

**KWAME NKRUMAH UNIVERSITY OF SCIENCE AND TECHNOLOGY,
KUMASI, GHANA**

**Nature, Antecedents and Outcomes of Modern Slavery in Supply Chains:
Evidence from Ghana's Upstream Cocoa Supply Chain**

By

Saim Mary Adwoa (MSc. Logistics and Supply Chain Management)

A Thesis submitted to the Department of Information Systems and Decision Sciences,
College of Social Sciences, School of Business
in partial fulfillment of the requirements for the degree of

MASTER OF PHILOSOPHY

August, 2022

DECLARATION

I the undersigned hereby declare that this submission is my own work towards the Master of Philosophy, prepared in accordance with the rules and regulations that governs the writing and presentation of dissertation at KNUST and that, to the best of my knowledge, it consists of no material previously published by another person nor material which has been accepted for the award of any other degree of the university, except for references where due acknowledgement has been made in the text. I sincerely declare that I have undertaken the research herein under supervision.

Mary Adwoa Saim
(PG5450320)	Signature	Date

Certified by:

Dr. Emmanuel K. Anin
(Supervisor)	Signature	Date

Certified by:

Prof David Asamoah
(Head of Department)	Signature	Date

DEDICATION

I dedicate this work to my Lord and Master Jesus Christ

ACKNOWLEDGEMENT

My utmost gratitude belongs to God Almighty, by whose sufficient grace enabled me to bring this work to a successful completion. Popularly said, no thesis is the work of only the author, and candidly the success of this piece of work is as a result of the immense support of many people who through diverse means contributed to the realization of its outcome. Foremost, I wish to express my sincerest gratitude to Dr. Dominic Essuman and Dr. Emmanuel K. Anin, for their supervision, constructive comments and useful suggestions. Your enormous contribution made it possible for the completion of this masterpiece.

A special acknowledgement also goes to Prof. Nathaniel Boso, the Director of CARISCA and other CARISCA team, the Head of Department Prof David Asamoah as well as all the lecturers in the Department of Logistics and Supply Chain Management, KNUST School of Business for their diverse assistance. I am exceptionally appreciative to all the respondents; farmers and farmhands who supplied me with relevant data to successfully complete this thesis. I am also thankful to my family for their love and financial support.

ABSTRACT

Most countries in the Sub-Sahara Africa are faced with modern slavery and dealing with it is a crucial challenge confronting government. Despite this, the comprehensive supply chain's demand for less expensive labor remains a key influence of modern slavery. However, enumerating this issue shifts the debate from finding solutions to questioning the problem in order to remediate it. In this regard, the concern of modern slavery in supply chains has become prominent and contemporary issue of interest in supply chain management. This study therefore evaluates the nature, antecedents, and outcomes of modern slavery in supply chains with evidence from Ghana's upstream cocoa supply chain. The study focused on identifying forms and dynamics that modern slavery takes at different interfaces within Ghana's upstream cocoa supply chain; examining factors that explain the forms and dynamics of modern slavery at different interfaces; assessing how modern slavery-type affects weaker actors. and evaluating how affected actors at different relationship interfaces respond to different forms of modern slavery in Ghana's upstream cocoa supply chain. In view of this, the study utilized a qualitative approach to collect data from respondents; farmers and farmhands. Results revealed that debt bondage, labour exploitation and child labour are the common forms of modern slavery at different interfaces within Ghana's upstream cocoa supply chain. Again, it was examined that factors that lead people to a particular form and dynamic of modern slavery could be characterized under any of the following three levels of determinants; individual or household, societal and environmental. The study also revealed that modern slavery-type affects weaker actors resulting in physical and psychological hazards and trauma of which they respond by smuggling, pilfering or being neglectful. The study recommends that the government should set a committee whose main work is to randomly and unexpectedly visit sites to ensure that protection and rule of law are adhere to.

TABLE OF CONTENTS

DECLARATION	ii
DEDICATION	iii
ACKNOWLEDGEMENT	iv
ABSTRACT	v
TABLE OF CONTENTS	vi
LIST OF TABLES	x
LIST OF FIGURES	x
LIST OF ABBREVIATIONS AND ACRONYMS	xii
CHAPTER ONE	1
INTRODUCTION	1
1.0 BACKGROUND OF STUDY	1
1.1 STATEMENT OF THE PROBLEM	3
1.2 RESEARCH OBJECTIVES	6
1.3 RESEARCH QUESTIONS	6
1.4 SIGNIFICANCE OF THE STUDY	7
1.5 RESEARCH METHODOLOGY	7
1.6 SCOPE OF THE STUDY	8
1.7 LIMITATIONS OF THE STUDY	8
1.8 ORGANIZATION OF THESIS	9
CHAPTER TWO	10
LITERATURE REVIEW	10
2.0 INTRODUCTION	10
2.1 SUPPLY CHAIN	10
2.2 MODERN SLAVERY	11
2.3 MODERN SLAVERY AND SUPPLY CHAINS	13

