Supplementary Information for:
Value chain structures for deforestation-risk commodities shape private conservation governance and its outcomes across the tropics

This file includes:

- Supporting Text: Additional detail for Methods
- Table S2: Criteria to assess values taken by GVC governance and other variables
- Interview guides
- References for Supplementary Information

Other supporting materials for this manuscript include the following:

- **Table S1: Framework matrix** available at: https://osf.io/6kwz8/overview?view_only=856bfdeca703431583cae324902db9c5
- **Table S3: Audit trail linking key evidence from the framework matrix to the final score assigned to each variable** available at: https://osf.io/6kwz8/overview?view_only=856bfdeca703431583cae324902db9c5

Supporting Text

Additional detail for Methods

Interview guides: We developed separate interview guides for the main actor groups in each case to accommodate differences in their positions and roles within each value chain (Adams, 2015). Interview guides also featured some differences between the cases. However, all included questions to explore participants' business operations, production, procurement and/or sales practices; engagement with civil society and public policies; and attitudes towards conservation. We also included questions about the content and operationalization of FSPs, which were based on existing criteria to assess FSPs' effectiveness and equity (Garrett et al., 2019; Grabs et al., 2021). Brazilian soy was an exception in the design of its interview guides, as this case examined the oldest FSP with extensive prior coverage in the literature (Garrett et al., 2013; Gibbs et al., 2015; Heilmayr et al., 2020). In this case, interviews instead explored how the Amazon Soy Moratorium emerged and why a moratorium failed to materialize in Brazil's Cerrado savannah biome.

All interview guides were written in English, then forward and back translated into the national language of each country by bilingual study team members. Focus group guides were developed using the same procedures.

Sampling: Our purposive sampling design was based on a stakeholder mapping exercise for each case to ensure we included firms and suppliers involved with deforestation-free governance in each value chain. We also targeted other groups involved with deforestation-free governance, such as civil society and government organizations, according to their relevance to each case. For example, in Brazilian cattle and West African cocoa, where state actors have played a larger role in FSP design, adoption, and implementation, we targeted more government actors, whereas in Indonesian palm oil and Brazilian soy, we focused more on civil society and technical support organizations that have been involved with driving FSP adoption and implementation.

In our stakeholder mapping in the Brazilian Amazon cattle sector, we identified all cattle slaughterhouses located along the BR-010 highway between Belém and Dom Eliseu in the state of Pará where the TAC was first implemented, as well as the Belém Public Prosecutor's Office (Portuguese initialism MPF), municipal institutions, and farmers, live exporters, and meatpackers' unions. In Côte d'Ivoire and Ghana, we used Cocoa and Forests Initiative (CFI) annual reports (CFI, 2020) to identify all signatory manufacturers and traders with a recognizable presence in either country, as well as government, civil society, and technical support organizations involved with the Initiative. In Indonesian palm oil, we identified all corporate, civil society, and technical support organizations involved with the main multi-stakeholder initiatives to reduce deforestation, including the Roundtable on Sustainable Palm Oil (RPSO) No Deforestation Joint Steering Group, High Carbon Stock Approach, and Palm Oil Collaboration Group, among others. In the Brazilian soy sector, we identified firms, producer and industry associations, civil society, and government organizations involved with the Soy Moratorium Working Group (Portuguese initialism GTS) and the Cerrado Working Group (GTC).

In each case, we invited representatives of all identified organizations through email, LinkedIn, and personal connections. This purposive sampling approach was followed by snowball and opportunistic sampling in each case to take advantage of introductions to high-level participants by gatekeepers and encounters with relevant actors.

We also recruited farmers and farmer cooperatives in the Brazilian cattle, Indonesian palm oil, and West African cocoa cases, focusing our sampling effort on regions with remaining forest cover, high rates of deforestation, and the presence of firms with FSPs. In Brazilian cattle, we invited farmers in Paragominas, Ipixuna do Pará, Ulianopolis and Dom Eliseu in Pará using Rural Environmental Registry (CAR) and Animal Transport Permit (GTA) records. In Côte d'Ivoire and

Ghana, we invited cooperatives and farmers through our contacts in civil society organisations that were involved in implementing FSPs. In Côte d'Ivoire, we invited farmers in villages around the Cavally, Mabi-Yaya, and Rapides-Grah classified forests. In Ghana, we invited farmers in villages near forest reserves in the Sefwi-Wiawso and Juaboso-Bia Hotspot Intervention Areas. These landscapes are part of Ghana's Cocoa and Forests REDD+ Programme, which is closely linked to the CFI. In Indonesia, we conducted focus groups with farmer cooperatives in Aceh and South Sumatra as part of a larger study on farmers' participation in NDPE policies (Chandra et al., 2026).

This purposive sampling design and recruitment approach, which was based on sending personal invitations to identified actors, necessarily entailed that the perspectives of non-respondents could not be included. We attempted to mitigate this by ensuring our sample included several actors at each value chain tier or key actor group, and ensuring that represented organizations had range of sizes, levels of vertical integration, and approaches towards deforestation-free governance.

More details on the sampling methods for each case are available in the individual case studies, which have been published previously (Addoah et al., 2025; Brandão et al., 2025; Cammelli et al., 2022; Chandra et al., 2026; Grabs & Garrett, 2023; Kouakou et al., 2026).

Fieldwork: We conducted fieldwork in Pará, Brazil, between October 2019–February 2020; in Jakarta, Indonesia, between February–March 2020; in Ghana between November 2021–February 2022; in Côte d'Ivoire between March–April 2022; in Sumatra, Indonesia between January–May 2022; and in São Paulo, Brasilia, Mato Grosso, and Bahia, Brazil between May–October 2022. We conducted interviews in-person, or online when fieldwork had to be discontinued due to COVID-19 (Indonesia, 2020) or when participants were unavailable (Côte d'Ivoire and Ghana). We conducted interviews in English (Côte d'Ivoire, Ghana, and Indonesia) or French (Côte d'Ivoire), Portuguese (Brazil), Twi (Ghana), or Bahasa Indonesia (Indonesia), following participants' preferences. We followed the interview guides loosely. This provided structure while allowing the order or phrasing of questions to be altered in response to participants' profiles or earlier responses, and enabling questions about sensitive topics to be skipped if necessary (Adams, 2015).

Ethical approvals: Ethics approval was provided by the ETH Zürich and European Research Council ethics review boards.

Table S2. Criteria to assess values taken by GVC governance and other variables. Criteria were developed by adapting and extending variable definitions in the GVC governance framework (Gereffi et al., 2005) using criteria for assessing FSPs' effectiveness and equity (Garrett et al., 2019; Grabs et al., 2021).

Complexity of FSP	Codification of FSP	Capabilities in the supply base	Market share	Outcome: Regional effectiveness	Outcome: market access equity
Low complexity: No additional information about deforestation-free production is required for producers or suppliers to sell commodities to buyers.	**Low codification:** Each firm has a unique FSP with specific requirements that are not formalised and cannot be communicated efficiently in transactions without investing in one-to-one relationships with producers or suppliers.	**Low capabilities:** Producers or suppliers lack information and/or technical expertise and/or resources (e.g. time or money) to comply with FSP requirements (i.e., to execute a deforestation-free commodity transaction).	**Low market share:** Firms with FSPs account for a minority (<50%) of the market in the focal region.	**Low effectiveness:** Little or no evidence that an FSP has caused additional reductions in deforestation at the regional level compared to the business-as-usual scenario.	**Low equity:** Producers that are noncompliant with FSPs are entirely excluded from accessing economically viable markets. Firms with FSPs do not provide adequate and accessible measures to enable producers with low capabilities - particularly smallholders and marginalised groups - to comply. This is expected to produce a substantial risk of livelihood loss, particularly for producers that are already poor or otherwise socially, economically, or politically marginalised.
Moderate complexity: Producers or suppliers are required to provide buyers with relatively simple evidence to demonstrate that the production of a commodity has been deforestation-free. Simple evidence means a small number of separate documents or pieces of information, is aligned with public regulations that producers are already required to follow, and can be monitored by buyers using easily accessible and publicly available information.	**Moderate codification:** FSPs differ in specific features but are broadly similar across the sector and can be easily communicated to producers or suppliers who are used to transacting with other buyers. May be some use of certification standards such as Rainforest Alliance, Roundtable on Sustainable Palm Oil (RSPO) but this is not universal and often accompanied by additional firm-specific requirements. Individual firms' FSPs may differ in focus, e.g. forest conservation or labour exploitation, or criteria, e.g. the content of farmer training.	**Mixed capabilities:** Some producers or suppliers have high capabilities while others have low capabilities.	**Moderate market share:** Firms with FSPs account for the majority (≥50%) of commodity purchasing in the focal region OR Firms with FSPs account for almost all (≥90%) commodity purchasing in the focal region but FSP coverage among producers is lower due to incomplete application to both direct and indirect sourcing, or incomplete uptake of FSPs at value chain tiers upstream (e.g., processors or traders).	**Moderate effectiveness:** EITHER: Evidence available that FSP has caused additional reductions in deforestation at the regional level compared to the business-as-usual scenario, but reductions are modest; OR: Little or no evidence that the FSP has caused additional reductions in deforestation at the regional level compared to the business-as-usual scenario, but substantial evidence that overall levels of deforestation driven by the focal commodity has fallen substantially in regions where the FSP was implemented over the time period since it was implemented.	**Moderate equity:** Producers that are noncompliant with FSPs may be excluded from the FSP-compliant commodity market, but the consequences are mitigated by continued access to economically viable conventional markets. Producers may also receive some assistance with FSP compliance from firms, but safeguards to ensure exclusion does not happen are incomplete, inadequately targeted, or insufficiently comprehensive to make exclusion of marginalised producers unlikely.
High complexity: Producers or suppliers are required to provide detailed evidence to demonstrate that production of a commodity has been deforestation-free. Detailed evidence means numerous documents or pieces of information, and/or information that is additional to requirements in public regulations, and/or information that requires specific management processes (e.g. completion and filing of audits) to be put in place by the producer and/or buyer. Examples include High Conservation Value (HCV) assessment reports or the delineation and provision of farm boundary data.	**High codification:** FSPs are explicitly standardised across an entire sector or region or take a consistent form between firms. This generally involves a set of widely accepted specifications set out in a sectoral standard. Buyers can purchase compliant commodities that conform with the standard without investing in a relationship with each producer or supplier.	**High capabilities:** Producers or suppliers have sufficient information, technical expertise, and resources to comply with FSP requirements.	**High market share:** Firms with FSPs account for almost all (≥90%) commodity purchasing in the focal region, to the extent that it is feasible that commodities purchased by firms without FSPs are still likely to conform with FSP requirements.	**High effectiveness:** Evidence available that an FSP has caused additional reductions in deforestation at the regional level compared to the business-as-usual scenario, and these reductions are substantial.	**High equity:** In theory, producers that are noncompliant with FSPs are excluded from the FSP-compliant commodity market, but in practice, adequate, accessible, and appropriately targeted safeguards are implemented to ensure that exclusion does not happen. These safeguards may include technical assistance, training, farm mapping, support with certification, differentiated enforcement procedures, or assured market access. The measures have sufficient coverage to make exclusion of poor or marginalised producers unlikely in practice.

Interview guides
The remainder of this document contains the project interview guides in English. We developed adapted interview guides for the main actor groups in each case. Interview guides featured some differences between cases but generally explored the nature of actors' business operations, procurement and/or sales practices; the content and operationalisation of their FSPs and/or partners' FSP requirements; engagement with civil society and public policies; and attitudes towards conservation. We developed interview guides for Brazilian soy separately, as this case explored both how the Amazon Soy Moratorium emerged and why a moratorium failed to materialise in the Cerrado. We refined the interview guides throughout data collection to ensure sensitivity to participant feedback and emerging insights (Adams, 2015). The interview guides presented here are the final versions used in each case.

Interview guides: Contents

1. Brazilian Amazon cattle interview guides

1.1 Brazilian Amazon cattle: Producer

1. Background

1.1. What is your name?
1.2. How old are you?
1.3. Where did you grow up?
1.4. Did you ever participate in a research project before?
1.5. If not local area: Why did you move here?
1.6. How long have you been working in farming?
1.7. How long have you had this farm?
1.8. Male or female (just note down)
1.9. What is your religion?
1.10. How many properties do you have?
1.11. For each property: (make sure to note if some properties cattle is raised to be sent to another farm owned by same person)

Name	Municipality & State	Area	Produce	Who do you sell to?

2. Ease of finding sellers

2.1. Is it easy to find a buyer for your production?
(listen/probe for: market share of various buyers; levels of competition among buyers; distance willing to travel to find buyers)
2.2. Has it always been so easy/difficult (depending on answer above)?
2.2.1. If no, what has changed? -> if they mention ZDCs here, jump right to Q 5 to avoid duplications
2.2.2. When did it change?
2.2.3. And why?
2.2.4. How did you react to these changes?
(listen/probe for: adjustment to market requirements re: compliance, quality, legality; expand distance willing to travel; expand into other types of production)
2.3. Do you anticipate that it will become easier or harder to find a buyer for your production in the future? Why?

