potential social and environmental risks? <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i></p>	<p>QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?</p>		
<p>Risk Description</p>	<p>Impact and Probability (1-5)</p>	<p>Significance (Low, Moderate, High)</p>	<p>Comments</p>	<p><i>Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.</i></p>
<p>QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?</p>				
<p>Check all that apply</p>				
<p>Principle 1: Human Rights <input type="checkbox"/></p>				
<p>Principle 2: Gender Equality and Women's Empowerment <input checked="" type="checkbox"/></p>				
<p>1. Biodiversity Conservation and Natural Resource Management <input checked="" type="checkbox"/></p>				
<p>2. Climate Change Mitigation and Adaptation <input checked="" type="checkbox"/></p>				
<p>3. Community Health, Safety and Working Conditions <input checked="" type="checkbox"/></p>				
<p>4. Cultural Heritage <input checked="" type="checkbox"/></p>				
<p>5. Displacement and Resettlement <input type="checkbox"/></p>				
<p>6. Indigenous Peoples <input type="checkbox"/></p>				
<p>7. Pollution Prevention and Resource Efficiency <input type="checkbox"/></p>				
				<p>Comments</p>

Final Sign Off

Signature	Date	Description
	22/09/2016	UNDP staff member responsible for the Project, typically a UNDP Programme Officer. Final signature confirms they have "checked" to ensure that the SESP is adequately conducted.
	22/09/2016	UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have "cleared" the SESP prior to submittal to the PAC.
	22/09/2016	UNDP chair of the PAC. In some cases, PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.



SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks		
Principles 1: Human Rights		Answer (Yes/No)
1.	Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	No
2.	Is there likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? ¹³	No
3.	Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	No
4.	Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	No
5.	Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	No
6.	Is there a risk that rights-holders do not have the capacity to claim their rights?	No
7.	Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	No
8.	Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	No
Principle 2: Gender Equality and Women's Empowerment		
1.	Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	No
2.	Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	No
3.	Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?	No
4.	Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? <i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</i>	No
Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below		

¹³ Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management		
1.1	Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	No
1.2	Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	No
1.3	Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	No
1.4	Would Project activities pose risks to endangered species?	No
1.5	Would the Project pose a risk of introducing invasive alien species?	No
1.6	Does the Project involve harvesting of natural forests, plantation development, or reforestation?	No
1.7	Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	No
1.8	Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	No
1.9	Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	No
1.10	Would the Project generate potential adverse transboundary or global environmental concerns?	
1.11	Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i>	No
Standard 2: Climate Change Mitigation and Adaptation		
2.1	Will the proposed Project result in significant ¹⁴ greenhouse gas emissions or may exacerbate climate change?	No
2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	No
2.3	Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)? <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	No

¹⁴ In regards to CO₂, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

302

Standard 3: Community Health, Safety and Working Conditions		
3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	No
3.2	Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	No
3.3	Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	No
3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	No
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	No
3.6	Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	No
3.7	Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	No
3.8	Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?	No
3.9	Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	No
Standard 4: Cultural Heritage		
4.1	Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	No
4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	No
Standard 5: Displacement and Resettlement		
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	No
5.2	Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	No
5.3	Is there a risk that the Project would lead to forced evictions? ¹⁵	No
5.4	Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	No

¹⁵ Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

Standard 6: Indigenous Peoples		
6.1	Are indigenous peoples present in the Project area (including Project area of influence)?	No
6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	No
6.3	Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)? <i>If the answer to the screening question 6.3 is "yes" the potential risk impacts are considered potentially severe and/or critical and the Project would be categorized as either Moderate or High Risk.</i>	No
6.4	Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	No
6.5	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.6	Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	No
6.7	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	No
6.8	Would the Project potentially affect the physical and cultural survival of indigenous peoples?	No
6.9	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	No
Standard 7: Pollution Prevention and Resource Efficiency		
7.1	Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	No
7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	No
7.3	Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs? <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i>	No
7.4	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	No
7.5	Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	No

Annex 6: Project Design Quality Assurance Report

Annex 7: LPAC minutes



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Environmentally Sustainable Production Practices in Cocoa Landscapes Phase II

Local Project Appraisal Committee (LPAC) Minutes of Meeting

22nd September 2016

Cocoa House, Accra



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2



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MEETING AGENDA — ENVIRONMENTALLY SUSTAINABLE PRODUCTION PRACTICES IN COCOA LANDSCAPES PHASE II

MEETING INFORMATION

Date: [22-09-2016]
Ave, Accra]

Location: [Boardroom, COCOBOD-Cocoa House, Kwame Nkrumah

Time: [10:00AM-12:10PM]