2.4 DETERMINANTS OF MODERN SLAVERY	16
2.4.1 Determinants of Modern Slavery in Supply Chains	18
2.5 FORMS OF MODERN SLAVERY	19
2.5.1 Labour Exploitation	19
2.5.2 Sex Trafficking / Sexual Exploitation	19
2.5.3 Domestic Servitude	20
2.5.4 Child Labour	21
2.5.5 Criminal exploitation	22
2.5.6 Debt Bondage	22
2.6 DYNAMICS OF MODERN SLAVERY	23
2.6.1 Demand side	24
2.6.2 Supply side	25
2.7 RESPONDING TO ISSUES OF MODERN SLAVERY IN THE SUPPLY CHAIN	26
2.7.1 Transparency	27
2.8 DETECTION AND REMEDIATION MECHANISMS FOR MODERN SLAVERY SURVIVORS	30
2.8.1 Detection	31
2.8.2 Remediation	32
2.8.3 Risk mitigation	34
2.8.3.1 Recognize workers' rights	34
2.8.3.2 Improve human rights due diligence systems and practices	35
2.8.3.3 Work with others organizations to address risks of slavery in their supply chains	36
2.8.3.4 Request for improved enforcement and regulation	36
2.9 CONSEQUENCE OF MODERN SLAVERY	37
2.9.1 Costs as a consequence of modern slavery	40

2.10 SOCIAL SUSTAINABILITY AND MODERN SLAVERY IN SUPPLY CHAIN	
41	
2.11 THEORETICAL REVIEW	44
2.12 RESOURCE DEPENDENCY THEORY	44
2.13 TRANSACTION COST ECONOMICS PERSPECTIVE	46
2.14 GLOBAL VALUE CHAIN ANALYSIS	49
2.15 EMPERICAL REVIEW	52
2.16 COCOA VALUE CHAIN	55
2.17 GHANA COCOA CHAIN	58
2.18 GHANA'S COCOA SUPPLY CHAIN	59
2.19 MODERN SLAVERY IN GHANA COCOA CHAIN	64
CHAPTER THREE	65
METHODOLOGY	65
3.1 INTRODUCTION	65
3.2 RESEARCH DESIGN	65
3.3 POPULATION	65
3.4 SAMPLE SIZE	66
3.5 SAMPLING TECHINQUES	67
3.6 UNIT OF ANALYSIS	67
3.7 KEY INFORMANTS/ RESPONDENTS	68
3.8 TYPES AND SOURCES OF DATA	68
3.9 DATA COLLECTION INSTRUMENT AND PROCEDURE	68
3.10 DATA ANALYSIS	69
3.11 VALIDITY AND RELIABILITY	70
3.12 ETHICAL CONSIDERATION	71

CHAPTER FOUR	72
DATA ANALYSIS, RESULTS AND DISCUSSIONS	72
4.1 INTRODUCTION	72
4.2 RESPONSES AND DEMOGRAPHIC ANALYSIS	72
4.3 RESULTS	74
4.3.1 Identifying forms and dynamics that modern slavery takes at different interfaces within Ghana’s upstream cocoa supply chain	74
4.3.2 Examining factors that explain the forms and dynamics of modern slavery at different interfaces within Ghana’s upstream cocoa supply chain	77
4.3.2.1 Individual or Household Level	77
4.3.2.2 Societal Level	78
4.3.2.3 Environmental Level	79
4.3.3 Assessing how modern slavery-type affects weaker actors in Ghana’s upstream cocoa supply chain	79
4.3.4 Evaluating how affected actors at different relationship interfaces respond to different forms of modern slavery in Ghana’s upstream cocoa supply chain.	81
4.4 DISCUSSION	85
CHAPTER FIVE	88
SUMMARY OF FINDINGS, CONCLUSION AND RECOMMENDATIONS	88
5.0 INTRODUCTION	88
5.1 SUMMARY OF FINDINGS	88
5.2 CONCLUSION	92
5.3 MANAGERIAL/PRACTICAL IMPLICATIONS	93
5.4 RECOMMENDATION	95
REFERENCES	96
APPENDIX A	112

LIST OF TABLES

Table 4.1: Demographic characteristics	72
Table 4.2: Demographic characteristics (Farmers)	73
Table 4.3: Demographic characteristics (Farmhands)	73

