



**ETH**

Eidgenössische Technische Hochschule Zürich  
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**ECOTOP**

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KNUST

ETH Zurich

Kuapa Kokoo  
Farmers Union

Ecotop Consult

Halba

Project title:

Dynamic agroforestry systems for sustainable intensification of cocoa production in West Africa (DAFS)

# Report on multi-stakeholder workshop

Date: May 7<sup>th</sup>, 2022

Place: Kings Towers Hotel, Kumasi, Ghana

Report prepared by: Dr Christian Andres

With contributions by: Prof Dr Johan Six (ETH Zurich) and Mr Alexander Pfyffer (Obrobibini Peace Complex)



Pictures: Dr Christian Andres, ETH Zurich

## Acknowledgments

We wish to express our gratitude to Dr Evans Dawoe from KNUST who through his continuous support enabled us to successfully conduct this workshop. Our sincere thanks go to Suzzy and Alexander, whose assistance ensured a smooth workshop.

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# I. Background

The global sustainability of cocoa (*Theobroma cacao*) is at stake. Ghanaian and Ivorian farmers produce more than half of the world's cocoa beans in unsustainable monocultures. Being vulnerable to climate change, cocoa production systems have great potential to integrate livelihood improvements for millions of smallholders with climate change mitigation and adaptation. Agroforestry (AF) is widely proclaimed as a key component of this solution, yet the mere association of shade and cocoa trees may not be sufficient to realize the much-quoted sustainability benefits of AF. Indeed, without adequate management, cocoa AF may even be less resilient to sub-optimal and extreme weather conditions than cocoa grown under full sun, highlighting that both the design and the management of cocoa AF warrants further investigation, especially in the context of West Africa.

A systematic approach, i.e., deliberately selecting adequate forest tree species and managing them well, is key to realizing the potential of cocoa AF. However, recommendations and implementation programs of such sound AF practices are rare. An example of such a systematic approach is dynamic agroforestry (DAF). The high labour- and knowledge-intensities of DAF may pose a great challenge for its adoption by farmers. Understanding and supporting the development of such systems requires a thorough understanding of the biophysical, socio-economic and cultural context, the local advantages/disadvantages of DAF and the decision-making of farmers whether to engage in DAF or not.

The Swiss Federal Institute of Technology (ETH), Zurich, is collaborating with the Kwame Nkrumah University of Science and Technology, the Kuapa Kokoo Farmers Union, Ecotop Consult, Halba and Sronko Farms in the scope of the project entitled “Dynamic agroforestry systems for sustainable intensification of cocoa production in West Africa (DAFS)”.

The objectives of the study are to:

1. Compare the biophysical and socio-economic performance of dynamic agroforestry systems with cocoa in Ghana to traditional cocoa farming practices
2. Study the state of knowledge, rate of adoption and adoption constraints of both, farmers involved in current dynamic agroforestry interventions and members of their social network
3. Recommend further steps to be taken in order to elaborate strategies for the inclusion of dynamic cocoa agroforestry into local and national extension programs in Ghana

These results should provide a solid base for discussions around the elaboration of an implementation action plan to boost DAFS in West Africa. Involving farmers and other relevant stakeholders from the very beginning in the development of future feasible interventions may create ownership of the complex of problems around DAFS and contribute to higher adoption of DAFS for climate-resilient cocoa production in West Africa.

## 2. Objectives

The objectives of the workshop entitled “Dynamic agroforestry (DAF) with cocoa in Ghana – results from four years of research and their implications for sustainable cocoa production in Ghana” were to understand the complexity of problems around agroforestry in general and dynamic agroforestry in particular from the perspective of different stakeholders. Understanding the needs and challenges of different stakeholders is vital to talk about potential solutions that are also feasible. At the end of the workshop, we aimed to have a set of proposed solutions to increase the adoption of agroforestry, as well the necessary changes that have to come about in order to boost the implementation of those solutions. This document will serve as a basis for follow-up discussions aimed at integrating the proposed solutions and necessary changes into existing programs, or help adapting them. Thus, the results from the study are expected to contribute to the elaboration of an implementation action plan to boost the adoption of DAFS in Ghana.