3. Choice of buyer

3.1. When you are choosing a buyer, what do you care about? How did you choose your current buyer? [Alt: Why did you choose to sell to the buyers that you are currently selling to?]
(listen/probe for: prices/money; other incentives (in-kind support, fair treatment, contract terms, access to credit); relationship with buyer (personal ties); distance to/ease of access to market; what neighbors do; norms, habits, values, what heuristics do they use)
3.2. [depending on explanation above, probe:] Do you have a close personal relationship with any of the buyers?
3.3. Do the buyers in your region…
3.3.1. Offer different prices for the same quality of product?
- If yes: does your buyer offer better prices than competitors?

3.3.2. Ask for different types of quality?
- If yes: does your buyer ask for higher or lower quality than competitors?

3.3.3. Provide credit to their suppliers?
- If yes: does your buyer offer better rates than competitors?

3.3.4. Offer other types of support to their suppliers (e.g. subsidized inputs, pick-up of cattle)?
- If yes: does your buyer offer higher support than competitors?

3.3.5. Provide different types of contracts/purchasing guarantees/are some buyers more reliable than others?
- If yes: is your buyer more reliable than competitors?

If no to any of the above: why don't you sell to others?

4. Incentive programs

4.1. Do any of the buyers locally have incentive programs? Please explain

4.2. Do you sell to this buyer? If not, why not?

5. Commitment – requirement awareness/ satisfaction

5.1. Do buyers in your region have any requirements for you to sell to them? What kinds of documents? (listen for/probe: documents, certifications)

5.2. Do buyers in your region have any restrictions regarding the types of farms/producers they accept products from? What kinds of restrictions? (listen for/probe: behavior such as land clearance or fire…)

5.3. Are there any differences between buyers?

5.4. Has this changed over time? If so, when?

5.5. Do you sell to such buyers?
- If yes: Why do you accept such restrictions to keep selling to them?
- If yes: Has it been difficult to adapt to such restrictions? Why?
- If yes: What would need to change to make it easier to adapt to such restrictions?
- If yes: Would you say that such restrictions (i.e. ZDCs) are an economic opportunity for you?
- If yes: Do you make more money with your current buyer than with others?
- If Yes: Do you agree with such criteria?
- If no: Why don't you sell to such buyers?
- If no: What would need to change for you to sell to such buyers?
- If no: Has the introduction of these restrictions affected your ability to sell your product under advantageous conditions? [may have already been covered under Q2]
- If no: Do you feel excluded or marginalized by such restrictions?
- If no: Do you disagree with such criteria? Do you think they are fair?

5.6. Do many people in your social circle sell to such buyers?

5.6.1. Why do you think this is so? How did that happen?

5.6.2. Did that change how they produce?

5.6.3. Would you say anything else changed after they started selling to them?

5.7. In your opinion, have such restrictions changed farmers' production and sales behaviors? How so? (Listen/probe for: decrease of burning or deforestation; switch to other buyers, maybe in larger distance; switch to other production; move away; lower profits; capital shortage; …)

5.8. Have such restrictions changed farmers' in other ways? How so? (Listen/probe for: worse livelihoods; less enjoyment of production; worse relations in the value chain…)

5.9. In your opinion have such restrictions caused farmers to leave the region?

6. Commitment – monitoring and enforcement

6.1. Has your property ever been inspected by a buyer? Have you heard of others who have been inspected?
- If yes to either: When, by whom and how often?

- If yes to either: Did this have an effect on your behavior/farming practices or (if inspected directly) your ability to sell your product?
- If no: Do you think it is likely that you will be inspected in the future? Does this affect your behavior/farming practices?

6.2. Have you ever been prevented from selling your production due to a lack of documentation or due to other restrictions (as discussed above)?
- If yes: What did you do?
- If yes: Where there options the company offered to help you achieve documentation (or fulfill other requirements)?
- If no: Do you think it is likely that you will be prevented from selling in the future? Does this affect your behavior/farming practices?

7. Do you have any other agreement with your buyers that you did not mention yet? For how long has it been so? If it changed, why did it change?

8. Public policy support

8.1. Have you received support by the government [municipio?] to fulfill the requirements of your buyer?
- If yes: How important was such support to your participation?
- If no: Do you think such support would have made it easier/convinced you to participate?

8.2. Are the government forest policies stricter, the same as, or less stringent the company policies?
- Which one has a greater effect on your decisions? Why?

(listen/probe for: fear of conviction; fear of fine; norms e.g. “it’s bad to break the law”; collective norm change - “everybody else is doing it too”)

9. Intrinsic values and extrinsic norms

9.1. Are there any production behaviors that you would never engage in, even if it was legal and profitable? Which ones? Why?

(listen/probe for: because it’s wrong; need to protect environment for children; tradition; collective norms ‘that’s not what we do here’)

9.2. Have you changed your opinion in this regard in the past? Why?

(listen/probe for: Municipio Verde blacklisting; collective norm changes; social influence by peers or family members; education by buyers, …)

10. Closing:

10.1. Looking forward, what would be your vision for your farm in the next ten years?

10.2. Is there anything else you would like to mention that is relevant to the conversation we just had?

1.2. Brazilian Amazon cattle: Buyer (Slaughterhouse)

1. Background

1.1. What is your name?
1.2. What is your position at your company?
1.3. Have you ever been interviewed as part in a research project?
1.4. Where did you grow up?
1.5. How long have you been working in this industry?
1.6. How long have you been working at this company?
1.7. If not local area: Why did you move here?
1.8. Male or female (just note down)

2. Company information

2.1. When did this facility open?
2.2. How much production can you process?
2.3. Who are your main buyers? (probe/follow-up: what sector are these companies in?)
2.4. Do you sell internationally?
2.5. If so, which countries?

3. Ease of finding suppliers

3.1. Is your mill/slaughterhouse at capacity?
3.2. Is it easy to obtain the production you need/want? (listen/probe for: market share of various buyers; levels of competition; distance suppliers are willing to travel to find buyers)
3.3. Has it always been so easy?
3.4. If no, what has changed?
3.5. If no, when did it change?
3.6. Did the change in ease in obtaining production volumes occur for other as well? Why?
3.7. Do you anticipate that it will become easier or harder to obtain sufficient production for your mill/slaughterhouse in the future? Why?

4. Ease of selling production onward

4.1. Is it easy to sell your output onwards? (listen/probe for: market share of various buyers; existence of various export markets; levels of competition; requirements by multinational buyers)
4.2. Has it always been so easy/difficult?
4.3. If no, what has changed?
4.4. If no, when did it change?
4.5. Do you anticipate that it will become easier or harder to sell the output of your mill/slaughterhouse in the future? Why?

5. Assurance of supply base

5.1. Does your company normally seek out producers to buy from or do they seek you out?
5.2. If you seek: How do you choose the farmers you are buying from?
5.3. If you seek: How do you enter in contact with them?
5.4. If they seek: How does your company get farmers to sell to you and not your competitors? (listen/probe for: prices/money; other incentives (in-kind support, fair treatment, contract terms, access to credit); personal relationship with buyer (personal ties); distance to/ease of access to market; what neighbors do; values?)
5.5. [depending on explanation above, probe:] Do buyers in your region…
5.5.1. Have strong personal relationships with their suppliers?
- If yes: Does your company invest more in building these relationships with suppliers than other buyers in the region?
    - If no: why don't you use it as a way to attract suppliers?

5.5.2. Offer different prices for the same quality of product?

- If yes: does your company offer better prices than your competitors? Does this help you get farmers to sell to you?
  - If no: why don't you use it as a way to attract suppliers?

5.5.3. Ask for different types of quality? (fat cover/genetics/organic/humidity)

- If yes: does your company ask for higher or lower quality than your competitors? Does this help you get farmers to sell to you?

5.5.4. Provide credit to their suppliers?

- If yes: does your company you offer better rates than your competitors? Does this help you get farmers to sell to you?
  - If no: why don't you use it as a way to attract suppliers?

5.5.5. Offer other types of support to their suppliers (e.g. subsidized inputs, pick-up of cattle)? Does this help you get farmers to sell to you?

- If yes: do you offer higher support than your competitors?
  - If no: why don't you use it as a way to attract suppliers?

5.5.6. Provide different types of contracts/purchasing guarantees/are some buyers more reliable than others? (probe: payment terms/delays in payment)

- If yes: do you offer more favorable terms than your competitors?
  - If no: why don't you use it as a way to attract suppliers?

6. Commitment – how implement part 1: requirements

6.1. What do you require of farmers that sell commodities to you? What kinds of documents do you require?
6.2. What kinds of restrictions do you place on farmers that sell commodities to you? (listen for/probe: documents, certifications, behavior such as land clearance or fire…)
6.3. Why? Do you agree with them?
6.4. Do you accept production from farmers who have deforested parts of their property **legally**?

6.5. Is there a cut-off year that you use?
6.6. In your opinion, have such restrictions changed farmers' production and sales behaviors? (Listen/probe for: decrease of burning or deforestation; switch to other buyers, maybe in larger distance; switch to other production; move away; lower profits; capital shortage; less enjoyment of production…)
6.7. How do you feel these restrictions have affected the farmers who sell to you in other ways? How so? (Listen/probe for: worse livelihoods; less enjoyment of production; worse relations in the value chain…)
6.8. In your opinion, have such restrictions changed the make-up of your supply base and your customer base?
6.9. In your opinion have such restrictions caused farmers to leave the region?

7. Commitment – how implement part 2: monitoring (do if ZDC or not, still interesting for legality)

7.1. How do you monitor/identify deforestation on your suppliers' properties? (Listen/probe for: use of geospatial data (coming from HQ?); government-provided data; third-party verifiers [certification], consultants; NGOs…)
7.2. How easy or challenging is it to monitor deforestation at the property level?
7.3. Since your commitment began, how many instances of (illegal) deforestation have you identified on your suppliers' properties?

8. Commitment – how implement part 3: enforcement

8.1. If you find your supplier is breaking the rules (deforestation, documentation or otherwise), what do you do?

8.2. If you exclude the producer, do you exclude them by property (CAR) or by producer (CPF)?

9. Commitment – how implement part. 4: engagement with excluded farmers

9.1. Do you work with farmers who you have taken action against to help them become compliant?
9.2. If so how? Do you have a specific program to do so?
9.3. Does your company have any CSR activities locally? If so, are excluded farmers able to access these?

10. Public policy and civil society support

10.1. Do you engage in any collaborations with governmental actors (municipios?) or non-governmental entities to make the implementation of your supply chain policy easier? (Listen/probe for multi-stakeholder/jurisdictional processes)
10.1.1. If yes: How important is such support to the implementation of this policy? What elements are most helpful? Would you like to see even more cooperation in the future? In what areas?
10.1.2. If no: Do you think such support would make it easier to implement such a policy? How so?
10.2. How do legal restrictions limit your sourcing practices?
10.2.1. If yes: Do they influence your behavior or those of your suppliers? Why?
(listen/probe for: fear of conviction; fear of fine; norms e.g. "it's bad to break the law"; collective norm change - "everybody else is doing it too")
10.2.2. If yes: What do you perceive as more important in shaping your suppliers' behavior, the legal or the buyers' restrictions?
10.3. Are your company policies stricter, the same as, or less stringent than government policy?
10.4. (If less stringent) Does the fact that the government already has more stringent policies reduce the costs to you?

11. Intrinsic values and extrinsic norms

11.1. How would you characterize the attitudes of local farmers toward the environment and environmental conservation?
(listen/probe for: they don't care and just want to expand production; they feel protective of the forest; conservation is for lazy people; etc.)
11.2. Have farmer attitudes changed since you started applying purchasing restrictions?
11.3. Had attitudes already changed? Why? When?
(listen/probe for: Municipio Verde blacklisting; collective norm changes; social influence by peers or family members; education by buyers, …)

12. Opinion

12.1. How do you think your company's forest policy is affecting business?
(Listen/probe for: decrease of available supply; decrease (or increase?) of available quality; need to pay higher prices; need to offer higher incentives; need to go source from farmers…)
12.2. How do you think your company's forest policy is affecting your personal relationships with your suppliers?
12.3. [If they mentioned CSR/outreach activities]: How has the introduction of outreach activities influenced your operating costs?
12.4. Do you think that forest policies as a whole are benefitting or harming the soy/cattle sector of this region?

13. Closing

13.1. Looking forward, what would be your vision for agricultural production in this region be in the future?

13.2. Is there anything else you would like to mention that is relevant to the conversation we just had?

1.3. Brazilian Amazon cattle: Government official / NGO / producer association

1. Background

1.1. What is your name?
1.2. What organization do you work at?
1.3. What is your position at your office?
1.4. Where did you grow up?
1.5. How long have you been working at this office?
1.6. If not local area: Why did you move here?
1.7. Male or female (just note down)

2. Assessment of ZDC existence and incentivization

2.1. Are you aware of sourcing companies in this region that have requirements of farmers that sell commodities to them? What kinds of documents do they usually ask for? (listen for/probe: documents, certifications
2.2. Are you aware of sourcing companies in this region that have restrictions on farmers that sell commodities to them? What kinds of restrictions (listen for/probe: land clearance, fire…)
2.3. In your opinion, have such restrictions changed farmers' production and sales behaviors? (Listen/probe for: decrease of burning or deforestation; switch to other buyers, maybe in larger distance; switch to other production; move away; lower profits; capital shortage; less enjoyment of production…)
2.4. Do you think that these restrictions have affected the farmers in other ways? How so? (Listen/probe for: worse livelihoods; less enjoyment of production; worse relations in the value chain…)
2.5. If compliance is mentioned: In your opinion, why do farmers sell to committed companies rather than non-committed ones?