LIST OF FIGURES

Figure 2.1 Dynamics of Modern Slavery in Supply Chains	26
Figure 2.2 Flow process of Ghana Cocoa Supply Chain Network	63
Figure 4.1 Forms and Dynamics that Modern Slavery takes at different interfaces within Ghana's upstream cocoa supply chain.	77
Figure 4.2 How modern slavery-type affects weaker actors.	81
Figure 4.3 How affected actors respond to different forms of modern slavery	82
FIGURE 4.4 CONCEPTUAL FRAMEWORK	83
FIGURE 4.4 CONCEPTUAL FRAMEWORK	84

LIST OF ABBREVIATIONS AND ACRONYMS

CDC	Centers for Disease Control
COCOBOD	Ghana Cocoa Board
CMB	Cocoa Marketing Board
CMC	Cocoa Marketing Company
CVC	Cocoa Value Chain
GCR	Global Corporate Responsibility
GVC	Global Value Chain
ETI	Ethical Trading Initiative
ILO	International Labour Organization
LBC's	Licensed Buying Companies
NGO	Non-Governmental Organization
RDA	Resource Dependence Approach
RDT	Resource Dependency Theory
SCM	Supply Chain Management
SDG	Sustainable Development Goals
SCT	Supply Chain Transparency
TCE	Transaction Cost Economics
UN	United Nations
WCED	World Commission on Environment and Development
WCF	World Cocoa Foundation

**Jankuwics, D. (2002): Business
Research Project. 3rd ed.
London; Thompson Learning.**

Johnson G et al., (2008): The consequences of individual fit at work: A meta-analysis of person-job, person-organization, person-group, and person-supervisor fit, *personal psychology*, 58, 28-34.

Krueger, A., and Rouse, C. (2015): The effect of workplace education on earnings, turnover, and job performance. *Journal of Labor Economics*, 16(1): 61-94.

Jankuwics, D. (2002): Business Research Project. 3rd ed.

London; Thompson Learning.

Johnson G et al., (2008): The consequences of individual fit at work: A meta-analysis of

person-job,

person-organization,

person-group, and

person-supervisor fit, personal psychology, 58, 28-34.

Krueger, A., and Rouse, C.

(2015): The effect of workplace education on earnings, turnover, and job

performance. *Journal of Labor Economics*, 16(1): 61-94.

Jankuwics, D. (2002):

Business Research

Project. 3rd ed. London;

Thompson Learning.

Johnson G et al., (2008):

The consequences of

individual fit at work: A

meta-analysis of

person-job,

person-organization,

person-group, and

person-supervisor fit,
personal psychology, 58,
28-34.

Krueger, A., and Rouse,
C. (2015): The effect of
workplace education on
earnings, turnover, and
job
performance. *Journal of
Labor Economics*, 16(1):
61-94.

Jankuwics, D. (2002): Business Research Project. 3rd ed.

London; Thompson Learning.

Johnson G et al., (2008): The consequences of individual fit at work: A meta-analysis of

person-job,

person-organization,

person-group, and

person-supervisor fit, personal psychology, 58, 28-34.

Krueger, A., and Rouse, C.

(2015): The effect of workplace education on earnings, turnover, and job

performance. *Journal of Labor Economics*, 16(1): 61-94.

Jankuwics, D. (2002): *Business Research Project*. 3rd ed.

London; Thompson Learning.

Johnson G et al., (2008): The consequences of individual fit at

work: A meta-analysis of person-job,

person-organization,

person-group, and

person-supervisor fit, *personal psychology*, 58, 28-34.

Jankuwics, D. (2002):

Business Research

Project. 3rd ed. London;
Thompson Learning.

Johnson G et al., (2008):
The consequences of
individual fit at work: A
meta-analysis of
person-job,
person-organization,
person-group, and
person-supervisor fit,
personal psychology, 58,
28-34.

13

Freund, A. (2005):
Commitment and job
satisfaction as predictors
turnover intentions among
welfare
workers. *Administration in
Social Work*, 29(2), 5-21.

Garavan, T. N., Morley, M.,
Gunnigle, P., and Collins, E.
(2001): Human Capital
accumulation: The role
of human resource
development. *Journal of
European Industrial Training*,
25(2/3/4), 48-68.

Goetz, S. J. and Hu, D. (2016):
Economic growth and human
capital accumulation:
Simultaneity and
extended convergence tests.
Economics Letter, 51, 355362.
83

Green, F. (1993): The
determinants of training of male
and female employees in
Britain. Oxford Bulletin
of Economics and Statistics,
55(1), 103-122.

Gutteridge T. G. Leibowitz
Z.B. and Shore J.E. (1993):

When Careers Flower,
Organizations Flourish,
Train. Dev. J.47:24-29.

Hair, J.F., Black, W.C., Babin,
B.J. and Anderson, R.E.
(2010): Multivariate Data
Analysis; a global
perspective, New Jersey,
Prentice Hall.