Figure 1: Workshop banner

### 3. Workshop sessions

For an overview of all workshop sessions, please see the program in Appendix 5.1.

#### 3.1 Opening prayer

After Dr Evans Dawoe (Senior Lecturer, KNUST) had opened the meeting, a volunteer opened the workshop with an introductory prayer.

#### 3.2 Welcome address by Dr Evans Dawoe

Dr Dawoe welcomed all the distinguished guests (for a list of participants, see Appendix 5.2), thanking those who had taken time off their busy schedules to be with us at the workshop (Figure 2). Dr Evans stressed that the problem with DAFS is very complex, and its solution requires multi-actor collaborations among different stakeholders. He stated that the workshop will be informed by input presentations of the project team which has collected primary data through on-farm field research, as well as farmer surveys and expert interviews with key stakeholders from 2018 through 2021. Finally, he wished everyone a fruitful workshop.



**Figure 2:** Participants at the multi-stakeholder workshop in May 2022

### **3.3 Workshop objectives and self-introductions**

Dr Christian Andres (Research Scientist, ETH Zurich) introduced the objectives of the workshop (see section 2), stressing that results are expected to contribute critical information to enhance adoption of DAFS in Ghana. He emphasized that the workshop is seeking vital information from all relevant stakeholders to help in the formulation of research and policy options for effective DAFS programs in Ghana and encouraged everyone to participate actively and let others know their worries regarding DAFS. Dr Andres said that, at the end of the workshop, we hope to:

- Understand the complexity of problems around agroforestry in general and dynamic agroforestry in particular from the perspective of different stakeholders
- Have a set of proposed solutions to increase the adoption of agroforestry
- Identify the necessary changes that have to come about in order to boost the implementation of those solutions

### **3.4 Presentation SANKOFA project**

Bastian Pellhammer (Consultant Ecotop) gave a presentation entitled “SANKOFA”. In his presentation, Mr Pellhammer explained the concept of dynamic agroforestry and its potential benefits in general, and the objectives and approach of the SANKOFA project in particular. Afterwards, Dr Antonio Lopez (Consultant ITC-UN) summarized the production of by-crops and the database that is being established by the SANKOFA project in his short presentation. A copy of the presentation is available by contacting Dr Christian Andres by Email: [christian.andres@usys.ethz.ch](mailto:christian.andres@usys.ethz.ch)

### **3.5 Presentation workshop background (Postdoc study)**

Dr Christian Andres (Research Scientist, ETH Zurich) summarized the state of his Postdoc project in a presentation titled “Biophysical and socio-economic performance of dynamic agroforestry systems (DAFS) with cocoa compared to traditional growing practices”. In his presentation, Dr Andres presented the results of the field research on some 60 selected plots in DAFS interventions in Ghana obtained from 2018 through 2021, showing the potential of DAFS to successfully establish cocoa plantations in a challenging climate while increasing soil fertility and producing many other crops at the same time.

The biophysical results are currently being prepared for publication. The socio-economic results indicate a data gap in terms of productivity and profitability that need to be covered before conclusions can be drawn. A copy of the presentation is available by contacting Dr Christian Andres by Email: [christian.andres@usys.ethz.ch](mailto:christian.andres@usys.ethz.ch)

### **3.6 General discussion about presentations**

Following the presentations, there were some clarifying questions on the contents of the presentation, which mainly addressed the understanding of the contents presented.

### **3.7 Four quadrants of change & Hawaiian circle (structures)**

In the following session, participants were invited to take part in a “four quadrants of change & Hawaiian circle” exercise. The aim of this activity was to help participants consider what kind of change strategies have to be adopted to increase the adoption of agroforestry in general and dynamic agroforestry in particular. Participants had to choose whether they felt change should mainly happen at the level of i) the individual (personal transformation), ii) relationships (transforming relationships), iii) culture (transforming collective patterns of thinking and acting), or iv) structures/systems (transforming structures, processes, mechanisms). By standing in the respective quadrant, there was clear consensus that structures/systems (i.e., COCOBOD) should be the main driver of change: of a total number of 22 people, 10 (45%) stood in quadrant “structures/systems”. Furthermore, 3, 3 and 6 people placed themselves in quadrants “Culture”, “Relationships” and “Individual”, respectively.