Meeting Type: [Local Project Appraisal Committee Meeting]

AGENDA

Description	Person	Time
Opening Remarks	Mr. Dominic Sam, Country Director, UNDP Country Office	10:00am-10:15am
	Dr. Francis Oppong, Deputy Chief Executive Director, Agronomy & Quality Control, COCOBOD	10:15am- 10:10:30am
Presentation on the project document	Mr. Simon Crown, COCOBOD & Mr. Atsu Tsitiati, Project Coordinator, Project Management Unit	10:15am- 11:00am
Discussions and feedback on the project document	Dr. Augustus Asamoah, Forestry Management & Conservation Specialist, PMU	11:00am-12:00pm
Summary of key conclusions and recommendations		
Closing Remarks	UNDP	12:00pm-12:10pm



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ESP Phase II Proposal

Review of Project Scope and Approach by Local Project Appraisal Committee (LPAC)

Minutes of Meeting

Date: 22nd September, 2016

The review meeting was purposely called to review the ESP Phase II project document by selected officials from COCOBOD and other allied agencies and departments constituting the LPAC. The review meeting forms part of the Secondary Decision Point – Defining a Project as per the UNDP guidelines for project development. The key considerations for the appraisal meeting include: Relevance, Feasibility, Commitment, Accountability, Cost Effectiveness, Sustainability, Environmental and Social Impacts, Risk Management, Monitoring and Evaluation, and the Project Board's Composition and Membership.

The meeting started at 10:17am with a prayer by Mr. Kwadwo Kissiedu Kwapong (Deputy Director, Research COCOBOD) who initially was elected to chair the meeting in the absence of Dr. Francis Oppong (Deputy Chief Executive - Agronomy and Quality Control, COCOBOD). He welcomed all the committee members to Cocoa House, venue for the meeting and hoped for a fruitful deliberation which at the end would help to improve the project document. He thanked Mondelez for the phase II funding and looked forward to a rewarding partnership with the UNDP to implement the project under phase II.

Mr. Emmanuel Opoku (Acting Director, Research COCOBOD) later took over as Chairman of the meeting at a point.

The Country Director of UNDP – Mr. Dominic Sam in his opening remarks said that he was very happy to be in Cocoa House – for the first time. He stressed the importance of embracing inclusive business that brings people who are the bottom of the pyramid into the value chain. In his opinion, ESP can play a major role and be more efficient by bringing in the cocoa farmers to the value chain. According to him, the sustainability issues to be addressed by ESP II are in line with the UNDP agenda to contribute to the UN's Sustainable Development Goals and look forward to working with COCOBOD to ensure Ghana's cocoa is produced in a more sustainable way.



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After the opening remarks, Mr. Atsu Titiati, Project Coordinator, ESP was called to present the project document for ESP II on behalf of the UNDP. His presentation was categorized into two main sessions – an over view of phase I and a summary of activities proposed for phase II.

1. OVERVIEW OF ESP PHASE I

The actual implementation of the project started from July 2013 and ended in September 2016 - 4 years and 5 months - instead of the original 3 years it was estimated to last. It was funded by Mondelez International with in-kind/additional cash contribution from COCOBOD & GoG. For instance, COCOBOD is housing the Project Management Unit (PMU) and occasionally hosts project related meetings. It has also nominated a project Focal Person to work with the PMU at no cost to the project.

ESP phase I had six outcome areas as follows:

OUTCOME 1: Policies and institutions strengthened

OUTCOME 2: Cocoa landscapes rehabilitated

OUTCOME 3: Forests conserved

OUTCOME 4: Cocoa Institutions and farmers knowledgeable on environmental best practices

OUTCOME 5: Incentive based mechanisms to promote the adoption of environmental best practices

OUTCOME 6: Public private sector coordination – Ghana Cocoa Platform the Ghana Cocoa Platform is actually the sixth outcome which was eventually made into a standalone project.

Note: There were several realignments/adaptive management actions during implementation to bring planned activities in line with field level realities

❖ Accomplishments of ESP Phase I

1. Policies strengthened – ESP I worked on the following policy issues:

- Land Tenure
- Tree Tenure and registration



Two separate studies were commissioned by the project to assess the current land and tree tenure situations in Ghana. Both studies came out with appropriate recommendations to address the issues – some of which are incorporated into planned activities for ESP II.