(listen/probe for: prices/money; other incentives (in-kind support, fair treatment, contract terms, access to credit); relationship with buyer (personal ties); distance to/ease of access to market; what neighbors do; values?)

2.6. What do you think farmers most care about when choosing a soy/cattle buyer? Can you think of incentives that would make farmers more likely to sell to committed companies?
2.7. In your opinion, have such restrictions changed the make-up of companies' supply base or their economic situation? How so?

(Listen/probe for: decrease of available supply; decrease (or increase?) of available quality; need to pay higher prices; need to offer higher incentives; need to go source from farmers…)

3. Assessment of ZDC monitoring and enforcement

3.1. To the best of your knowledge, do sourcing companies monitor deforestation on their suppliers' properties? How? Do you think they monitor too little or too much?

(Listen/probe for: use of geospatial data (coming from HQ?); government-provided data; third-party verifiers [certification], consultants; NGOs…)

3.2. To the best of your knowledge, how do sourcing companies react when they find deforestation on their suppliers' properties?

(Listen/probe for: exclude; engage; exclude then engage; no reaction; …)

3.3. In your opinion, are these measures adequate? Are there better ways in which companies could react?

4. Public policy/civil society support

4.1. Does your organization engage in any collaborations with supply chain actors to make the implementation of your supply chain policy easier?
4.1.1. If yes: How important is such support to the implementation of this policy? What elements are most helpful? Would you like to see even more cooperation in the future? In what areas?

4.1.2. If no: Why not? Do you think such support would make it easier to implement such a policy? How so?

4.2. Are you aware of any legal restrictions that limit the behavior of companies or that of their suppliers? Which ones? [adapt this question depending on the person asked/assumed level of knowledge]

4.2.1. If yes: In your opinion, do they influence the behavior or companies or their suppliers? Why?

(listen/probe for: fear of conviction; fear of fine; norms e.g. "it's bad to break the law"; collective norm change - "everybody else is doing it too")

4.2.2. If yes: What do you perceive as more important in shaping producers' behavior, the legal or the buyers' restrictions?

5. Intrinsic values and extrinsic norms

5.1. How would you characterize the attitudes of local farmers toward the environment and environmental conservation?

(listen/probe for: they don't care and just want to expand production; they feel protective of the forest; conservation is for lazy people; etc.)

5.2. Have farmer attitudes changed since companies started applying purchasing restrictions?

5.3. Had attitudes already changed? Why? When?

(listen/probe for: Municipio Verde blacklisting; collective norm changes; social influence by peers or family members; education by buyers, …)

6. Opinion

6.1. How do you think companies' forest policies are affecting the soy/cattle sector of this region? How are they affecting the regional economy as a whole?

6.2. How do you think companies' forest policies are affecting the environment in the region?

6.3. If you could change something about companies' forest policies, what would it be?

7. Closing:

7.1. Looking forward, what would be your vision for agricultural production in this region be in the future?

7.2. Is there anything else you would like to mention that is relevant to the conversation we just had?

2. Brazilian Amazon soy interview guide

Block 01: Historical process referring to the Soy Moratorium in the Amazon

1. Did your organization/did you follow the process of negotiating the Soy Moratorium in the Amazon commitment?
    1.1. If so: Can you tell me about the Soy Moratorium negotiation process?
    1.2. If not: How did you participate in the Soy Moratorium?
2. What were the pivotal moments in the decision-making process?
3. What were the main conditions that led to the agreement and the implementation of the Soy Moratorium in the Amazon being consolidated?
4. What role did your organization play in the negotiations and why?
5. Were there internal disagreements among participants and/or support for the Moratorium? What were the topics and why? Are there still disagreements?
6. What was the national political context like at that negotiation? To what extent did this context influence the decision?
7. How did the international context of the soybean market influence the decision? Why?
8. How has the governance of the moratorium evolved? Why?
9. Why was there no Moratorium for the Cerrado at that time and up to now?

Block 02: Historical process negotiations of sustainability policies in the Cerrado

1. Is there any sectoral sustainability policy for the Cerrado? If yes: Which one?
2. Did your organization/did you participate in creating the Cerrado Working Group?
    2.1. If yes: Can you tell me why it was created?
    2.2. If No: Have you participated in the GTC at any point since its inception? Which? Why did you participate?
3. What were/are the priorities established in the GTC? And what were/are your organization's priorities for the GTC?
4. Were there internal disagreements, in your organization, in participating and/or supporting the GTC? What were they and why? Are there still disagreements?
5. Do you still participate in the GTC?
6. What was the political context like at that moment of negotiation for the formation of the GTC? And how have the most recent political developments influenced the positioning of actors/organizations?
7. How did the international context of the soybean market influence the decision? Why?

Block 03: Actors participating in the Soy Moratorium in the Amazon

1. Who and which organizations were present during the Soy Moratorium negotiations in the Amazon?
2. Who dropped out of the process and why?
3. Who were the leaders of this process?
4. Who got in the middle of the process and why?

Block 04: Actors participating in the Cerrado Agreement negotiations

1. Who and which organizations were present during the process of creating the GTC?
2. Who were the leaders of this process?
3. Who is still present at the GTC? And who got in the middle of the process?
4. Who left the GTC, and why?

3. Indonesian palm oil interview guides

3.1 Indonesian palm oil: Buyer (retailer / manufacturer)

1. Background

1.1. What is your name? [or fill in previously]
1.2. What is your position at your company? [or fill in previously]
1.3. Have you ever been interviewed as part in a research project?
1.4. How long have you been working in this industry?
1.5. How long have you been working at this company?
1.6. Male or female (just note down)

2. Company information (try to fill out beforehand based on collected information)

2.1. How much palm oil do you source on a yearly basis?
2.2. Who are your main suppliers?
2.3. Do you buy from different countries?
2.4. If so, which countries?

3. Ease of finding suppliers

3.1. Is it easy to obtain the production you need/want? (listen/probe for: market share of various buyers; levels of competition; distance suppliers are willing to travel to find buyers)
3.2. Has it always been so easy?
3.3. If no, what has changed?
3.4. If no, when did it change?
3.5. Did the change in ease in obtaining production volumes occur for other as well? Why?
3.6. Do you anticipate that it will become easier or harder to obtain sufficient production for your purposes in the future? Why?

4. Ease of selling production onward

4.1. [For manufacturers] Is it easy to sell your output onwards? (listen/probe for: market share of various buyers; existence of various export markets; levels of competition; requirements by multinational buyers)
4.2. Has it always been so easy/difficult?
- If no, what has changed?
- If no, when did it change?

4.3. Do you anticipate that it will become easier or harder to sell the output of your company in the future? Why?

5. Assurance of supply base

5.1. Does your company normally seek out suppliers to buy from or do they seek you out?
5.2. If you seek: How do you choose the suppliers you are buying from?
5.3. If you seek: How do you enter in contact with them?
5.4. If they seek: How does your company get suppliers to sell to you and not your competitors?

(listen/probe for: prices/money; other incentives (in-kind support, fair treatment, contract terms, access to credit); personal relationship with buyer (personal ties); distance to/ease of access to market; what neighbors do; values?)

5.5. [depending on explanation above, probe:] Do buyers in your position of the value chain…
5.5.1. Have strong personal relationships with their suppliers?
- If yes: Does your company invest more in building these relationships with suppliers than other buyers in the region?
  - If no: why don't you use it as a way to attract suppliers?

5.5.2. Offer different prices for the same quality of product?

- If yes: does your company offer better prices than your competitors? Does this help you get farmers to sell to you?
  - If no: why don’t you use it as a way to attract suppliers?

5.5.3. Ask for different types of quality? (fat cover/genetics/organic/humidity)
- If yes: does your company ask for higher or lower quality than your competitors? Does this help you get farmers to sell to you?

5.5.4. Provide credit to their suppliers?
- If yes: does your company offer better rates than your competitors? Does this help you get farmers to sell to you?
  - If no: why don’t you use it as a way to attract suppliers?

5.5.5. Offer other types of support to their suppliers (e.g. subsidized inputs, pick-up of cattle)? Does this help you get farmers to sell to you?
- If yes: do you offer higher support than your competitors?
  - If no: why don’t you use it as a way to attract suppliers?

5.5.6. Provide different types of contracts/purchasing guarantees/are some buyers more reliable than others? (probe: payment terms/delays in payment)
- If yes: do you offer more favorable terms than your competitors?
  - If no: why don’t you use it as a way to attract suppliers?

6. Commitment – how implement part 1: requirements

6.1. What do you require of suppliers that sell commodities to you? What kinds of documents do you require?
6.2. What kinds of restrictions do you place on suppliers that sell commodities to you? (listen for/probe: documents, certifications, behavior such as land clearance or fire…)
6.3. Do you accept production from farmers who have deforested parts of their property **legally**?
6.4. Is there a cut-off year that you use?
6.5. In your opinion, have such restrictions changed farmers’ production and sales behaviors? (Listen/probe for: decrease of burning or deforestation; switch to other buyers, maybe in larger distance; switch to other production; move away; lower profits; capital shortage; less enjoyment of production…)
6.6. How do you feel these restrictions have affected the suppliers who sell to you in other ways? How so? (Listen/probe for: worse livelihoods; less enjoyment of production; worse relations in the value chain…)
6.7. In your opinion, have such restrictions changed the make-up of your supply base and your customer base?
6.8. In your opinion have such restrictions caused farmers to leave the regions you source from?

7. Commitment – how implement part 2: monitoring (do if ZDC or not, still interesting for legality)

7.1. How do you monitor/identify deforestation on your suppliers’ properties? (Listen/probe for: use of geospatial data (coming from HQ?); government-provided data; third-party verifiers [certification], consultants; NGOs…)
7.2. How easy or challenging is it to monitor deforestation at the property level?
7.3. Since your commitment began, how many instances of (illegal) deforestation have you identified on your suppliers’ properties?

8. Commitment – how implement part 3: enforcement

8.1. If you find your supplier is breaking the rules (deforestation, documentation or otherwise), what do you do?

9. Commitment – how implement part 4: engagement with excluded farmers

9.1. Do you work with farmers who you have taken action against to help them become compliant?
9.2. If so how? Do you have a specific program to do so?
9.3. Does your company have any CSR activities locally? If so, are excluded farmers able to access these?

10. Public policy and civil society support

10.1. Do you engage in any collaborations with governmental actors (municipios?) or non-governmental entities to make the implementation of your supply chain policy easier? (Listen/probe for multi-stakeholder/jurisdictional processes)
10.1.1. If yes: How important is such support to the implementation of this policy? What elements are most helpful? Would you like to see even more cooperation in the future? In what areas?
10.1.2. If no: Do you think such support would make it easier to implement such a policy? How so?
10.2. How do legal restrictions limit your sourcing practices?
10.2.1. If yes: Do they influence your behavior or those of your suppliers? Why?
(listen/probe for: fear of conviction; fear of fine; norms e.g. "it's bad to break the law"; collective norm change - "everybody else is doing it too")
10.2.2. If yes: What do you perceive as more important in shaping your suppliers' behavior, the legal or the buyers' restrictions?
10.3. Are your company policies stricter, the same as, or less stringent than government policy?
10.4. (If less stringent) Does the fact that the government already has more stringent policies reduce the costs to you?

11. Intrinsic values and extrinsic norms

11.1. How would you characterize the attitudes of local farmers toward the environment and environmental conservation?
(listen/probe for: they don't care and just want to expand production; they feel protective of the forest; conservation is for lazy people; etc.)
11.2. Have farmer attitudes changed since you started applying purchasing restrictions?
11.3. Had attitudes already changed? Why? When?
(listen/probe for: collective norm changes; social influence by peers or family members; education by buyers, …)

12. Opinion

12.1. How do you think your company's forest policy is affecting business?
(Listen/probe for: decrease of available supply; decrease (or increase?) of available quality; need to pay higher prices; need to offer higher incentives; need to go source from farmers…)
12.2. How do you think your company's forest policy is affecting your personal relationships with your suppliers?
12.3. [If they mentioned CSR/outreach activities]: How has the introduction of outreach activities influenced your operating costs?
12.4. Do you think that forest policies as a whole are benefitting or harming the soy/cattle sector of this region?

13. Closing

13.1. Looking forward, what would be your vision for agricultural production in this supply chain be in the future?
13.2. Is there anything else you would like to mention that is relevant to the conversation we just had?

3.2 Indonesian palm oil: Buyer (trader / Large Integrated Supply chain Company [LISC])

1. Background

1.1. What is your name? [or fill in previously]
1.2. What is your position at your company? [or fill in previously]
1.3. Have you ever been interviewed as part in a research project?
1.4. How long have you been working in this industry?
1.5. How long have you been working at this company?
1.6. Male or female (just note down)

2. Company information

2.1. When did this facility open?
2.2. How much production can you process?
2.3. Who are your main buyers? (probe/follow-up: what sector are these companies in?)
2.4. Do you sell internationally?
2.5. If so, which countries?