Afterwards, one representative per quadrant sat down on a chair, and there was a follow-up discussion about why the respective participant put himself into the particular quadrant. The general outcome of this discussion was:

- Systems are the drivers of change, but change comes only through knowledge and to create knowledge, research is needed. It's important that industry partners support research to generate the information required.



- Change has to come from each sector, and that is why relationships are so important. They can increase awareness if you are in discussion with each other. Furthermore, you can transport ideas, build trust and get people excited about something and this will bring change.
- You cannot change a critical situation with the same mindset. You need people with a different mindset to bring change. And the individual, for instance the farmer, sees the problems on the farm, sees the rainfall and the sun, and if he or she doesn't have the mindset to do something about it, he or she can never overcome the problem.

### **3.8 Workshop Session: Stakeholders' needs and challenges**

Participants were formed into groups, representing the following five stakeholder types: Research/Academia, Farmers, Licensed Buying Companies (LBCs), Non-Governmental Organizations (NGOs) and Chocolate Manufacturers. See Appendix 5.2 for a full list of participants representing the individual stakeholders. Each stakeholder group was given the task to discuss the main challenges they are facing in order to increase the adoption of agroforestry (Figure 3), as well as the needs they have to address these challenges.

Afterwards, each group reported their results back to the plenary. Table I provides an overview of all the needs and challenges mentioned by the individual stakeholder groups. From the various presentations it became clear that, besides resource (R) constraints which all stakeholders face, the behaviour (B) of value chain actors is a key issue in the agroforestry issue, and more facilitated and open exchange is direly needed. Furthermore, existing and sometimes conflicting policies (P) as well as land/tree tenure systems impede the upscaling of agroforestry, and different types of information (I) are also lacking for various stakeholders. Figure 4 shows the frequencies of statements from Table I in the form of a word cloud.



**Figure 3:** Stakeholder group discussing about main needs and challenges to increase the adoption of DAFS

**Table 1:** Overview of all the challenges and needs with respect to agroforestry mentioned by the individual stakeholder groups

<b>Stakeholder</b>	<b>Challenges</b>	<b>Needs</b>	<b>Category</b>
NGOs	Time needed for understanding and adoption	Adequate time for implementing projects	Resources (R)
	Conflicting recommendations from regulators	Coordination among all actors	Policies (P)
	Financial resources	Adequate funds for implementation	R
	Lack of collaboration among NGOs/stakeholders	Exchange program among actors	Behaviour (B)
	Willingness/commitment of farmers	Build on the successes of each other	B
	Lack of exit strategy for projects	Proper planning of exit strategy during project design	B
	Inadequate technical expertise	Technical expertise	Information (I)
Chocolate Manufacturers	Knowledge of the consumer	Independent platform that connects consumer directly to farmer	I
	Environmental impact	Independent platform	I
	Price structure (money often gets stuck when it travels down the supply chain and farmers don't get paid enough)	Needs to be top down	P
Academia/Research	Reliable empirical data	Development of holistic research approach	Research (Res)
	Limited research funding	Sustainability driven research mindset	R
	Research – implementation gap	Extension linkage	B
	Policy – research – implementation gap	Participatory research: farmers as partners	B
	Underusage of research results for innovation	Good baseline information (q & q)	Res

Farmers	Limited access to agricultural extension services (AES)	Increase number of AES and technology	R
	High cost of inputs	Supply of hybrid seedlings, farm tools, equipment, etc.	R
	Health, safety and social needs	Provide health care, PPEs, housing, potable water, electricity, schools, etc.	R
	Climate change and low access to training and research centres for farmers	Provide climate mitigation measures, mechanised farming, DAF technology, farmer field schools and training centres	I
	Land tenure system	Easy access to land	P
	Ownership of trees	Facilitate tree registration process	P
LBCs	Resistance to novelty	Openness of farmers	B
	Cultural change (dynamics) of LBCs	Concerted action	B
	Incentives, motivation	More funds	R
	Regulator influences	Clear policies	P
	Limited market-oriented agricultural advisory services (MOAAS)	Increase MOAAS	B

behaviour  
resources  
information  
policies  
research

**Figure 4:** Frequencies of statements from Table 1 presented in the form of a word cloud

### 3.9 Workshop sessions: Possible solutions and changes needed

To work on possible solutions that satisfy the needs and overcome the challenges of all stakeholders elaborated in the previous session, participants were re-allocated to groups of at least one representative per stakeholder (Figure 5). In the group, they were asked to think of different solutions, which are realistic to implement without bringing about too many trade-offs. Furthermore, they were motivated to try and create win-win scenarios in order to boost the feasibility of such solutions.