2. Climate change education was carried out in 17 Junior High Schools in the Asunafo North area to sensitize the youth on the science behind climate change with the view of getting them in the position to make the right decisions and choices on adaptations in the future. Each of 17 schools was equipped with tools for their model farming activities as well as other environmental activities in their schools. Club members were also given branded T-shirts and exercise books to incentivize them to engage good environmental activities. The clubs had an inter schools completion on the environmental to assess their level of knowledge on climate change and environmental issues.

3. A Community Resource Management Area (CREMA) was developed in Asunafo called the Ayum-Asuokow CREMA, to help strengthen community management of natural resources and ecosystems within the Asunafo North Pilot Landscape.

4. About 800,000 economic tree seedlings were procured and supplied to farmers for planting within cocoa to increase tree and carbon stock in cocoa landscapes.

5. Mainstream/Capacity building on environmental sustainability practices (using the trainer of trainer's concept): The following training materials been developed, printed and used in the training of CHED CEAs:

- 500 copies of 80 page supplementary trainers' manual on selected climate smart cocoa production practices
- 4,000 copies of a one-pager training handout for farmers
- 500 copies of a 12 page flipchart
- 200 CEAs from 7 districts trained

6. Sensitization & Education campaign on forestry regulations and policies to create awareness on farmers' rights & responsibilities under the law: Campaign Information, Education & Communication (IEC) Materials developed include:

- Training Manual on some of Ghana's forest laws, regulations and policies
- Posters on protected birds and animals



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-Brochures & Posters summarizing key information on the forestry laws and regulations

- 1,500 farmers from and over 300 CEAs and other frontline staff from 7 Districts trained on the use of the manuals

1. OVERVIEW OF ESP PHASE II PROPOSED ACTIVITIES

ESP activities are determined by the demands and requirements of the Cocoa Life pillar 5; the environmental pillar to which ESP answers. Under phase II, ESP will cover 330 Cocoa Life communities in 14 Cocoa Districts spread over the Brong Ahafo, Ashanti, and Western, Central and Eastern regions of Ghana.

ESP II is designed to build on results and lessons learned from phase I and to scale-up Pillar-V (Environmental Sustainability) activities to cover all Cocoa Life Ghana communities in Cohorts 1, 2 & 3. It aims to help farmers to adopt environmentally sustainable and climate change resilient cocoa production practices, conserve ecosystems and natural resources in cocoa landscapes. It is designed to meet the dual goals of environmental sustainability and improvement of farmers' welfare through the adoption of sustainable production practices.

The project aims to meet two broad **Objectives**, which are:

- Farmers in the Cocoa Life program adopt environmentally sustainable and climate change resilient cocoa production practices on their farms
- Cocoa production landscapes in the Cocoa Life communities and districts are managed sustainably to conserve ecosystems and natural resources

1.1 Implementation Framework/Strategy

Phase II is designed to scale up Pillar V activities to cover 330 CL communities in 14 districts via three key strategies.

- ❖ Mainstreaming of environmentally sustainable production practices into farmer & extension staff training
- ❖ Ensuring long-term ecosystem protection at the district to community levels by establishing 3 new CREMAs in selected districts to govern local resources and ecosystem management in cocoa landscapes
- ❖ Policy engagement with government on land and tree tenure rights



2.3 Project Outcomes & Outputs

- *Outcome 1: Mainstreaming environmentally sustainable production practices into farmer level practices*

-Output 1.1. Farmers trained and equipped in environmentally sustainable production practices

-Output 1.2. Farmers enhance trees and carbon stocks on cocoa farms

-Output 1.3. Tree registration and tenure policies as an incentive for the adoption of environmentally sustainable cocoa production practices improved

- *Outcome 2: Natural resources and ecosystems management in cocoa production landscapes*

-Output 2.1. Three new CREMAs established

-Output 2.2. Three community fire prevention volunteer brigades established – preferably in the CREMAs

-Output 2.3. Capacities of traditional authorities and community opinion leaders to enable them enforce traditional conservation practices to conserve biodiversity build

- *Outcome 3: Funding Mechanisms*

-Output 3.1. Additional funding mechanisms investigated and new funding proposals developed

-Output 3.2. Donor dialogues in Ghana and globally with the support of UNDP Global Commodities Programme to explored for other funding opportunities

2.4 Monitoring & Evaluation

The following monitoring activities will be performed:

- Track results & progress
- Monitor and Manage Risk



- Learn & share
- Annual Project Quality Assurance
- Review and Make Course Corrections
- Project Reports
- Project Review (Project Board)
- Mid-Term & Final Evaluations

2.5 Project Sustainability

Sustainability will be achieved through:

- Mainstreaming of environmentally sustainable production practices into farmer training models as well as extension training curriculum
- Ensuring long-term ecosystem protection at the district to community levels by establishing CREMAs in the selected landscapes
- Policy engagement with government on land and tree tenure rights to serve as incentives for farmer adoption

2.6 Governance & Management Arrangements

❖ *Project Assurance*

- UNDP CO & COCOBOD will support the steering committee and PMU via independent project oversight and monitoring functions
- Ensure appropriate project management milestones are managed and completed

❖ **Project Management Unit**

Key Officials include:

- Project Coordinator
- Agro-Forestry & Conservation Specialist
- Finance and Administrative Assistant



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- 2 Drivers
- 5 Project Facilitators/ Field Officers
- ❖ **Administration & Technical Support**
- UNDP direct implementation framework
- Funds disbursed based on payment request from PMU & authorized by COCOBOD (*Research Unit*)
- Technical support/partnership with CHED & CRIG
- Additional Technical backstopping – UNDP CO &GCP

2.7 Partnerships

- Cocoa Farmers & their various cooperatives
- COCOBOD – Research, CHED, SPD, CRIG, Bunso Cocoa College, Cocoa Platform
- Other CL IPs – CARE, VSO, WV, Abantu, Dept of Cooperatives, Olam/AgroEco etc.
- MOFA, MoF, FC, Lands Commission, Administrator of Stool Lands
- Other civil society groups and cocoa sector projects

2.8 Funding & Budget

- Project Duration – October 2016 to December 2020
- Estimated Budget - \$1,850,004.24 (Actual funding to be determined annually subject to available funding from CL Ghana)

3.0 QUESTIONS/CLARIFICATION ON PRESENTATION

Q. Mr. Emmanuel Opoku had a few concerns about the survival rate of the economic tree seedlings supplied to farmers for planting. He wanted to know if there were records to show where the trees have been planted and also how the estimated 85% survival rate was arrived at.

Ans: The 85% survival rate was arrived at based on an initial monitoring assessment in parts of the district where seedlings have been supplied and planted. The project coordinator also added that the actual survival rate would be determined during the tree registration exercise which is



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soon to be carried out. He added that a tree registration form has been designed by the Forestry Commission in close collaboration with ESP. The form is currently awaiting approval by the Chief Executive of FC after internal checks at the FC.

Q. Mr. Charles Sarpong Duah from the Climate Change Unit, FC want to know how the the ESP plans to handle farmers who are holding on to the notion that cocoa farms with no overhead canopy has higher yield than those with overhead canopy.

Ans: The notion by some cocoa farmers that shadeless cocoa has higher yield was debunked. The ESP Project Coordinator supported by the Chairman referred to the demonstration farms at CRIG that shows that cocoa farms with the right amount of overhead shade has a better and more sustainable yield. A lot of research work by CRIG has shown that cocoa without shade has shorter production life but cocoa with the right amount of shade has a longer life span, more healthier trees, minimal insect infestations and high yield. It is expected that the registration of trees planted in cocoa landscapes will help increase trees on farms as the farmer will be guaranteed ownership right. The registration is also expected to encourage farmers to plant more trees.

In his contribution to the question, Mr. Edward Obiaw, the Director of the Resource Management Support Centre of the FC, stressed the need for farmers to register the trees they plant as the registration guarantees their ownership of the tree. He further stressed that all registered trees will not form part of any future timber allocation. Mr. Obiaw used the opportunity to urge farmers to desist from illegal farm encroachments into forest reserves. He stressed that the forest cover must be protected at all times for the good of the cocoa industry.

Dr. Francis Baah- Executive Director of Cocoa Health & Extension Division (CHED) of COCOBOD said that there are cases where some cocoa farms have existed illegally in forest reserves for more than 48 years in some cases and COCOBOD is often not too sure whether to continue giving such farmers technical assistance including inputs – since they are illegally located. He stressed on the need for the FC to diligently perform their enforcement responsibilities in order to curtail such situations and the blame game between the FC and COCOBOD.

Q. Mr. Abebe of The World Bank was of the opinion that there should be more synergy between the World Bank and the UNDP concerning the REDD element in the Forest Investment Project (FIP) for example. He also wanted to know whether it is a good idea to expand project coverage



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to 14 districts rather than focusing on few areas in view of the relatively small amount of funds available.