3. Ease of finding suppliers

3.1. Is your mill/slaughterhouse at capacity?
3.2. Is it easy to obtain the production you need/want? (listen/probe for: market share of various buyers; levels of competition; distance suppliers are willing to travel to find buyers)
3.3. Has it always been so easy?
3.4. If no, what has changed?
3.5. If no, when did it change?
3.6. Did the change in ease in obtaining production volumes occur for other as well? Why?
3.7. Do you anticipate that it will become easier or harder to obtain sufficient production for your mill/slaughterhouse in the future? Why?

4. Ease of selling production onward

4.1. Is it easy to sell your output onwards? (listen/probe for: market share of various buyers; existence of various export markets; levels of competition; requirements by multinational buyers)
4.2. Has it always been so easy/difficult?
4.3. If no, what has changed?
4.4. If no, when did it change?
4.5. Do you anticipate that it will become easier or harder to sell the output of your mill/slaughterhouse in the future? Why?

5. Assurance of supply base

5.1. Does your company normally seek out producers to buy from or do they seek you out?
5.2. If you seek: How do you choose the farmers you are buying from?
5.3. If you seek: How do you enter in contact with them?
5.4. If they seek: How does your company get farmers to sell to you and not your competitors? (listen/probe for: prices/money; other incentives (in-kind support, fair treatment, contract terms, access to credit); personal relationship with buyer (personal ties); distance to/ease of access to market; what neighbors do; values?)
5.5. [depending on explanation above, probe:] Do buyers in your region…
  5.5.1. Have strong personal relationships with their suppliers?
    - If yes: Does your company invest more in building these relationships with suppliers than other buyers in the region?
      - If no: why don't you use it as a way to attract suppliers?
  5.5.2. Offer different prices for the same quality of product?
    - If yes: does your company offer better prices than your competitors? Does this help you get farmers to sell to you?

- If no: why don't you use it as a way to attract suppliers?

5.5.3. Ask for different types of quality? (fat cover/genetics/organic/humidity)
- If yes: does your company ask for higher or lower quality than your competitors? Does this help you get farmers to sell to you?

5.5.4. Provide credit to their suppliers?
- If yes: does your company you offer better rates than your competitors? Does this help you get farmers to sell to you?
  - If no: why don't you use it as a way to attract suppliers?

5.5.5. Offer other types of support to their suppliers (e.g. subsidized inputs, pick-up of cattle)? Does this help you get farmers to sell to you?
- If yes: do you offer higher support than your competitors?
  - If no: why don't you use it as a way to attract suppliers?

5.5.6. Provide different types of contracts/purchasing guarantees/are some buyers more reliable than others? (probe: payment terms/delays in payment)
- If yes: do you offer more favorable terms than your competitors?
  - If no: why don't you use it as a way to attract suppliers?

6. Commitment – how implement part 1: requirements

6.1. What do you require of farmers that sell commodities to you? What kinds of documents do you require?
6.2. What kinds of restrictions do you place on farmers that sell commodities to you? (listen for/probe: documents, certifications, behavior such as land clearance or fire…)
6.3. Why? Do you agree with them?
6.4. Do you accept production from farmers who have deforested parts of their property **legally**?
6.5. Is there a cut-off year that you use?
6.6. In your opinion, have such restrictions changed farmers' production and sales behaviors? (Listen/probe for: decrease of burning or deforestation; switch to other buyers, maybe in larger distance; switch to other production; move away; lower profits; capital shortage; less enjoyment of production…)
6.7. How do you feel these restrictions have affected the farmers who sell to you in other ways? How so? (Listen/probe for: worse livelihoods; less enjoyment of production; worse relations in the value chain…)
6.8. In your opinion, have such restrictions changed the make-up of your supply base and your customer base?
6.9. In your opinion have such restrictions caused farmers to leave the region?

7. Commitment – how implement part 2: monitoring (do if ZDC or not, still interesting for legality)

7.1. How do you monitor/identify deforestation on your suppliers' properties? (Listen/probe for: use of geospatial data (coming from HQ?); government-provided data; third-party verifiers [certification], consultants; NGOs…)
7.2. How easy or challenging is it to monitor deforestation at the property level?
7.3. Since your commitment began, how many instances of (illegal) deforestation have you identified on your suppliers' properties?

8. Commitment – how implement part 3: enforcement

8.1. If you find your supplier is breaking the rules (deforestation, documentation or otherwise), what do you do?
8.2. If you exclude the producer, do you exclude them by property (CAR) or by producer (CPF)?

9. Commitment – how implement part 4: engagement with excluded farmers

9.1. Do you work with farmers who you have taken action against to help them become compliant?
9.2. If so how? Do you have a specific program to do so?
9.3. Does your company have any CSR activities locally? If so, are excluded farmers able to access these?

10. Public policy and civil society support

10.1. Do you engage in any collaborations with governmental actors (municipios?) or non-governmental entities to make the implementation of your supply chain policy easier? (Listen/probe for multi-stakeholder/jurisdictional processes)
10.1.1. If yes: How important is such support to the implementation of this policy? What elements are most helpful? Would you like to see even more cooperation in the future? In what areas?
10.1.2. If no: Do you think such support would make it easier to implement such a policy? How so?
10.2. How do legal restrictions limit your sourcing practices?
10.2.1. If yes: Do they influence your behavior or those of your suppliers? Why?
(listen/probe for: fear of conviction; fear of fine; norms e.g. "it's bad to break the law"; collective norm change - "everybody else is doing it too")
10.2.2. If yes: What do you perceive as more important in shaping your suppliers' behavior, the legal or the buyers' restrictions?
10.3. Are your company policies stricter, the same as, or less stringent than government policy?
10.4. (If less stringent) Does the fact that the government already has more stringent policies reduce the costs to you?

11. Intrinsic values and extrinsic norms

11.1. How would you characterize the attitudes of local farmers toward the environment and environmental conservation?
(listen/probe for: they don't care and just want to expand production; they feel protective of the forest; conservation is for lazy people; etc.)
11.2. Have farmer attitudes changed since you started applying purchasing restrictions?
11.3. Had attitudes already changed? Why? When?
(listen/probe for collective norm changes; social influence by peers or family members; education by buyers, …)

12. Opinion

12.1. How do you think your company's forest policy is affecting business?
(Listen/probe for: decrease of available supply; decrease (or increase?) of available quality; need to pay higher prices; need to offer higher incentives; need to go source from farmers…)
12.2. How do you think your company's forest policy is affecting your personal relationships with your suppliers?
12.3. [If they mentioned CSR/outreach activities]: How has the introduction of outreach activities influenced your operating costs?
12.4. Do you think that forest policies as a whole are benefitting or harming the soy/cattle sector of this region?

13. Closing

13.1. Looking forward, what would be your vision for agricultural production in this region be in the future?
13.2. Is there anything else you would like to mention that is relevant to the conversation we just had?

 Return to interview guide contents

3.3 Indonesian palm oil: Intermediary (palm oil mill / trader)

1. Background

1.1. What is your name? [or fill in previously]
1.2. What is your position at your company? [or fill in previously]
1.3. Have you ever been interviewed as part in a research project?
1.4. How long have you been working in this industry?
1.5. How long have you been working at this company?
1.6. Male or female (just note down)

2. Company information

2.1. When did this facility open?
2.2. How much production can you process?
2.3. Who are your main buyers? (probe/follow-up: what sector are these companies in?)
2.4. Do you sell internationally?
2.5. If so, which countries?

3. Ease of finding suppliers

3.1. Is your mill at capacity?
3.2. Is it easy to obtain the production you need/want? (listen/probe for: market share of various buyers; levels of competition; distance suppliers are willing to travel to find buyers)
3.3. Has it always been so easy?
3.4. If no, what has changed?
3.5. If no, when did it change?
3.6. Did the change in ease in obtaining production volumes occur for other as well? Why?
3.7. Do you anticipate that it will become easier or harder to obtain sufficient production for your mill in the future? Why?

4. Ease of selling production onward

4.1. Is it easy to sell your output onwards? (listen/probe for: market share of various buyers; existence of various export markets; levels of competition; requirements by multinational buyers)
4.2. Has it always been so easy/difficult?
4.3. If no, what has changed?
4.4. If no, when did it change?
4.5. Do you anticipate that it will become easier or harder to sell the output of your mill/slaughterhouse in the future? Why?

5. Assurance of supply base

5.1. Does your company normally seek out producers to buy from or do they seek you out?
5.2. If you seek: How do you choose the farmers you are buying from?
5.3. If you seek: How do you enter in contact with them?
5.4. If they seek: How does your company get farmers to sell to you and not your competitors? (listen/probe for: prices/money; other incentives (in-kind support, fair treatment, contract terms, access to credit); personal relationship with buyer (personal ties); distance to/ease of access to market; what neighbors do; values?)
5.5. [depending on explanation above, probe:] Do buyers in your region…
  5.5.1. Have strong personal relationships with their suppliers?
    - If yes: Does your company invest more in building these relationships with suppliers than other buyers in the region?
      - If no: why don't you use it as a way to attract suppliers?
  5.5.2. Offer different prices for the same quality of product?

- If yes: does your company offer better prices than your competitors? Does this help you get farmers to sell to you?
  - If no: why don't you use it as a way to attract suppliers?

5.5.3. Ask for different types of quality? (fat cover/genetics/organic/humidity)

- If yes: does your company ask for higher or lower quality than your competitors? Does this help you get farmers to sell to you?

5.5.4. Provide credit to their suppliers?

- If yes: does your company you offer better rates than your competitors? Does this help you get farmers to sell to you?
  - If no: why don't you use it as a way to attract suppliers?

5.5.5. Offer other types of support to their suppliers (e.g. subsidized inputs, pick-up of cattle)? Does this help you get farmers to sell to you?

- If yes: do you offer higher support than your competitors?
  - If no: why don't you use it as a way to attract suppliers?

5.5.6. Provide different types of contracts/purchasing guarantees/are some buyers more reliable than others? (probe: payment terms/delays in payment)

- If yes: do you offer more favorable terms than your competitors?
  - If no: why don't you use it as a way to attract suppliers?

6. Commitment – how implement part 1: requirements

6.1. What do you require of farmers that sell commodities to you? What kinds of documents do you require?

6.2. What kinds of restrictions do you place on farmers that sell commodities to you? (listen for/probe: documents, certifications, behavior such as land clearance or fire…)

6.3. Do you accept production from farmers who have deforested parts of their property **legally**?

6.4. Is there a cut-off year that you use?

6.5. In your opinion, have such restrictions changed farmers' production and sales behaviors? (Listen/probe for: decrease of burning or deforestation; switch to other buyers, maybe in larger distance; switch to other production; move away; lower profits; capital shortage; less enjoyment of production…)

6.6. How do you feel these restrictions have affected the farmers who sell to you in other ways? How so? (Listen/probe for: worse livelihoods; less enjoyment of production; worse relations in the value chain…)

6.7. In your opinion, have such restrictions changed the make-up of your supply base and your customer base?

6.8. In your opinion have such restrictions caused farmers to leave the region?

7. Commitment – how implement part 2: monitoring (do if ZDC or not, still interesting for legality)

7.1. How do you monitor/identify deforestation on your suppliers' properties? (Listen/probe for: use of geospatial data (coming from HQ?); government-provided data; third-party verifiers [certification], consultants; NGOs…)

7.2. How easy or challenging is it to monitor deforestation at the property level?

7.3. Since your commitment began, how many instances of (illegal) deforestation have you identified on your suppliers' properties?

8. Commitment – how implement part 3: enforcement

8.1. If you find your supplier is breaking the rules (deforestation, documentation or otherwise), what do you do?

9. Commitment – how implement part 4: engagement with excluded farmers

9.1. Do you work with farmers who you have taken action against to help them become compliant?

9.2. If so how? Do you have a specific program to do so?

9.3. Does your company have any CSR activities locally? If so, are excluded farmers able to access these?

10. Public policy and civil society support

10.1. Do you engage in any collaborations with governmental actors or non-governmental entities to make the implementation of your supply chain policy easier? (Listen/probe for multi-stakeholder/jurisdictional processes)

10.1.1. If yes: How important is such support to the implementation of this policy? What elements are most helpful? Would you like to see even more cooperation in the future? In what areas?

10.1.2. If no: Do you think such support would make it easier to implement such a policy? How so?

10.2. How do legal restrictions limit your sourcing practices?

10.2.1. If yes: Do they influence your behavior or those of your suppliers? Why?

(listen/probe for: fear of conviction; fear of fine; norms e.g. "it's bad to break the law"; collective norm change - "everybody else is doing it too")

10.2.2. If yes: What do you perceive as more important in shaping your suppliers' behavior, the legal or the buyers' restrictions?

10.3. Are your company policies stricter, the same as, or less stringent than government policy?

10.4. (If less stringent) Does the fact that the government already has more stringent policies reduce the costs to you?

11. Intrinsic values and extrinsic norms

11.1. How would you characterize the attitudes of local farmers toward the environment and environmental conservation?

(listen/probe for: they don't care and just want to expand production; they feel protective of the forest; conservation is for lazy people; etc.)

11.2. Have farmer attitudes changed since you started applying purchasing restrictions?

11.3. Had attitudes already changed? Why? When?

(listen/probe for: collective norm changes; social influence by peers or family members; education by buyers, …)

12. Opinion

12.1. How do you think your company's forest policy is affecting business?

(Listen/probe for: decrease of available supply; decrease (or increase?) of available quality; need to pay higher prices; need to offer higher incentives; need to go source from farmers…)

12.2. How do you think your company's forest policy is affecting your personal relationships with your suppliers?

12.3. [If they mentioned CSR/outreach activities]: How has the introduction of outreach activities influenced your operating costs?