Afterwards, each group reported their results back to the plenary. Table 2 provides an overview of all the possible solutions mentioned by the individual groups. From the various presentations it became clear that besides the need to be increase resources (R) considerably, the behaviour (B) of value chain actors needs to be geared towards stronger inter- and intra-stakeholder partnerships and more participatory action for i) the co-production of knowledge through research, ii) the generation of efficient information (I) flows and iii) the revision of existing policies (P) such as land and tree tenure systems. Figure 6 shows the frequencies of statements from Table 2 in the form of a word cloud.

The following World Café suggested the changes needed at individual, relationships, culture and structure level in order to increase the likelihood of the proposed solutions working. The three groups agreed that on the individual level, there needs to be willingness, understanding and commitment as well as awareness creation. On the relationship level, there was consensus, that a common digital platform is needed for interaction targeted at trust and confidence building, exchanging of programs and ideas. This would also help to increase mutual respect, as interdependencies could easily be acknowledged. The culture should thus be one of transformative change, building on success stories and indigenous knowledge, coupled with a mindset of globalisation and technology. Finally, the system should be steered towards long-term planning and investments, proactiveness and participation in decision making (thereby mitigating power plans) that are targeted at exploiting synergies among all value chain actors and enhanced community engagement. A concerted action could be the installation of demo farms and technical/logistical support systems.



**Figure 5:** Multi-stakeholder group discussing about possible solutions to increase the adoption of DAFS

**Table 2:** Overview of all the possible solutions mentioned by the individual groups

<b>Group</b>	<b>Possible solutions</b>	<b>Category</b>
1	Minimum five years for implementation time	R
	More diversified funding sources	R
	Co-establish closer linkage of stakeholders in research – introduction of policy makers to the importance of ecosystem services	B
	Improving the domestic market for produce – eat what you produce	B
	Bridging the communication gap between producers and consumers	I
2	Cross-sector partnership: AES, health and safety	B
	Business module sensitisation: farmer field schools (knowledge distribution, adaption and mitigation measures)	I
	Policy review and engagement	P
	Ghana standard certification	P
3	Guidelines/manual for agroforestry	I
	Financial support for project implementation	R
	Technical support, training on input application	I
	Land tenure reforms, dialogue with traditional authorities and government	P
	Tree tenure, registration of trees	P
	Promotion and adoption of climate smart agricultural practices, e.g. tree planting, banana irrigation, crop diversification, etc.	B
	Participatory approaches to technical development and transfer (improve extension)	B
Farmer service centres on DAFS and sustainable farming approaches	R	
4	Create a common platform for interaction among all stakeholders (new trends, opportunities, etc.)	B
	Structures, interdependencies acknowledgement, trust/confidence building, exchange programs, volunteering	B
	Resource commitment (financial, capacity, logistical)	R
	Policy direction (land tenure, tree registration/ownership, inputs)	P
	Innovations (technology research)	Res
	Effective participation, collective decisions, equal access to information amongst stakeholders	B



**Figure 6:** Frequencies of statements from Table 2 presented in the form of a word cloud

### **3.10 Eight fields of change & Hawaiian circle (stakeholders)**

Everybody was invited to participate in the exercise “eight fields of change & Hawaiian circle”. The aim of this activity was to stimulate a discussion among participants about which stakeholder needs to change most in order to increase the adoption of agroforestry.