Huang, M.H. and Yu, S. (2018):
Are consumers inherently or
situationally brand loyal? A set
Inter-
correlation account for
conscious brand loyalty and no

conscious inertia, *Psychology and Marketing*, Vol. 16 No. 6, pp. 534-44.

Huselid, M.A. (2017): The impact of human resource management practices on turnover, productivity, and corporate financial performance. *Academy of Management Journal*, 38: 635-672.

Iles, P. A., Mabey, C., and Robertson, I. T. (1990): HRM practices and employee commitment:

Possibilities, pitfalls and paradoxes. *British Journal of Management*, pp, 147-157.

Jaw, B. and Liu, W. (2004): Promoting Organizational Learning and Self Renewal in Taiwanese Companies: The Role of HRM (Human Resource Management), 42 (3), 223 -241.
84.

Jankuwics, D. (2002): *Business Research Project*. 3rd ed. London; Thompson Learning.

Johnson G et al., (2008): The consequences of individual fit at

work: A meta-analysis of person-job, person-organization, person-group, and person-supervisor fit, *personal psychology*, 58, 28-34.

Krueger, A., and Rouse, C. (2015): The effect of workplace education on earnings, turnover, and job performance. *Journal of Labor Economics*, 16(1): 61-94.

Kraus, D (2007): Embracing diversity cross-cultural coaching programmes for organization, the

occupational psychologist, 49,
12-19.

Lepak, D. P., and Snell, S. A.
(2018): The human resource
architecture: Toward a theory of
human capital
allocation and development.
Academy of Management
Review, 24, 31 – 48.

London, M. (2019): Managing
the Training Enterprise. San
Francisco: Jossey-Bass.

Luthans, F. (2015):
Organizational Behavior. 8th ed.
Boston: Irwin McGraw-Hill.

Mac Duffie, J.P. (2017): Human resource bundles and manufacturing performance

ankuwics, D. (2002): Business Research Project. 3rd ed.

London; Thompson Learning.

Johnson G et al., (2008): The consequences of individual fit at work: A meta-analysis of person-job, person-organization, person-group, and person-supervisor fit, *personal psychology*, 58, 28-34.

CHAPTER ONE

INTRODUCTION

1.0 BACKGROUND OF STUDY

Modern slavery is not a new concept. Every country is being faced with the intricate blooming felony of modern slavery. According to Scott (2012), initial definition of modern slavery could be traced way back in 1926 League of National Slavery Convention as “the exercise of control over a person by another such as a person might control a thing” (Scott, 2012). International Labor Organization (2018) stated that, “there are an estimated 40.3 million people worldwide in some form of modern slavery globally”. Modern slavery frequently arises in organizations which operate with people with low skills and are labor intensive (Avis 2020). Dealing with modern slavery has become a crucial challenge which confronts every society, as well as every government. This is because parties associated with modern slavery, especially with forced labor has been generating huge amount of money in this illegal business. Efforts are hampered by diverse factors which include not been able to understand problems which augment hazards associated with slavery as well as the level the offense at both nationwide and global levels (Larsen and Durgana, 2017).

Modern slavery has been generally acknowledged as a discreditable problem on the general public but sadly however, organization’s supply chains remains part of this blight (Walk free, 2019). “Over the past few decades the globalization of economic forces, actors and markets has had both positive and negative effects; contributing to economic prosperity on one hand, and leading to business-related human rights violations on the other” (Hampton D., 2019). According to Hampton (2019), modern slavery practices such as forced labor, human rights abuse, debt bondage and hazardous conditions of

work which are usually concealed are the unplanned aspects of the global supply chain following the production of our daily products. Shilling et al. (2021) explains that, “slavery hides within complex supply chains, making it difficult to identify instances of human exploitation”. These complex and extensive supply chains make it complicated to supervise those who are working, where they are working and the circumstances or conditions under which they work as well as the persistent desire for lower prices also augment labour cost (Stevenson et al., 2018). Thus, the global supply chain’s demand for inexpensive labor remains an important universal influence of modern slavery (Gold et al., 2015; New, 2015). Therefore, issues that concern modern slavery have of late gained significant recognition both in public and academic due to how high-profile human rights are surfacing in global supply chains (Gold et al., 2015).

Lately, most of the study on modern slavery focuses on the complex nature of firms’ supply chains in global operations and how it obscures practices that leads to severe labor exploitation (Gold et al., 2015) and ways to enforce legislative structures that guide employment relationship which are related to modern slavery (Bott and Nolan, 2018). Shilling et al. (2021) stated that “beyond government, organizations in all sectors of the economy, including businesses such as investors and banks, are increasingly becoming sensitive to the problem of globalized modern slavery and beginning to take action in addressing their implicit accountabilities”. The problem of modern slavery is somehow conceptual in nature. This is because organizations usually prioritize the flow of commodities in their supply chains rather than the flow of people. However, modern slavery is connected to the supply chain of workers rather than the supply chain of materials (New, 2015).