12.4. Do you think that forest policies as a whole are benefitting or harming the soy/cattle sector of this region?

13. Closing

13.1. Looking forward, what would be your vision for agricultural production in this region be in the future?

13.2. Is there anything else you would like to mention that is relevant to the conversation we just had?

3.4 Indonesian palm oil: Producer (grower / farmer)

1. **Background**
    1.1. What is your name?
    1.2. How old are you?
    1.3. Where did you grow up?
        1.3.1. If not local area: Why did you move here?
    1.4. Have you ever participated in a research project before?
    1.5. How long have you been working in farming?
    1.6. How long have you had this farm?
    1.7. Male or female (just note down)
    1.8. What is your religion?
    1.9. How many properties do you have?
    1.10. For each property: (make sure to note if some properties cattle is raised to be sent to another farm owned by same person)

Name	Muni/UF	Area	Produce	Who do you sell to?

2. Ease of finding sellers
    2.1. Is it easy to find a buyer for your production?

(listen/probe for: market share of various buyers; levels of competition among buyers; distance willing to travel to find buyers)

    2.2. Has it always been so easy/difficult (depending on answer above)?
        2.2.1. If no, what has changed? -> if they mention ZDCs here, jump right to Q 5 to avoid duplications
        2.2.2. When did it change?
        2.2.3. And why?
        2.2.4. How did you react to these changes?

(listen/probe for: adjustment to market requirements re: compliance, quality, legality; expand distance willing to travel; expand into other types of production)

    2.3. Do you anticipate that it will become easier or harder to find a buyer for your production in the future? Why?

3. **Choice of buyer**
    3.1. Why did you choose to sell to the buyers that you are currently selling to?

(listen/probe for: prices/money; other incentives (in-kind support, fair treatment, contract terms, access to credit); relationship with buyer (personal ties); distance to/ease of access to market; what neighbors do; norms, habits, values, what heuristics do they use)

    3.2. [depending on explanation above, probe:] Do you have a close personal relationship with any of the buyers?
    3.3. Do the buyers in your region…
        3.3.1. Offer different prices for the same quality of product?
            - If yes: does your buyer offer better prices than competitors?
        3.3.2. Ask for different types of quality?
            - If yes: does your buyer ask for higher or lower quality than competitors?
        3.3.3. Provide credit to their suppliers?
            - If yes: does your buyer offer better rates than competitors?
        3.3.4. Offer other types of support to their suppliers (e.g. subsidized inputs, pick-up of cattle)?

- If yes: does your buyer offer higher support than competitors?

3.3.5. Provide different types of contracts/purchasing guarantees/are some buyers more reliable than others?

- If yes: is your buyer more reliable than competitors?

If no to any of the above: why don't you sell to others?

4. Commitment – requirement awareness/ satisfaction

4.1. Do buyers in your region have any requirements or place any kinds of restrictions on the types of products you can sell to them? What are they?
4.2. Are there any differences between buyers?
4.3. Has this changed over time? If so, when?
4.4. Do you sell to such buyers?

- If yes: Why do you accept such restrictions to keep selling to them?
- If yes: Has it been difficult to adapt to such restrictions? Why?
- If yes: What would need to change to make it easier to adapt to such restrictions?
- If yes: Would you say that such restrictions are an economic opportunity for you?
- If yes: Do you make more money with your current buyer than with others?
- If yes: Do you agree with such criteria?

- If no: Why don't you sell to such buyers?
- If no: What would need to change for you to sell to such buyers?
- If no: Has the introduction of these restrictions affected your ability to sell your product under advantageous conditions?
- If no: Do you feel excluded or marginalized by such restrictions?
- If no: Do you disagree with such criteria? Do you think they are fair?

4.5. Do many people in your social circle sell to such buyers?
4.5.1. Why do you think this is so? How did that happen?
4.5.2. Did that change how they produce?
4.5.3. Would you say anything else changed after they started selling to them?
4.6. In your opinion, have such restrictions changed farmers' production and sales behaviors? How so? (Listen/probe for: decrease of burning or deforestation; switch to other buyers, maybe in larger distance; switch to other production; move away; lower profits; capital shortage; …)
4.7. Have such restrictions changed farmers' in other ways? How so? (Listen/probe for: worse livelihoods; less enjoyment of production; worse relations in the value chain…)
4.8. In your opinion have such restrictions caused farmers to leave the region?

5. [if they sell to buyers with restrictions:] Commitment – monitoring and enforcement

5.1. Has your property ever been inspected by a buyer? Have you heard of others who have been inspected?

- If yes to either: When, by whom and how often?
- If yes to either: Did this have an effect on your behavior/farming practices or (if inspected directly) your ability to sell your product?
- If no: Do you think it is likely that you will be inspected in the future? Does this affect your behavior/farming practices?

5.2. Have you ever been prevented from selling your production due to a lack of documentation or due to other restrictions (as discussed above)?

- If yes: What did you do?
- If yes: Where there options the company offered to help you achieve documentation (or fulfill other requirements)?
- If no: Do you think it is likely that you will be prevented from selling in the future? Does this affect your behavior/farming practices?

5.3. Do you have any other agreement with your buyers that you did not mention yet? For how long has it been so? If it changed, why did it change?

6. Public policy support

6.1. Have you received support by the government to fulfill the requirements of your buyer?
- If yes: How important was such support to your participation?
- If no: Do you think such support would have made it easier/convinced you to participate?

6.2. Are the government forest policies stricter, the same as, or less stringent the company policies?
- Which one has a greater effect on your decisions? Why?

(listen/probe for: fear of conviction; fear of fine; norms e.g. "it's bad to break the law"; collective norm change - "everybody else is doing it too")

7. Closing:

7.1. Looking forward, what would be your vision for your farm in the next ten years?

7.2. Is there anything else you would like to mention that is relevant to the conversation we just had?

3.5 Indonesian palm oil: Government official / NGO / producer association

1. Background

1.1. What is your name? [or fill in previously]
1.2. What organization do you work at? [or fill in previously]
1.3. What is your position at your office? [or fill in previously]
1.4. How long have you been working at this office?
1.5. Male or female (just note down)

2. Assessment of ZDC existence and incentivization

2.1. On the basis of your organization's research and perspective, please describe your impression of the current state of ZDC implementation. I am particularly interested in the types of strategies that companies use to fulfill their commitments, as well as challenges and best practices to overcome such challenges on the ground, and future trends in this area. (listen for/probe: RSPO (identity preserved, segregated, P&C 2018), sourcing codes, jurisdictional approaches, within-supply chain versus sectoral initiatives)
2.2. [Are you aware of sourcing companies in this region that have requirements of farmers that sell palm oil FFBs to them? What kinds of documents do they usually ask for? (listen for/probe: documents, certifications
2.3. Are you aware of sourcing companies in this region that have restrictions on farmers that sell palm oil FFBs to them? What kinds of restrictions (listen for/probe: land clearance, fire…)]
2.4. In your opinion, have such restrictions changed farmers' production and sales behaviors? (Listen/probe for: decrease of burning or deforestation; switch to other buyers, maybe in larger distance; switch to other production; move away; lower profits; capital shortage; less enjoyment of production…)
2.5. Do you think that these restrictions have affected the farmers in other ways? How so? (Listen/probe for: worse livelihoods; less enjoyment of production; worse relations in the value chain…)
2.6. If compliance is mentioned: In your opinion, why do farmers sell to committed companies rather than non-committed ones?

(listen/probe for: prices/money; other incentives (in-kind support, fair treatment, contract terms, access to credit); relationship with buyer (personal ties); distance to/ease of access to market; what neighbors do; values?)

2.7. What do you think farmers most care about when choosing a palm oil buyer? Can you think of incentives that would make farmers more likely to sell to committed companies?
2.8. In your opinion, have such restrictions changed the make-up of companies' supply base or their economic situation? How so? In your opinion, have such restrictions caused farmers to leave the region?

(Listen/probe for: decrease of available supply; decrease (or increase?) of available quality; need to pay higher prices; need to offer higher incentives; need to go source from farmers…)

3. Assessment of ZDC monitoring and enforcement

3.1. To the best of your knowledge, do sourcing companies monitor deforestation on their suppliers' properties? How? Do you think they monitor too little or too much?

(Listen/probe for: use of geospatial data (coming from HQ?); government-provided data; third-party verifiers [certification], consultants; NGOs…)

3.2. To the best of your knowledge, how do sourcing companies react when they find deforestation on their suppliers' properties?

(Listen/probe for: exclude; engage; exclude then engage; no reaction; …)

3.3. In your opinion, are these measures adequate? Are there better ways in which companies could react?

4. Assessment of credibility of ZDCs

4.1. In your opinion, are corporate commitments useful tools to make the sector more sustainable? How does your organization react to the non-achievement of commitments?

5. Public policy/civil society support

5.1. Does your organization engage in any collaborations with supply chain actors to make the implementation of their supply chain policy easier?

5.1.1. If yes: How important is such support to the implementation of this policy? What elements are most helpful? Would you like to see even more cooperation in the future? In what areas?

5.1.2. If no: Why not? Do you think such support would make it easier to implement such a policy? How so?

5.2. Are you aware of any legal restrictions that limit the behavior of companies or that of their suppliers? Which ones? [adapt this question depending on the person asked/assumed level of knowledge]

5.2.1. If yes: In your opinion, do they influence the behavior or companies or their suppliers? Why?

(listen/probe for: fear of conviction; fear of fine; norms e.g. "it's bad to break the law"; collective norm change - "everybody else is doing it too")

5.2.2. If yes: What do you perceive as more important in shaping producers' behavior, the legal or the buyers' restrictions?

6. Intrinsic values and extrinsic norms

6.1. How would you characterize the attitudes of local farmers toward the environment and environmental conservation?

(listen/probe for: they don't care and just want to expand production; they feel protective of the forest; conservation is for lazy people; etc.)

6.2. Have farmer attitudes changed since companies started applying purchasing restrictions?

6.3. Had attitudes already changed? Why? When?

(listen/probe for: collective norm changes; social influence by peers or family members; education by buyers, …)

7. Opinion

7.1. How do you think companies' forest policies are affecting the palm oil sector of this region? How are they affecting the regional economy as a whole?

7.2. How do you think companies' forest policies are affecting the environment in the region?

7.3. If you could change something about companies' forest policies, what would it be?

8. Closing:

8.1. Looking forward, what would be your vision for agricultural production in this region be in the future?

8.2. Is there anything else you would like to mention that is relevant to the conversation we just had?

8.3. Is there anybody else you would recommend that I talk to about these questions?

8.4. Possibility to access data/information that we talked about?

3.6 Indonesian palm oil: Focus Group Discussion (FGD) guide

Introductory questions – forest, community values, norms, and cultures

On forests and land use motivations and behaviors:

1. What is on your mind when you think about forests?
2. How does the forest impact your community's well-being? [spiritual or religious belief, cultural [adat or customary land], basic needs [fresh air, water, food, alternative livelihood], disaster prevention, etc.)
3. Are there any community rules or beliefs related to forests and how forests are used?

Transitioning to ZDCs:

4. A word or image that comes into your mind when you think about private (or company)-led sustainable initiatives in the palm oil sector?

On sustainability initiatives:

5. Can you tell us briefly about your or your group's experiences with any sustainable initiatives introduced or initiated by companies in the palm oil sector in the past 5 years?
    a. Can you identify the companies or mill companies that are linked to the initiative you or your group have participated in the past 5 years?

On restrictions and rules:

6. Can you tell us briefly about your or your group's experiences with any restrictions or rules introduced by private companies (or mills or your buyers) in the past 5 years?
    a. What are the restrictions or rules that affect you or your group?
    b. Can you identify the companies or mill companies that are linked to restrictions or rules you or your group have been affected by in the past 5 years?
7. What motivates you or your community to involve in any sustainable initiatives or compliance? [can be financial, environmental (water, disaster, climate change), etc.]
8. Do you have any community rules/expectations about the sustainability of community members' practices?

Key questions 1 – IF the participants have experience or are knowledgeable in ZDCs, otherwise move to 'key questions 2'

On policy preparation and adoption:

1. What were the most important issues that you encountered in regards to the private-led sustainability initiatives?
2. What were the most important issues that your group encountered in regards to the private-led sustainability initiatives? [1]
3. What were the main challenges that you or your group encountered when being affected by the restrictions or rules introduced by the companies?
4. What are the supports or options or alternatives (if any) available for you or your group in order to solve the issues ? please explain.
    a. What were the constraints you face when trying to obtain such supports or alternatives?

Key questions 2 – IF the participants have NO experience or are NOT knowledgeable in ZDCs, otherwise skip.

[moderator will then provide a hypothetical case]

5. Imagine that there is a sustainability initiative introduced by a company in your district. This initiative may provide benefits for you. However, whether or not you will be part of the initiative is unclear. In this situation, what would be the most important things the company should consider to make sure that the initiative is inclusive to you and your community?

[1] Pay attention to exclusion issues, if there was any group members who could not participate in the initiatives.