Participants had to choose whether they felt change should mainly happen at the level of i) Management (COCOBOD), ii) Academia/Research, iii) Extension, iv) Farmers, v) LBCs, vi) NGOs, or vii) Chocolate Manufacturers. By standing in the respective quadrant, the general consensus became clear that the main driver of change should be management, i.e., COCOBOD. From a total number of 22 people, 7 (32%) placed themselves in the field “Management (COCOBOD)”. Furthermore, 2, 1, 4, 4, 2 and 2 people placed themselves in the field “NGOs”, “Extension”, “Chocolate Manufacturers”, “Farmers”, “Academia/Research” and “LBCs”, respectively.

Afterwards, one representative per field sat down on a chair, and there was a follow-up discussion about why each participant put themselves into the particular field. The general outcome of this discussion was:

- Everybody needs to change at his or her level and there should be more communication and coordination among the various actors



## **4. Conclusions and Outlook**

Among the major achievements of the workshop was the emergence of contrasting views about how the issue of enhancing agroforestry adoption should be tackled. While there was a general consensus that more collaboration among all involved stakeholders is needed to tackle the problem, COCOBOD generally expressed the opinion that they are the ones setting the rules according to which all cocoa value chain actors should play. Other stakeholders felt there should be more participation in aspects such as research, information sharing, quality assurance and policy making. These views underline that mutual respect (individual areas of expertise) and trust between individual value chain actors and resulting information flows are critical factors for the issue at stake. Bringing stakeholders closer together for facilitated information exchange will be crucial to build this trust. This may be achieved through the establishment of demonstration farms across the cocoa growing regions by collaborative efforts of COCOBOD, NGOs/LBCs and farmers. These could also be used to continuously monitor and steer activities carried out on the ground. It will be especially important to involve the traditional leaders (chiefs) in those platforms, as their consent is needed to ensure that the word will spread to the concerned farmers. Also, land and tree tenure systems need to be revised in a participatory process with the chiefs, in order to facilitate change. On the technical side of the problem, a harmonized extension manual to facilitate sustainable cocoa production was called for.

This multi-stakeholder workshop was an excellent opportunity to understand the complexity of the problems around agroforestry from the perspective of different stakeholders, and to propose potential feasible solutions along with the necessary changes to boost their implementation. This document shall serve as a basis for follow-up discussions aimed at integrating the proposed solutions and necessary changes into existing programs and policies. We hope that our results are useful for the elaboration of an implementation action plan to boost the adoption of agroforestry in general and dynamic agroforestry in particular in Ghana.

## 5. Appendices

### 5.1 Workshop program



KNUST



Eidgenössische Technische Hochschule Zürich  
Swiss Federal Institute of Technology Zurich

ETH Zurich



Kuapa Kokoo  
Farmers Union



ECOTOP

Ecotop Consult



Halba

### Multi-Stakeholder Workshop

**Dynamic agroforestry (DAF) with cocoa in Ghana – results from four years of research and their implications for sustainable cocoa production in Ghana**

DATE: Friday, 6<sup>th</sup> May 2022

VENUE: Kings Towers Hotel (two minutes from KNUST), Ahinsan Security Gate,  
Ahinsan Estate, Kumasi, Ghana

Programme outline		
Time	Topic / Session	Facilitator(s)
08:30	Arrival and registration of participants	Workshop Assistants
09:00	Opening prayer	Volunteer participant / all
09:05	Welcome address by Dr Evans Dawoe (KNUST)	Dr Evans Dawoe (Chairman)
09:10	Workshop objectives and self-introductions	Dr Christian Andres
09:30	Presentation agroforestry research at KNUST	Dr Evans Dawoe
09:50	Presentation DAF research	Dr Christian Andres
10:30	General discussion about presentations	Dr Evans Dawoe
10:45	Four quadrants of change & Hawaiian circle	Dr Christian Andres
11:00	<b>Coffee Break</b>	
11:30	Workshop session 1: Stakeholders' needs and challenges	Dr Christian Andres
	Group work / discussions	Dr Evans Dawoe Dr Christian Andres
12:15	Workshop session 2: Presentation of group results (session 1), discussion (clarify)	Dr Evans Dawoe
12:45	<b>LUNCH</b>	
13:45	Workshop session 3: Possible solutions	Dr Christian Andres
	Group work / discussions	Dr Evans Dawoe Dr Christian Andres
14:30	Workshop session 4: Presentation of group results (session 3), discussion (explore)	Dr Evans Dawoe
15:00	Eight fields of change & Hawaiian circle	Dr Christian Andres
15:15	Workshop Session 5: Changes needed (World Café)	Dr Christian Andres
16:00	Workshop Session 6: Presentation of results from World Café	Dr Evans Dawoe
16:45	Wrap-up and outlook	Dr Christian Andres
17:00	<b>DEPARTURE</b>	