Ans. Mr. Jephthah Mensah, the Environment and Extension Manager of the Mondelez Cocoa Life Program, responded that there are already interventions in those 14 districts for farmers in relation to other Cocoa Life Pillars - Farming, Livelihood, Youth, Community Development and the Environment – which is the mandate of the ESP. He added that Cocoa Life targets communities where there are no existing projects but conceded that it is important to get additional funding to deepen our efforts.

Q. Mr. Opoku expressed serious concern about galamsey mining that is destroying cocoa farms and arable lands to an extent that farmers are losing their livelihoods including their lands and asked how the situation be solved?

Ans: In his response the Project Coordinator said that due to land tenure issues, it might not be easy to intervene as the land owner has the final say. He can decide to give his land for Galamsey because it pays more than farming Cocoa.

The attention of the meeting was drawn the study on illegal mining and its effect on cocoa farming commissioned by the Ghana Cocoa Platform. Unfortunately, the report is inconclusive and more work is being done on it to get the expected output. Once the report is out and it becomes very clear that Galamsey is destroying farmlands and the environment then organisations like COCOBOD can take it up.

The discussion on the galamsey menace and its impact on cocoa farms and the environment in general was discussed at length at the meeting and since it falls outside the current scope of ESP II, the meeting strongly recommended it should be included in the project document. There was also a recommendation for climate change education to be included in the ESP II activities.

Local Project Appraisal Committee Meeting for the Environmentally Sustainable Production Practices in Cocoa Landscapes Project
22 September, 2016 from 10:00am-12.30pm
BOARDROOM- COCOA HOUSE, GHANA COCOA BOARD

S.N	Name of Official	Organization	Email	Telephone	Signature
1	Dr. Francis Oppong	Deputy Chief Executive, Agronomy & Quality Control, COCOBOD	Foppong2003@gmail.com		
2	Mr. Emmanuel Opoku	Acting Director of Research, COCOBOD	ea_opoku@yahoo.co.uk	244386890	
3	Mr. Kissiedu Kwapong	Deputy Director, Research, COCOBOD	kissiedukwapong@yahoo.com	244059804	
4	Mr. Simon Crown	Project Focal Person	Simoncrown1966@yahoo.com	500415003	
5	Dr. Francis Baah	Executive Director, CHED, COCOBOD	achamfour1966@gmail.com	249615541	
6	Rev. Ahia Clottey	Deputy Director, Operations, CHED, COCOBOD	A_ahiae@yahoo.com	247911170	
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8	Dr. Anim Kwapong	Executive Director, CRIG, COCOBOD	gjanimkwapong@yahoo.com	205491944	
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10	Dr. Isaac Yaw Opoku	Executive Director, Seed Production Division, COCOBOD	iopokuisaac@yahoo.com	202012457	
11	Mr. Jephthah Mensah	Manager, Extension & Environment, Cocoa Life Program	Jephthah.Mensah@mdlz.com	244612665	
12	Mr. Takyi Sraha	World Cocoa Foundation	takyi.sraha@worldcocoa.org	Tel: +233 (0)302 542 187	
13	Mr. Asferachew Abate Abebe	Senior Environmental Specialist The World Bank Group	aabate@worldbank.org	556488312	
14	Mr. Dominic Sam	Country Director, UNDP			
15	Mr. Louis Kuupen	Head of Programmes, UNDP			
16	Mr. Paolo Dalla Stella	Head of Sustainable Development Cluster, UNDP			
17	Ms. Rita Effah	Programme Officer, UNDP			
18	Ms. Abigail N. Adjekai Ankamah	Programme Assistant, UNDP			
19	Mr. Atsu Tsiatsi	Project Coordinator, UNDP- COCOBOD			



20	Augustus Asamoah	Agroforestry Specialist, UNDP-COCOBOD			
21	Mrs. Serwaa Anekye Adu	Project Assistant, UNDP-COCOBOD	S.A. Adu	0244711111	
22	Mr. Oppong Sasu	Director, Donor Relations	sasuoppon@yahoo.com	0244367851	
23	Mr. Yaw Kwakye / Ms. Roselyn Adjei / Charles Sampson / Dr. Charles	Manager, Climate Change Unit	beeemayaw@gmail.com	0244769874	
24	Mr. Raphael Yeboah / Mr. Michael Paintsil	Executive Director, FSD	Raphyeb24@yahoo.com	243148445	
25	Mr. Edward Obiyaw	Director, Resource Management Support Center	konamventures@hotmail.com	208121060	
26	Mr. Nana Adu Nsia (James Oppong)	Executive Director, WD	aduan's.iake@yahoo.com	0244107143/0208120	
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