6. Imagine that there are some rules and restrictions introduced by a company in your district. This rules and restrictions may provide benefits for you, however, may also become a challenge for you. The challenge, for example, if your plot does not have clear land title, or located in the forest, then you will be imposed with some restrictions. In this situation, what would be the most important things the company should consider when applying this restrictions or rules to you and your community?

Key questions – all participants

On policy improvements (operationalization, monitoring, and enforcement):

7. How do you think those issues and barriers you or your community (may) face can be solved?
8. What do you think can be done to improve the existing initiatives, restrictions, or rules? (possible answers: facilitation, trainings, subsidies, so on)
9. What are the supports or alternatives that can improve your or your group's access to involve in sustainability initiatives or compliance?
10. Are there any mechanisms or procedures from the companies that could help you voice your opinions, issues, or suggestions? Please explain.
11. What do you think can be done by the companies to better integrate you and your community in sustainable initiatives and compliance? [expectations]
12. What do you think can be done by the companies to improve the reporting mechanisms?

Closing questions

13. Is there anything else that anyone feels that we should have talked about but didn't?

4. West African cocoa: Côte d'Ivoire interview guides

4.1 West African cocoa: Côte d'Ivoire: Manufacturer

1. Cocoa trade and the cocoa value chain

1.1. Please could you describe how your company sources its cocoa?
1.2. Who are your company's main suppliers (companies) and how are they selected?
1.3. How does your company select what cooperatives / communities it sources from?
1.4. What specific requirements does your company place on suppliers that sell it cocoa?
1.5. Thinking specifically about your company's sustainability programme:
1.5.1. What mechanism (e.g., certification, own programme, or combination) does your company use to implement the programme?
1.5.2. What proportion of your company's total sourcing in Côte d'Ivoire is accounted for by each mechanism?
1.5.3. How is sourcing through these mechanisms verified or audited?
1.5.4. What role do your suppliers play in implementing your sustainability programme?
1.5.5. How are premiums delivered to cooperatives and farmers?

2. Implementation of your company's FSP initiatives

2.1. Please could you name the specific sustainability projects your company is implementing?

Zero deforestation

2.2. We now want to ask you about activities to ensure ZD in your company's supply chain:
2.2.1. How are farms mapped in practice (who does the mapping)? How is cooperative membership turnover managed, and how are farmers retained in the programme?
2.2.2. What do the deforestation risk assessments involve and how are they done in practice?
2.2.3. How is traceability achieved?
2.2.4. How are activities for forest protection and restoration by communities / community-based natural resource management (CBNRM) managed?
2.2.5. How are community sensitization activities rolled out, and by whom?
2.3. What happens to farmers who are found to have farms in protected areas? Does this vary across different categorisations of forêts classées?
2.3.1. Are farmers ever excluded from your supply chain? How often does this happen?
2.3.2. What remedial action do you take with these farmers, if any?
2.4. In your opinion, how likely are all these activities to achieve ZD in your supply chain?
2.5. Do you perceive any tensions between the effectiveness of these activities to achieve ZD and farmers' livelihoods? If so, what are these tensions and how can they be resolved?

Agroforestry

2.6. What challenges prevent your agroforestry activities (e.g., nursery management, seedling distribution, GAP training) leading to shade tree adoption by farmers?
2.7. How do tree and land ownership in Côte d'Ivoire affect the implementation of your agroforestry activities? What is your company doing to address these problems?
2.8. Please could you explain how your payments for ecosystem services (PES) scheme works?
Probe on criteria; payment sizes; how financed; duration; frequency; permanence; leakage

3. Engagement with other public, private and civil society stakeholders, and communities

3.1. Please can you describe how your company is involved with landscape approaches?
3.1.1. Which organizations are leading these landscape approaches?
3.1.2. What role is the government playing in these initiatives?
3.2. How does existing legislation and law enforcement in Cote d'Ivoire support or hinder the implementation of ZD activities?
3.2.1. How will ZD activities be affected by incoming EU due diligence legislation?
3.2.2. How are sustainable supply chain initiatives linked to the national REDD+ strategy?
3.2.3. How does land tenure in Côte d'Ivoire influence companies' ability to achieve ZD?

3.3. How have communities been involved with designing and implementing your company's programme?

4. Systemic challenges

4.1. Thinking broadly about the cocoa sector in Cote d'Ivoire as a whole, what problems are preventing it from transforming to a more sustainable model?

If not mentioned:

4.1.1. Where, or with whom, does the power to address these challenges reside?

Probe on locus of power in the cocoa value chain

4.2. How has the CFI changed efforts to achieve sustainability in the cocoa sector?

4.2 West African cocoa: Côte d'Ivoire: Trader

1. Cocoa trade and the cocoa value chain

1.1. Please could you describe how your company sources its cocoa?
1.2. Which organizations or individuals are your company's main suppliers?
1.3. How does your company select which cooperatives, traitants, and communities it sources from?
1.4. What specific requirements does your company place on suppliers that sell it cocoa?
1.5. Thinking specifically about your company's sustainability programme or initiatives:
1.5.1. What mechanism (e.g., certification, own programme, or combination) does your company use to implement its programme in Côte d'Ivoire?
1.5.2. What proportion of your company's sourcing in Côte d'Ivoire is accounted for by each mechanism?
1.5.3. How is sourcing through these mechanisms verified or audited?
1.5.4. What role do your suppliers play in implementing your sustainability programme? Probe on cooperatives and traitants
1.5.5. How are premiums delivered to cooperatives and farmers?

2. Implementation of your company's FSP initiatives

2.1. Please could you name any specific sustainability projects your company is implementing?

Zero deforestation

2.2. We now want to ask you about activities to ensure ZD in your company's supply chain:
2.2.1. How are farms mapped in practice (who does the mapping)? How is cooperative membership turnover managed, and how are farmers retained in the programme?
2.2.2. What do the deforestation risk assessments involve and how are they done in practice?
2.2.3. How is traceability achieved?
2.2.4. How are activities for forest protection and restoration by communities / community-based natural resource management (CBNRM) managed?
2.2.5. How are community sensitization activities rolled out, and by whom?
2.3. What happens to farmers who are found to have farms in protected areas? Does this vary across different categorisations of forêts classées?
2.3.1. Are farmers ever excluded from your supply chain? How often does this happen?
2.3.2. What remedial action do you take with these farmers, if any?
2.4. In your opinion, how likely are all these activities to achieve ZD in your supply chain?
2.5. Do you perceive any tensions between the effectiveness of these activities to achieve ZD and farmers' livelihoods? If so, what are these tensions and how can they be resolved?

Agroforestry

2.6. What challenges prevent your agroforestry activities (e.g., nursery management, seedling distribution, GAP training) leading to shade tree adoption by farmers?
2.7. How do tree and land ownership in Côte d'Ivoire affect the implementation of your agroforestry activities? What is your company doing to address these problems?
2.8. Please could you explain how your payments for ecosystem services (PES) scheme works?
Probe on criteria; payment sizes; how financed; duration; frequency; permanence; leakage

3. Engagement with other public, private and civil society stakeholders, and communities

3.1. Please can you describe how your company is involved with landscape approaches?
3.1.1. Which organizations are leading these landscape approaches?
3.1.2. What role is the government playing in these initiatives?
3.2. How does existing legislation and law enforcement in Cote d'Ivoire support or hinder the implementation of ZD activities?
3.2.1. How will ZD activities be affected by incoming EU due diligence legislation?
3.2.2. How are sustainable supply chain initiatives linked to the national REDD+ strategy?

3.2.3. How does land tenure in Côte d’Ivoire influence companies’ ability to achieve ZD?

3.3. How have communities been involved with designing and implementing your company’s programme?

4. Systemic challenges

4.1. Thinking broadly about the cocoa sector in Cote d’Ivoire as a whole, what problems are preventing it from transforming to a more sustainable model?

If not mentioned:

4.1.1. Where, or with whom, does the power to address these challenges reside?

Probe on locus of power in the cocoa value chain

4.2. How has the CFI changed efforts to achieve sustainability in the cocoa sector?

4.3 West African cocoa: Côte d'Ivoire: Cooperative

1. Local organizational role (if member of local org.: coop, etc.)

1.1. Please could you describe how the cooperative set up and how it is governed?

1.2. How many members are there in your cooperative? Does it change from year to year? If so, by how many members does it change, on average?

2. Cocoa trade and engagement with the cocoa value chain

2.1. Please could you explain how you purchase cocoa beans?

2.1.1. Do you purchase from your members only, or also from pisteurs? In what proportions?

2.1.2. How do farmers get paid?
Probe on "Déchargé / Payé" or "Dépôt / Vente"

2.1.3. What other incentives (e.g. premiums) are farmers offered and how are these distributed? Probe on: differential prices; cash premiums (LID, certification premium, others); in-kind benefits; off-season credit; agricultural inputs; extension services; training; contracts.

2.1.4. What requirements do you make for beans, and farmers that sell beans to you, and why?

2.2. Please could you explain how you sell cocoa beans to your customers?

2.2.1. Which companies are your main customers? Do you segregate beans by customer?

2.2.2. Why do you sell to these companies rather than any others?

2.2.3. Does your cooperative encounter any challenges with selling cocoa to its customers?

Probe on challenges with offloading cocoa beans at ports

3. Knowledge about FSP initiatives by companies

3.1. What specific requirements or restrictions, if any, do cocoa buyers in this region place on farmers they buy beans from? That is, **what do cocoa buyers check for** before they buy beans?
Probe for requirements other than bean quality or dryness, such as mapping / certification / audits

3.1.1. Are you aware that any buyers check to make sure cocoa has **not come from farms in the forêts classées**? If so, what do these checks involve?

3.1.2. How do these checks positively or negatively affect farmers?

3.1.3. Are there any differences in requirements between certification (e.g. Rainforest Alliance) and companies' own standards?

3.2. What are the legal regulations that farmers must follow in relation to cocoa production and sustainable forest management? How are they applied? Is it effective? Is it fair?

3.3. What happens to farmers with cocoa **farms in the forêts classées**? What do you think about what happens to these farmers?

3.4. What support have companies provided for cocoa farmers in this area?

Probe on training / alternative livelihoods / seedling distribution / extension services

3.4.1. How has your cooperative been involved with developing and delivering these activities?

3.4.2. Which farmers are eligible and why do they choose to participate in these projects?

3.4.3. What support or activities have other organizations (ANADER, NGOs) provided to cocoa farmers in this region?

3.5. Please can you describe any activities by companies that encourage farmers to do agroforestry / plant shade trees on their farms?

3.5.1. How has your cooperatives been involved with developing and delivering these activities?

3.5.2. What challenges are there with implementing these activities?

Probe on **ownership of trees**; types of trees; availability of seedlings; products from trees

3.6. How have all these activities changed the way cocoa farming is done?

4. Systemic challenges

4.1. Thinking broadly about the cocoa sector in Cote d'Ivoire as a whole, what three challenges are preventing it from transforming to a more sustainable model?
4.2. What challenges does land ownership pose for farmers here?
4.3. How can these challenges be addressed?
4.4. Thinking more broadly, what issues are preventing the farmers from achieving a secure livelihood from cocoa farming?
4.4.1. Who has the power to address these challenges?

4.4 West African cocoa: Côte d'Ivoire: Local stakeholder (farmer/pisteur/coop delegate)

1. **Background**
   1.1. What is your name? (If not yet recorded)
   1.2. How old are you?
   1.3. Where did you grow up? (If not from the local area) Why did you move here?
   1.4. What is your ethnicity?
   1.5. Are you a cocoa farmer?
      1.5.1. (If yes) How long have you been working in cocoa farming?
      1.5.2. (If yes) Do you own your farm? (If yes) How long have you owned it?
      1.5.3. (If yes) How big is your farm / the farm where you work? How many plots does it have?
      1.5.4. (If yes) Where is your farm? Where is each plot?
   1.6. Please could you describe any role(s) you have in the community besides cocoa farming (e.g., local official, pisteur, member of other community organization)?
      1.6.1. (If yes) What activities does this role involve you doing?

2. **Local organizational role (if member of local org.: coop, local government, etc.)**
   2.1. (If a member of an organization) What functions does [name institution] perform in the community? If unclear: What specific activities does [name organization] perform?
   2.2. Please could you describe the governance structure of [name organization]?
   2.3. When was this organization set up?
   2.4. What other local institutions are involved with cocoa farming here (e.g., cooperatives)?

3. **Cocoa trade and engagement with the cocoa value chain**

<u>Cocoa selling</u>

3.1. For cooperative delegates / pisteurs / traitants: Please could you explain how farmers sell cocoa beans to you?
3.2. For farmers: Who do you sell your beans to?
   3.2.1. Do you sell your beans to one buyer or multiple buyers in a season? Why?
   3.2.2. Are there any other companies, cooperatives or pisteurs that buy cocoa here? Who are they?
3.3. Why do you / farmers here sell cocoa beans to one buyer rather than another?
   Probe on: differential prices; cash premiums (LID, certification premium, others); in-kind benefits; off-season credit; agricultural inputs; extension services; training; contracts.
3.4. How are premiums given to farmers (i.e., at community level / to individual farmers)?
3.5. How easy or difficult is it for you / cocoa farmers here to sell their cocoa beans?