## 5.2 List of participants

Name	Position	Institution	Stakeholder	Email	Phone number 1	Phone number 2
Bastian Pellhammer	Consultant	Ecotop	NGO	b.pellhammer@ecotop-consult.de	+4916098497402	
Benjamin K. Asare	Project Manager	Fairtrade Africa	NGO	b.asare@fairtradeafrica.net	0243029418	
Samuel Osei Kwadwo	Senior Project Officer	Fairtrade Africa	NGO	s.kwadwo@fairtradeafrica.net	0242673516	
Antonio Lopez	Consultant	ITC-UN	NGO	mijuamarel@gmail.com	0555296301	
Michael Boating	MEL Officer	ITC	NGO	michaelboating@gmail.com	024002646	0202116485
Gottfried Baidoo	Project Field Coordinator	Kuapa Kokoo	Farmers	gottfriedbaidoo@gmail.com	0244744261	
Nelson Adubofour	Executive Secretary	Kuapa Kokoo	Farmers	nadubofour@kuapakokoo.com	0540113923	
Evans Dawoe	Senior Lecturer	KNUST	Academia/Research	edawoe@gmail.com	0244928115	
Michael Obour Opoku-Agyeman	Senior Research Scientist	CRIG	Academia/Research	mobour@yahoo.com	0501290696	02449798019
Oliver Mills	DTM	CHED	Extension	olivermills2011@gmail.com	0244979081	
Dennis Oppong	Program Manager	AgroEco	NGO	d.opping@agroeco.net	0244502917	
Mercy Owusu Ansah	Director	Tropenbos Intl.	NGO	mercyowusuansah@yahoo.com	0208212799	0207878603
Bismark Odum	Program Officer	Solidaridad	NGO	bismark@solidaridadnetwork.org	0244928115	
Kwame Kusi-Wiredu	Project Manager	PurProjet	NGO	kwame.kusiwiredu@purprojet.com	0504698469	

Richard Kwadwo Kombat	Farm Services Manager	Barry Callebaut	LBCs	richard_kombat@barry-callebaut.com	0244028941	
Ernest Dandi	CFI Supervisor	Beyond Beans	LBCs	ernest.dandi@beyondbeans.org	10557786988	
Michael Poku-Marboah	Project Manager	Touton	LBCs	m.marboah@touton.com	0552368782	
Yayra Glover	CEO	Yayra Glover	LBCs	yayraglover@sunrise.ch	0242039797	
Benjamin Oska	Managing Director	Yayra Glover	LBCs	ben@yayraglover.com	0242039797	
Kwadwo Antasi	Photographer	Yayra Glover	LBCs			
Evelyne Rüz-Rey	CEO	Cru-Riche	Chocolate Manufacturers	mail@cru-riche.ch	+41793397777	
Sepp Schönbächler	GBL	Felchlin	Chocolate Manufacturers	sepp.schoenbaechler@felchlin.com		
Christian Andres	Research Scientist	ETH Zurich	Academia/Research	christian.andres@usys.ethz.ch	0553797877	
Susana Eshun	Project Assistant	OPC	NGO	suzzysshotkitchen@gmail.com		
Alexander Pfyffer	Project Assistant	OPC	NGO	alexander.pfyffer@gmail.com	+41798123837	
Sibylle Lustenberger	PhD Candidate	Swiss TPH	Academia/Research	sibylle.lustenberger@swisstph.ch	+41795145658	
Manuel Schneider	General Chief Executive	FCB	Academia/Research	schneider.manuelandrea@gmail.com	+41789062214	
Maurice Amooh	MMM	Rainforest Alliance	NGO	mamooh@ra.org	0246661752	
Jnusah Issaa	DBO	AgroEco	NGO	i.issah@agroeco.net	0242209287	