In developing countries, modern slavery is not an exception and has developed into a rising phenomenon. Opportunities for exploitation are produced in diverse forms and at

several points. Child labor, forced labor, debt-bondage and human trafficking are the common forms of modern slavery which are prevalent in the supply chains developing economies and the lowest tiers of manufacturing and services are in sectors such as mining, construction, agriculture and fisheries (Annan, 2017). To this effect Deshingkar et al. (2019) pointed out that, governmental bodies and other non-for-profit businesses have been making grave attempts in improving track records and eliminating the exploitative practiced of modern slavery even though it has not been very successful.

1.1 STATEMENT OF THE PROBLEM

In recent years, much attention has been drawn towards the phenomenon of modern slavery by the society, policy makers, business /non-business organizations, in institutions and to a large extent in literature. “A prevalence of literature revealed that the data on modern slavery and evidence on ‘what works’ in tackling it, remains very limited and it is therefore a challenge (Larsen & Durgana, 2017). Larsen & Durgana (2017) further mentioned that it appears that most intercessions are focused on aiding the individuals to avoid modern slavery, or on supporting survivors. Thus, according to Gold et al. (2015), there is less attention on addressing the structural forces that compel the exploitative nature of modern slavery such as strengthening worker’s rights. “Presumably, modern slavery issues challenge conventional thinking and practice in corporate social responsibility, there by affecting economic growth and development globally” (Gold et al. 2015).

Observably, various studies have been undertaken concerning how to ameliorate modern slavery. Research by Bloomfield and Le Baron (2018) for instance revealed that, “there has been legislation from policy makers of countries like the United Kingdom and the United States to advance transparency regimes”. The study explained that, the

Sustainable Development Goals (SDG) has reinforced the significance of addressing modern slavery, and that the policy has encouraged related initiatives at an international level. However, the study concluded that, “lack of official enforcement is hampering the potential impact the Modern Slavery Act could have” (Bloomfield and Le Baron, 2018).

Stevenson and Cole (2018) examined the technical, social and contextual systems that are conducive to advancing transparency regimes for the detection and remediation of modern slavery, how organizations delineate detection and remediation of modern slavery in their diverse functioning within the supply chains and also to comprehend these organizations’ advances towards how information is revealed regarding modern slavery legislation.

Further literature reveals that, technology presents transformational prospective not just with the intention of disrupting and reducing modern slavery but rather to assist in care and remedy mechanisms for survivors (Bogucharskov et al., 2018; Choi, 2020). On the contrary, Chang et al. (2019) discloses that technology without doubt presents both a threat as much as an opportunity. But “the opportunity for using technology as a tool to identify people who are in modern slavery and to assist them is far greater and they outweigh the threat” (Chang et al., 2019). Research has shown that perpetrators behind modern slavery on one hand possibly install different communication and information technology to exploit vulnerable people (Walker, 2019). “This may include online grooming, control of victims through mobile phones or webcam surveillance, or the network dissemination of illegal materials resulting from sexual exploitation” (Wilton, 2017). However according to Taylor and Shih (2019), digital technology, on another hand may possibly be a potent instrument for fighting modern slavery by making available opportunities to discover and avert such misconducts, and also support victims.

In terms of labor rights, “modern slavery is a global crisis that leads to appalling human rights violations and suffering” (Modern Slavery Act 2015). Aaronson and Wham (2016) mentioned that labor rights have still not become a key issue in fighting modern slavery and even with a more involvement recently by governments and NGOs, labor rights issues are still not effectively acknowledged by most businesses. Other Studies also exposed the degree of vulnerability of modern slavery in the cocoa supply chains industries and described methods to scientifically track abuses (Odijie, 2016; Vaughn, 2019; Lafargue et al., 2021).

The enthusiasm for undertaking this study mainly lies with the fact that the rising competitive form of global business environment has effectively made supply chains essential for competition and business success. However, the phenomenon of modern slavery in supply chains especially in the upstream still raises major concerns. Modern slavery in supply chains represents a significant field of study that requires attention. Yet, the notion seems to have received limited scholarly attention. To date, research that holistically examines together, the nature and antecedents of modern slavery in supply chains appears rare. Also, in as much as there are several works on legislation regimes on transparency, detection and remediation of modern slavery, studies that comprehensively examines outcomes of modern slavery in supply chains appears to be understudied in literature particularly in developing countries. To this effect, this study is not only aimed at examining the nature and antecedents of modern slavery in supply chains but also outcomes of modern slavery, particularly in the upstream cocoa supply chain.