<u>Cocoa purchasing</u> (For pisteurs, traitants, or other cocoa-purchasing entities only)

3.6. For pisteurs / traitants: Which farmers do you buy cocoa from and why?
3.7. For cooperative delegates:
   3.7.1. How many members are there in your cooperative? Does this number change from year to year? If so, by how many members does it change, on average?
   3.7.2. Why are some farmers members of your cooperative but not others?
   3.7.3. Why does your cooperative sell to some companies rather than others?
3.8. What requirements do you make for beans, and farmers that sell beans to you, and why?

3.9. How easy or difficult is it to buy cocoa? How easy is it to meet your purchasing targets? Has this changed?]

4. Knowledge about FSP initiatives by companies

4.1. What specific requirements or restrictions, if any, do cocoa buyers in this region place on farmers they buy beans from? That is, **what do cocoa buyers check for** before they buy beans? Probe for requirements other than bean quality or dryness, such as certification / audits

4.1.1. Are you aware that any buyers check to make sure cocoa has **not come from farms in the forêts classées**? If so, what do these checks involve?
4.1.2. How do these checks **positively or negatively affect farmers**?
4.1.3. What do you perceive as being **more important** in shaping how farmers here manage their cocoa farms: **legal regulations or buyers' checks/requirements**?

4.2. What happens to farmers with cocoa **farms in the forêts classées**?

4.2.1. **How** are their farms **discovered** by cocoa buyers?
4.2.2. **How** do farmers in the forêts classées **sell their beans** and **to whom**?
4.2.3. What do you think about what happens to these farmers?

4.3. If cocoa farmers were to plant cocoa in the forêts classées, how would they do it?

4.3.1. Where would they go?
4.3.2. On average, how far would people travel from the village to establish a cocoa farm?
4.3.3. How would they make the farm? That is, how would they remove the forest trees?

4.4. How do people here view cocoa farming in the forêts classées? How acceptable or unacceptable is it?

4.5. What support have companies provided for cocoa farmers in this area?

Probe on training / alternative livelihoods / seedling distribution / extension services

4.5.1. How have communities / cooperatives been involved in each step of these activities, from inception to implementation?
4.5.2. Why do cocoa farmers in this area choose to participate in these projects?

4.6. Please can you describe any activities by companies that encourage farmers to do agroforestry / plant shade trees on their farms?

4.6.1. What makes you / farmers here decide to plant shade trees on their farms, or not? Probe on **ownership of trees**; types of trees; availability of seedlings; products from trees
4.6.2. Why would you keep shade trees on your farm or not?

4.7. How have all these activities changed the way cocoa farming is done?

5. Systemic challenges

5.1. What are (three) major challenges cocoa farmers face in this area?

5.2. What challenges does land ownership pose for farmers here?

5.3. How can these challenges be addressed?

5.4. Thinking more broadly, what issues are preventing the farmers from achieving a secure livelihood from cocoa farming?

5.4.1. Who has the power to address these challenges?

4.5 West African cocoa: Côte d'Ivoire: NGO

1. Background

1.1. Please could you briefly describe your role at this organization, and what it involves?

2. Your civil society organization's activities to promote a more sustainable cocoa sector

2.1. Please can you describe the sustainability initiatives your civil society organisation is involved with implementing or supporting (advising or advocating) in the cocoa sector?

Probe on partners, locations, sizes, and forest conservation / agroforestry

2.2. Please could you describe, in your own words, your organization's goals for these initiatives?

If not mentioned:

2.3. Do you work with companies on forest sustainability issues and, if so, how?

3. Views on deforestation and implementation of FSP initiatives by companies

3.1. What is your perception of **the effectiveness of zero deforestation** commitments adopted by companies in the cocoa sector more generally? In your opinion, how likely are these activities to reduce deforestation?

3.1.1. What is the effectiveness of, and challenges with, farm mapping and traceability?

3.1.2. What is the effectiveness of, and challenges with, monitoring deforestation (remote sensing and community monitoring)?

3.1.3. What is the effectiveness of, and challenges with, sensitization and capacity building?

3.2. Do you perceive any (potential) **tensions** between the effectiveness of companies' ZDCs and their impacts on farmers' livelihoods? If so, what are they? (How have companies' zero deforestation commitments positively or negatively affected farmers' livelihoods?)

3.2.1. Are you aware of farmers being **excluded** from supply chains due to non-compliance?

3.2.2. How do you anticipate this will **change in the future**?

3.2.3. How can these tensions be **reconciled?**

3.3. How can, or should, ZD policy be differentiated across different forest zones and the rural domain (e.g., classified forests vs reserves; how is "deforestation" defined)?

Agroforestry:

3.4. What challenges are preventing the effective adoption of agroforestry by farmers?

3.5. How does the ownership of trees in Côte d'Ivoire affect the implementation of these agroforestry activities? What is your organization doing to solve these problems?

3.6. Are you aware of any payments for ecosystem services (PES) being made to farmers as part of any agroforestry schemes? Probe on criteria; payment sizes; financing; duration; frequency; permanence; leakage

4. Engagement between public, private and civil society stakeholders, and communities

4.1. How is the Ivorian government supporting companies to implement ZDCs effectively?

4.1.1. How is the national REDD+ strategy supporting the implementation of ZDCs?

4.1.2. How does land tenure in Côte d'Ivoire influence companies' ability to achieve ZD?

4.1.3. How does existing legislation and law enforcement support or hinder ZDC implementation?

4.1.4. How is this related to incoming EU due diligence legislation?

4.1.5. How are landscape approaches supporting the implementation of ZDCs?

Participation by local stakeholders

4.2. To the best of your knowledge, how have communities been involved with developing and implementing zero deforestation or agroforestry activities?

4.3. Are you aware of how local government, civil society or other organizations are involved with implementing these various activities? Probe on cooperatives, other institutions

4. Deforestation drivers and systemic challenges

4.1. Thinking broadly about the cocoa sector in Cote d'Ivoire as a whole, and worldwide, what challenges are preventing it from transforming to a more sustainable model?

If not mentioned:

4.1.1. Where, or with whom, does the power to address these challenges reside?

Probe on locus of power in the cocoa value chain

4.1.2. Are there any other ways these challenges can be addressed?

4.2. Now thinking just about your organization, what are (three) day-to-day challenges that make the implementation of your sustainability initiative difficult?

If not mentioned:

4.2.1. How can these challenges be addressed?

4.2.2. What is your organization doing specifically to address these challenges?

4.3. How has the CFI changed efforts to achieve sustainability in the cocoa sector?

4.6 West African cocoa: Côte d'Ivoire: Government

1. **Background**
   1.1. Please could you briefly describe your role at this organization, and what it involves?

2. **Your government organization's activities to promote a more sustainable cocoa sector**
   2.1. Please can you describe what function your agency / department plays in the Ivorian cocoa sector?
   2.2. What activities is your agency / department pursuing to promote a more sustainable cocoa sector?

Probe on names, partners, locations, sizes, and activities on forest conservation / agroforestry (census of producers, geolocation).

   2.3. Please could you describe, in your own words, your department/agency's goals for these initiatives?
   2.4. If not mentioned, do you work with companies on forest sustainability issues and, if so, how?

3. **Views on deforestation and implementation of FSP initiatives by companies**

Zero deforestation

   3.1. What is your perception of **the effectiveness of zero deforestation** commitments adopted by companies in the cocoa sector more generally? In your opinion, how likely are these activities to reduce deforestation?
      3.1.1. What is the effectiveness of, and challenges with, farm mapping and traceability?
      3.1.2. What is the effectiveness of, and challenges with, monitoring deforestation (remote sensing and community monitoring)?
      3.1.3. What is the effectiveness of, and challenges with, sensitization and capacity building?
   3.2. Do you perceive any (potential) **tensions** between the effectiveness of companies' ZDCs and their impacts on farmers' livelihoods? If so, what are they? (How have companies' zero deforestation commitments positively or negatively affected farmers' livelihoods?)
      3.2.1. What happens to **farmers who are found in forests** or have cleared forests for cocoa?
      3.2.2. **How often** are farmers found in forests? Is this increasing or decreasing?
      3.2.3. What remedial action does the government take with these farmers, if any?
      3.2.4. How do you anticipate this will **change in the future**? (E.g., after EU legislation?)
   3.3. How can, or should, ZD policy be differentiated across different forest zones and the rural domain (e.g., classified forests vs reserves; how is "deforestation" defined)?

Agroforestry:

   3.4. What challenges are preventing the effective adoption of agroforestry by farmers?
   3.5. How does the ownership of trees in Côte d'Ivoire affect the implementation of these agroforestry activities? What is your agency/department doing to solve these problems?
   3.6. Are you aware of any payments for ecosystem services (PES) being made to farmers as part of any agroforestry schemes? Probe on criteria; payment sizes; financing; duration; frequency; permanence; leakage

4. **Engagement between public, private and civil society stakeholders, and communities**
   4.1. How is the Ivorian government supporting companies to implement ZDCs effectively?
      4.1.1. How is the national REDD+ strategy supporting the implementation of ZDCs?
      4.1.2. How does land tenure in Côte d'Ivoire influence companies' ability to achieve ZD?
      4.1.3. How does existing legislation and law enforcement support or hinder ZDC implementation?
      4.1.4. How is this related to incoming EU due diligence legislation?
      4.1.5. How are landscape approaches supporting the implementation of ZDCs?

Participation by local stakeholders

   4.2. To the best of your knowledge, how have communities been involved with developing and implementing zero deforestation or agroforestry activities?

4.3. Are you aware of how local government, civil society or other organizations are involved with implementing these various activities? Probe on cooperatives, other institutions

5. Deforestation drivers and systemic challenges

5.1. Thinking broadly about the cocoa sector in Cote d'Ivoire as a whole, and worldwide, what challenges are preventing it from transforming to a more sustainable model?

If not mentioned:

5.1.1. Where, or with whom, does the power to address these challenges reside?

Probe on locus of power in the cocoa value chain

5.2. How has the CFI changed efforts to achieve sustainability in the cocoa sector?

4.7 West African cocoa: Côte d'Ivoire: FGD guide

1. Introductory questions

1.1. To begin with, please could you tell us about the history of this town/village?

Prompts:

1.1.1. When was the town/village established (what year)?
1.1.2. Where do the people here come from? (If migrants) why did you settle here?
1.1.3. When did you start cultivating cocoa? Why did you start cultivating cocoa?
1.1.4. How has the community changed over the years?
1.1.5. When was the local protected area established? Do you know why it was established?

2. Cocoa trade

2.1. Please could you explain how farmers here sell their cocoa beans?

Prompts:

2.1.1. How many cooperatives / companies buy cocoa here? What are their names?
2.1.2. Do you sell your beans to one buyer or multiple buyers in a season? Why so?
2.1.3. Why do you decide to sell your cocoa beans to one buyer rather than another (e.g., pisteurs / traitants / cooperatives)?

Probe on premiums; loans / prefinance; agricultural tools / inputs; seedlings; training

2.1.4. How easy or difficult is it to sell your cocoa beans?

3. Views on forest conservation and FSP initiatives by companies

3.1. What do buyers check for before buying cocoa beans?
Probe on certification / audits, farm mapping, no deforestation, shade trees

Prompts:

3.1.1. Are you able to satisfy these checks? How easy or difficult is it to satisfy them?
3.1.2. How do buyers make sure you have satisfied these checks? What do they look for?
3.1.3. What do you think about the impacts of these requirements on you? Are they positive or negative? How?

3.2. What support or projects have companies provided for cocoa farmers in this area?

Probe on training / alternative livelihoods / seedling distribution / extension services

Prompts:

3.2.1. Have any of you participated in these projects? If yes, why?
3.2.2. Have these projects changed how you farm? If so, how?
3.2.3. Have these projects improved the productivity of your cocoa farms?
3.2.4. What effects have these projects had on the environment here?

3.3. If cocoa farmers were to plant cocoa in the forêts classées (near) here, how would they do it?

Prompts:

3.3.1. Where would they go?
3.3.2. On average, how far would people travel from the village to establish a cocoa farm?
3.3.3. How would they make the farm? That is, how would they remove the forest trees?

3.4. What happens to cocoa farmers who have farms in the forêts classées?

Prompts:

3.4.1. Have cocoa buyers (companies) ever discovered cocoa farms in the forêts classées?
3.4.2. How did the cocoa buyers (companies) discover these farms?
3.4.3. Are there any pisteurs/cooperatives/companies that don't buy beans from farmers in the forêts classées? Who are they?
3.4.4. How do farmers with cocoa farms in the forêts classées sell their beans, and to whom?
3.4.5. What do you think about the way these farmers are treated by cocoa buyers?

3.5. How do you view cocoa farming in the forêts classées? Is it acceptable or unacceptable? Why?

3.6. What do you think about having shade trees on your farms?

Prompts:

3.6.1. What makes you decide to plant shade trees on your farms, or not?
3.6.2. What kind of trees do you prefer to keep on your farms?
3.6.3. Have you received seedlings or other support to plant shade trees by companies?
3.6.4. Why would you keep shade trees on your farm or not? Probe on tree ownership

4. Systemic challenges

4.1. What issues prevent you from achieving a secure livelihood from cocoa farming?
4.1.1. How does owning, or not owning, your farm(land) make life easier or more difficult?
4.1.2. Who has the power to address these challenges? How should they be addressed?

5. West African cocoa: Ghana interview guides

5.1. West African cocoa: Ghana: Buyer (manufacturer / trader)

1. **Background**
   1.1. Please could you briefly describe your role at the company, and what it involves?

2. **Cocoa sourcing**
   2.1. What are your most important sourcing regions within Ghana?
   2.2. Do you manage to source all the cocoa you need and if so, how? If not, why not?
   2.3. Which, or what kind of, organisations are your main customers? And suppliers?
   2.4. How do you maintain farmer participation in your supply base?

3. **Your company's FSP initiatives and theory of change**
   3.1. Please can you describe your company's forest-related sustainability policy?
   3.2. **Initiatives:** Please can you list the initiatives your organisation is involved with implementing in the cocoa sector, including:
   - 1) Names; 2) Partners; 3) Locations; 4) Size (farmers); 5) Start, cut-off, end dates?

   3.3. How do you translate your customers' requirements into these initiatives?
   3.4. **Implementation:** Please describe how these initiatives are being implemented:
   3.4.1. What specific activities are being implemented?
   3.4.2. What organizations are rolling-out these activities with cocoa farmers?
   3.4.3. What (local) institutions are being used to roll-out these activities?
   3.5. **Specific activities:** Please can you describe in detail any activities to promote: 1) Zero deforestation; 2) Agroforestry? How do these activities work?
   3.5.1. **Selection:** How are 1) communities and 2) farmers selected?
   3.5.2. **Incentives:** What incentives are provided to farmers to participate?
   3.5.3. **Monitoring:** How are the outcomes of your initiative monitored?
   3.5.4. **Verification:** How do you ensure farmers comply before purchasing beans?
   3.5.4.1. How do you ensure PCs only buy from participating farms?
   3.5.5. **Enforcement:** What requirements does your initiative place on cocoa farmers? What happens to farmers who fail to comply with your initiative?
   3.6. Community involvement:
   3.6.1. How are communities involved with developing these activities?
   3.6.2. How are communities involved with implementing these activities?
   3.7. **Timeline:** Please talk us through your first initiatives in the cocoa sector? When were they implemented, and how have they changed to become what they are now?
   3.7.1. How do you anticipate your initiatives might change over the next 5 years?
   3.8. How do these requirements differ from your partners or competitors?

4. **Systemic challenges**
   4.1. What is your perception of the relationship between cocoa and deforestation?
   4.2. How do other initiatives influence implementation of your initiative(s), and vice versa?
   4.3. How does the public policy context influence the implementation of your initiative?
   4.4. What are (three) major challenges you are facing with implementing your initiative?
   4.4.1. How can these challenges be addressed?
   4.4.2. What is your organization doing to address these challenges?
   4.5. CFI
   4.5.1. How has the CFI changed efforts to achieve sustainability in the cocoa sector?
   4.5.2. How have your initiatives changed since the CFI was adopted?
   4.5.3. How do you anticipate companies' initiatives will change over the next 5 years?
   4.6. More broadly, what challenges are preventing the cocoa sector from transforming to a more sustainable model?

5. Any other issues

5.1. Is there anything else you would like to mention before we finish the interview?

5.2. West African cocoa: Ghana: Licensed Buying Company (LBC)

1. Background

1.1. What is your name? [Or fill in previously]
1.2. What is your gender? [Or fill in previously]
1.3. What is the name of the LBC you work for? [Or fill in previously]
1.4. Where is your LBC's head office located?
1.5. What is your formal title / position at this LBC? [Or fill in previously]
1.6. How long have you been working at this LBC? And in this role?
1.7. Please could you briefly describe your role at the LBC?

2. Cocoa sourcing

2.1. Please could you describe how your LBC sources cocoa beans?

Probe on direct vs indirect sourcing from farmers

2.2. Which, or what kind of, organisations are your main customers?
2.3. Can you describe your relationships with cocoa traders and manufacturers?
2.4. Can you describe your relationships with 1) purchasing clerks; 2) cooperatives; and 3) cocoa farmers?
2.5. What challenges does your LBC face with sourcing cocoa beans?
2.6. Which regions do you source from?
2.7. What is the current state of forests and agroforestry in these regions?
2.8. Do you think the security of your cocoa bean supply might change? If so, how?

3. LBCs' involvement with implementing FSPs

3.1. Does your LBC have a sustainability policy? What does it involve?
3.2. Is your LBC involved with implementing any of your customer's commitments, policies, or programs on deforestation, forest degradation, forest conservation, and/or agroforestry (hereafter "company forest policies")? If so, what are these policies?
3.3. Where is the policy being implemented?
3.4. What do company forest policies require from you, and from your suppliers?
3.5. Please can you explain how company forest policies are being implemented?
3.5.1. What mechanisms or activities are being used to implement these policies?
3.5.2. If your LBC is responsible for any of these activities, what do they involve?
3.5.3. Are any third parties helping to implement these policies? If so, who and how?
3.6. How have these policies affected your operations, including cocoa sourcing?
3.7. How have company forest policies affected your suppliers, including farmers?
3.8. How have they affected your LBC's relationships with its customers and suppliers?

4. FSP implementation activities

Monitoring

4.1. Can you describe how deforestation by farmers is being monitored?
4.2. Can you describe how agroforestry activities by farmers are being monitored?

5. Enforcement

5.1. If you have been involved with implementing company forest policies:
5.1.1. How have you managed any farmers found to engage in deforestation?
5.1.2. How are legal versus illegal deforestation addressed?
5.1.3. Have you excluded non-compliant farmers? If so, by plot or farmer?
5.1.4. How have you worked with non-compliant farmers to achieve compliance?
5.1.5. If farmers are excluded, do you ever buy from them again?
5.1.6. How have you dealt with beans from noncompliant farmers being laundered?
5.2. How could these enforcement measures be improved?

6. Training, capacity building, benefit sharing, and other activities

6.1. Does your LBC undertake any training with farmers under company forest policies?
6.1.1. If so, what does this training entail?

6.1.2. How is this training delivered, and by whom?

6.2. Does your LBC distribute any materials, such as seedlings, under these policies?

6.2.1. If so, what is distributed?

6.2.2. How are these materials distributed, and by whom?

6.3. Do your suppliers receive any other incentives or benefits from complying with company forest policies (e.g., price premiums)? If so, what are they?

6.4. Are any other activities carried out to implement these policies? If so, what are they?

7. FSP implementation challenges

7.1. What challenges has your LBC faced in implementing company forest policies?

7.1.1. How do you think these should be addressed?

7.2. What challenges have your suppliers or farmers encountered in meeting these policies' requirements?

7.2.1. How do you think these should be addressed?

7.3. What other challenges do you see with the implementation of these policies?

7.3.1. How do you think they should be addressed?

8. Interactions with other public sector and civil society initiatives

8.1. Are any other initiatives (e.g., certification, HIAs) being implemented in the same areas that your LBC sources from, or in the same areas as the company forest policies your LBC is involved with implementing?

8.2. How do government initiatives influence your LBC's ability to source cocoa beans?

8.3. How do legal requirements influence your LBC's ability to source cocoa beans?

8.4. How do initiatives by civil society, or other non-government stakeholders, influence your LBC's efforts to source cocoa beans?

8.5. How do government initiatives influence your company forest policies?

8.6. Beyond the implementation partners you have mentioned, who are the most important stakeholders for successfully implementing company forest policies?

9. Future trends and anticipated changes

9.1. How do you think company forest policies are affecting your LBC's business?

9.2. How do you think these policies are affecting your relationships with farmers?

9.3. In general, how are company forest policies affecting Ghana's cocoa sector?

9.4. What would guarantee the successful implementation of companies' policies on deforestation, forest conservation, degradation, or agroforestry?

9.5. What is your vision for sustainable cocoa production? How can this be achieved?

10. Any other issues

Is there anything else you would like to mention before we finish the interview?

5.3. West African cocoa: Ghana: Local stakeholder / farmer (interview and FGD guide)
NOTE: This guide was also used for Focus Group Discussions in Ghana

1. **Background**
   - 1.1. What is your name?
   - 1.2. What is your age?
   - 1.3. Are you a cocoa farmer? If so, do you own your farm?
   - 1.4. Please could you describe your role in the community (e.g., purchasing clerk)
   - 1.5. How long have you been doing this role, and how did you come to do it?
   - 1.6. What activities does this role involve you doing?
   - 1.7. What other organizational roles do you have in the community, if any?

2. **Institutional role (for members of local institutions)**
   - 2.1. [If a member of an institution] Please could you describe the governance structure?
   - 2.2. What functions does your institution perform in the community?
   - 2.3. How often does your institution meet?
   - 2.4. What specific activities does the institution perform?
   - 2.5. Which people execute these activities?
   - 2.6. Are any other institutions active in this community (e.g., CREMAs, CRMCs)?
   - 2.7. How does the role of your institution in the community differ from these other ones?

3. **Cocoa production and sales**
   - 3.1. Please could you explain how farmers here sell their cocoa beans?
   - 3.2. Who do the farmers here mainly sell their cocoa beans to?
   - 3.3. What happens to farmers' beans after they are sold to their buyers?
   - 3.4. What are the main challenges farmers here face in producing cocoa?
   - 3.5. What are the main challenges cocoa farmers here face in selling their beans?

4. **Knowledge about FSPs**
   - 4.1. **Initiatives:** Please can you describe any projects on forest protection or agroforestry being implemented by cocoa companies in this area?
   - 4.2. **Implementation:** How are these projects are being implemented?
     - 4.2.1. What activities are being implemented?
     - 4.2.2. What organizations are involved with implementing these activities?
   - 4.3. Specific activities:
     - 4.3.1. Please can you describe in detail any activities to promote:
       - 4.3.1.1. 1) Forest protection; 2) Agroforestry?

How do these activities work?

   - 4.4. Community involvement:
     - 4.4.1. How are communities involved with developing these activities?
     - 4.4.2. How are communities involved with implementing these activities?
   - 4.5. Selection:
     - 4.5.1. How are farmers are selected for these activities?
     - 4.5.2. How do farmers participate/enrol in these activities?
   - 4.6. **Incentives:** Why do farmers to participate in these activities?
   - 4.7. **Monitoring:** Are farmers' participation in these activities monitored? If so, how?
   - 4.8. **Verification:** What does this project require farmers to do to sell their beans?
   - 4.9. **Enforcement:** What happens to farmers that do not comply with these activities?
   - 4.10. **Timeline:** How have the projects in this area changed over the years to become what they are now?
     - 4.10.1. By when will these projects be completed?
   - 4.11. How do these projects differ between companies?

5. **Interactions with other public sector and civil society projects**
   - 5.1. What other projects (e.g., certification, CREMAs) are there in this area?

5.2. How do these projects affect farmers in comparison with cocoa companies’ projects?
5.3. How do legal requirements affect farmers’ ability to sell their cocoa beans?

6. Future trends and anticipated changes

6.1. How have these projects affected cocoa farmers in this area?
6.2. What are the three key challenges farmers are facing with these projects?

7. Any other issues

7.1. Is there anything else you would like to mention before we finish the interview?

5.4. West African cocoa: Ghana: Government / NGO

1. Introduction

1.1. Please could you describe your role at this organization?

2. Your organization's involvement with sustainable cocoa initiatives

2.1. **Initiatives:** Please can you list the initiatives your organisation is involved with implementing in the cocoa sector, including:

- 1) Names; 2) Partners; 3) Locations; 4) Size (farmers); 5) Start, cut-off, end dates?

2.2. **Implementation:** Please describe how these initiatives are being implemented:

2.2.1. What specific activities are being implemented?

2.2.2. What organizations are rolling-out these activities with cocoa farmers?

2.2.3. What (local) institutions are being used to roll-out these activities?

2.3. **Specific activities:** Please describe in detail any activities to promote:
1) Agroforestry? 2) Deforestation? How do these activities work?

2.3.1. **Selection:** How are 1) communities and 2) farmers selected?

2.3.2. **Incentives:** What incentives are provided to farmers to participate?

2.3.3. **Monitoring:** How are the outcomes of your initiative monitored?

2.3.4. **Verification:** What does this project require farmers to do to sell their beans?

2.3.5. **Enforcement:** What requirements does your initiative place on cocoa farmers?
What happens to cocoa farmers who fail to comply with your initiative?

2.4. Community involvement:

2.4.1. How are communities involved with developing these activities?

2.4.2. How are communities involved with implementing these activities?

3. Involvement with, and perceptions of, companies' FSPs

3.1. Have you been working with any companies to implement forest-focused supply chain policies (company initiatives related to forest conservation / agroforestry)?

3.2. Which companies' policies have you been involved with implementing?

4. Systemic challenges

4.1. What is your perception of the relationship between cocoa and deforestation?

4.2. How do other initiatives influence implementation of your initiative(s), and vice versa?

4.3. How does the public policy context influence the implementation of your initiative?

4.4. What are (three) major challenges you are facing with implementing your initiative?

4.4.1. How can these challenges be addressed?

4.4.2. What is your organization doing to address these challenges?

4.5. CFI

4.5.1. How has the CFI changed efforts to achieve sustainability in the cocoa sector?

4.5.2. How have your initiatives changed since the CFI was adopted?

4.5.3. How do you anticipate companies' initiatives will change over the next 5 years?

4.6. More broadly, what challenges are preventing the cocoa sector from transforming to a more sustainable model?

5. Any other issues

5.1. Is there anything else you would like to mention before we finish the interview?

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