1.2 RESEARCH OBJECTIVES

The study generally seeks to examine the nature, antecedents, and outcomes of modern slavery in Ghana's upstream cocoa supply chain. To find answers to the objective, the study attempts to;

1. Identify forms and dynamics that modern slavery takes at different interfaces within Ghana's upstream cocoa supply chain.
2. Examine factors that explain the forms and dynamics of modern slavery at different interfaces within Ghana's upstream cocoa supply chain.
3. Assess how modern slavery-type affects weaker actors in Ghana's upstream cocoa supply chain.
4. Evaluate how affected actors at different relationship interfaces respond to different forms of modern slavery in Ghana's upstream cocoa supply chain.

1.3 RESEARCH QUESTIONS

To find meaning to these essential objectives, specifically, the study addresses the following questions:

1. What forms and dynamics does modern slavery take at different interfaces within Ghana's upstream cocoa supply chain?
2. What factors explain the forms and dynamics of modern slavery at different interfaces within Ghana's upstream cocoa supply chain?
3. How does modern slavery-type affect weaker actors in Ghana's upstream cocoa supply chain?
4. How do affected actors at different relationship interfaces respond to different forms of modern slavery in Ghana's upstream supply chain?

1.4 SIGNIFICANCE OF THE STUDY

The notion to increase profit by stakeholders domestically and globally through cheap labour has led to rise in modern slavery. Modern slavery is a universal dilemma that leads to dreadful human rights violation and suffering (Modern Slavery Act, 2015). Notwithstanding, antecedents and outcomes of modern slavery in the supply chain especially in the upstream of the supply chain though of great interest to all stakeholders in the supply chain to a large extent is overlooked. To this effect, this study seeks to address implications of modern slavery in the supply chain. The study will therefore be of great value to stakeholders since it contributes to both theory and practice. Given that the study seeks to reveal the economic implications of nature, antecedents and outcomes of modern slavery in the upstream the supply chain and its effect on value chain, results from this study expectantly would provide insight to support best practices and also guides policy decisions. Again, this study will serve as contribution towards development in the supply chain management field and also a foundation for future research.

1.5 RESEARCH METHODOLOGY

The study adopted a qualitative method. The empirical context for the study comprised upstream supply chains within the municipal of Bekwai District in the Ashanti Region of Ghana with cocoa farmers and farmhands as targeted participants. Primary data was used to answer questions for this study. The data was collected by conducting interview. The data was analyzed using content analysis with the aid of Nvivo tool.

1.6 SCOPE OF THE STUDY

This study centers on; examining nature, antecedents, and outcomes of modern slavery in Ghana's upstream cocoa supply chain. Preferably, any assessment of modern slavery in Ghana is important. The study focused on upstream cocoa supply chain at the Sefwi Municipal District in the Western North Region of Ghana.

1.7 LIMITATIONS OF THE STUDY

Limitations of any study concern some form of potential weakness that are intimately linked with the selected research design, financial support restraints, statistical model constriction or other causes which more often than not are out of control (Theofanidis and Fountouki, 2018; Akanle et al., 2020) but may still affect the study design, results and ultimately conclusions, of which this study was not exceptional. In this respect, the following limitations were observed for this study;

The study sample may possibly not be fairly representative of the entire population of farmers and farmhands in all cocoa-growing areas in Ghana, as the researcher was constrained by time. Ghana has six cocoa-growing regions which are the Western, Central, Brong Ahafo, Eastern, Ashanti and Volta Region. However, this study did not extend beyond cocoa farming communities in the Western Region of Ghana. Furthermore, the study was limited to the concept of modern slavery in the cocoa supply chain, which is acknowledged as an effort to illegitimately underpriced labour, through undue advantage of a particular situation associated to business and wider conventional settings such as regulatory, geographical, cultural and socio-economic context, and eliminating other form of modern slavery such as sex trafficking, domestic servitude and criminal exploitation. Again, the study examined nature, antecedents and outcomes of modern slavery in supply chains. However, the context of modern slavery did not extend

to other sectors of agricultural practices in Ghana such as mining and fishing but limited to only the upstream cocoa supply chain in Ghana. As such, the findings should be considered in the light of the above.

1.8 ORGANIZATION OF THESIS

For easy evaluation, this study was organized under five (5) major chapters which are outlined below. The first chapter entailed the introduction of the study. It started by presenting the study's background, statement of the problem and gap, general objective, specific objectives, research questions as well as significance of the study. It further presented an overview of the methodology used, the scope of the study, limitations associated with the study and finally how the study was organized. The second chapter incorporated a critical analysis of numerous literature of the study. The third chapter encompassed the methodology that was adopted for the study. Here, the study took into consideration the research design and strategy, data collection instrument, the empirical setting, population, sample size and sampling technique, unit of analysis, how contrasts were measured, test for validity and reliability and ethical consideration. The fourth chapter consisted of an analytical presentation of the data collected and how they were analyzed. Chapter five, the final chapter deliberated on the findings of the study from which conclusions were drawn and possible recommendations made for further future analysis.

CHAPTER TWO

LITERATURE REVIEW

2.0 INTRODUCTION

This chapter examines various necessary correlated literature of the field under discussion under three principal segments. First, it takes into consideration definitions of concepts of the key components under the area of investigation such as supply chain, modern slavery among others. The next segment also evaluates the empirical studies which relate the work under scrutiny. The final segment portrays a theoretical review and also examines value chain of cocoa both global and domestic which are deemed important to the study.

CONCEPTUAL REVIEW

2.1 SUPPLY CHAIN

Whatever kind of activity an industry is engaged in, be it production or service it is apparent that it would find itself located somewhere along the supply chain, as a result, much interest has been placed recently on supply chain. Supply chain is dynamic and therefore there hasn't been one accepted definition for it. Consequently, the expression has been defined from different point of view by various intellectuals depending on how it is examined. Seuring and Muller (2008) defined a supply chain to mainly comprise of all members involved directly and indirectly in fulfilling customer's requests. Usually, the primary function of all supply chains is to satisfy customers, notwithstanding the supply chain comprises of individual businesses, working to gain their own benefit. Chopra and Meindl (2014) defined supply chain as "encompasses all activities associated with the flow and transformation of goods from raw state to the end user (along with information flow)". A supply chain is made up of a network of firms connected together

by physical, financial flow and information intended to meet the end user's requirements (Cohen and Roussel, 2013). According to Lu (2011) supply chain represents an assembly of industries which are interrelated and whose activities add worth from their root source through a torrent of transformed input to the end produce to fulfill end user's requests. Menzer et al. (2001) further analyzed supply chain in three degrees as; direct supply chain, extended supply chain and ultimate supply chain. He explained that direct supply chain is composed of basically supplies, focal organization and customers who are directly part of the downstream and upstream flow of products and services associated with information as well as finance. The extended supply chain entails suppliers, the focal firm, customers and everybody involved in the flow of materials, services, information and finances from the point of origin to the consumption point. The definitive supply chain is made up of all parties, from the extremely preliminary suppliers who directly or indirectly interact in the flow of goods, services, information and finances to the final consumer. Thus, supply chain is beneficial in today's businesses and its activities result in intended advantage such as gaining competitive advantage, improved performance, quality, less obsolescence, decline in supply chain cost and also enhance profit by virtually become accustomed to customers (Wilson, 2005). For this reason, leading industries all over the globe have learnt to take advantage of their supply chain as a strategic tool.

2.2 MODERN SLAVERY

Modern slavery is a key issue that has received great attention in global governance, international law, in civil society and in literature over recent years (Mende, 2019). There has not been one accepted way to clearly define modern slavery, resultantly numerous ideologists has thus defined modern slavery from their own different perspectives.

“Although modern slavery is not defined in law, it is used as an umbrella term that focuses attention on commonalities across legal concepts” (Walk free, 2018). Slavery exists whenever an individual is conscripted or has been obliged to render any form of service by coercion or by fraud, to an extent where the victim cannot through his/her own accord depart (Avis, 2020). As proposed by The UK’s Modern Slavery Act (2015), persons are said to be in slavery when they are either physically restricted or have constraints placed on their freedom, restricted by an employer to work usually through abuse either physical or mental, compelled to render service by the use of psychological or physical threat, when they are sold or bought as a property or when they are dehumanized.

One can view slavery as someone being controlled such that he/she has been extensively deprived of his or her personage independence, with an intention to exploit through the use of coercion (Bellagio-Harvard Guidelines, 2012). Undeniable, modern slavery is a felony as well as an infringement of fundamental human rights which comes in numerous forms encompassing servitude, human trafficking, forced labour, and child labour, all with common characteristics of depriving a person’s liberty by another with the intention of exploiting them for personal or for commercial gains (Gold et al., 2015). Walk free (2018) pointed out that, “the significant characteristics of modern slavery is that it involves one person depriving another person of their freedom for profit, its cost is individual freedom and economic stagnation, its impact is global and no country is immune” Although there isn’t a particular definition for forms and scope of modern slavery, contemporary policies, together with international documents and scholars has formed a particular depiction summarized with three denominators which are; control of one person by another; an involuntary aspect in their relationship and finally a component of exploitation (Mende, 2019).

Modern slavery is thought to be a complex severe and often an organized diverse concealed crime and comprehending the vulnerability of it continue to be challenging even though a consensus concerned with the broad causes which permit it to thrive is materializing (Larsen and Durgana, (2017). Centre for Social Justice (2015) explained that, the complexity of modern slavery serves as a disguise for crime groups to perpetuate crimes and also allows them to function and operate with liberty without fear of being tracked. As a result, observers constantly emphasized that modern slavery ought to be policed with equal devices used to pursue different categories of organized crimes like rape, trafficking, etc. According to Avis (2020), slavery more often than not transpires in organizations which have low skilled labour and under regulated, are labour intensive and that it has the tendency of been obvious in some areas with momentous numbers operating in similar slave-like circumstances like factories, farming, mining and manufacturing firms who produce goods for domestic consumption or for export. In essence, modern slavery refers to circumstances of exploitation that someone cannot abscond or decline attributable to threat, violence, deception, intimidation and/or abuse of power (Walk free, 2018). “Spanning academic disciplines as well as different governance levels, modern slavery grows to be a matter of global concern in political, legal, academic, and economic discourses” (Mende, 2019).

2.3 MODERN SLAVERY AND SUPPLY CHAINS

Global supply chain is progressively becoming more and more complex. Even though universally proscribed, modern slavery is still widespread and in the perspective of supply chains which extends over every continent, all businesses could be affected (Hahn and Gold, 2014). The concern of modern slavery conveys a momentous strategic predicament for businesses supply chains. Therefore, addressing a managerial problem

such as modern slavery in supply chains entails a complete insightfulness of the problems associated with slavery and its socio-cultural and economic underlying principle (Gold et al. 2015).

On a micro-economical level, modern slavery is acknowledged as an effort of unlawfully underpricing labour by inappropriately exploiting a particular situation associated with businesses and larger establishment settings such as geographic, regulatory and socio-economic context (Crane, 2013). Supply chains operate under numerous legal, cultural, economic and social value systems and slavery emerges under any of these systems in diverse forms at any stage of the supply chain, making identifying it extremely difficult to detect, therefore it entails a comprehension of local context (Lund-Thomsen and Lindgreen, 2014). (Hahn and Gold, 2014) explained that, an elongated geographical distance between the point at which materials are extracted and the point at which final products are consumed presumably render it difficult for businesses to discover slavery at every stage in their supply chains. Therefore, it entails localized competence such as the participation of governmental bodies and NGOs.

Evidently, most of public debates on modern slavery centres around sexual exploitation and human trafficking, notwithstanding, greater part of modern slaves happens to be in force labour and child labour (ILO 2017), however by moving our attention from sex exploitation and trafficking of human to forced labour, we move our attention toward supply chains. A universal theme cutting across all such forms of modern slavery is that they are labour intensive, as such their supply chains become progressively dense as we progress upstream along the supply chain, that is from suppliers positioned closer to their source of raw materials (Gold et al. 2015). Addressing modern slavery has become important for the credibility of every business and in the eyes of the general society.

Modern slavery is usually found at the furthest end of an organization's continuum where workers, are unable to claim their obligatory rights (Gunasekaran et al., 2004). There is a probability of modern slavery at different stages in the supply chains, however the complexity of supply chains at diverse stages with its usually hidden nature makes it complicated to recognize and address (Brown et al., 2013). Even though most global supply chains are unknowing associated to modern slavery, supply chain managers have somehow neglected the issue (Gold et al., 2015). Global supply chains driven by the principle of comparative cost advantage find their way to modern slavery by influencing the profitable exploitation of cheap human resources facilitated by hierarchical social relations and global inequality (LeBaron, 2013). (Datta and Bales, 2013) explained that whereas the persistent striving to minimize costs is intrinsic to numerous supply chains, with modern slavery the slave-masters maintain enormous profits that on no account get to actors extending down the supply chain since the origination of slave-made products or services are concealed.

According to Gunasekaran et al. (2004) modern slavery is extensively perceived as present in most supply chains and in diverse forms which are undertaken depending on their experience stage and that there are importance drivers prompting businesses to get engaged. For example, the ILO has estimated that an astounding US\$150 billion is generated per annum from the use of modern slavery in illegal profits (Nolan & Ford, 2019). Thus the fundamental cause for such exploitation is straightforward: massive proceeds are attained from the exploitation of vulnerable workers, and it is much more complicated to justify business case for improving working conditions (Brown et al., 2013). This means that business operations and practices which are driven by a steady search for high profits attributed by low input prices contribute to the predicament of modern slavery (Hahn and Gold, 2014). Taking a critical look, it could be advocated that

most stakeholders do not know the tiers of supply chains and its complexity but they only see a product or service being sold to them. This means that modern slavery could be instituted at any point along the chain as much as in any country, however the problem tends to be at its peak at the lowest tiers where socially excluded workforce are the most vulnerable and there is slight transparency (Hahn and Gold, 2014). Therefore, the exploitation of human rights in the supply chains through modern slavery is gradually gaining greater heights and its secretive nature makes it difficult to investigate, mainly at places where victims' rights are feeble (Gunasekaran et al., 2004).

2.4 DETERMINANTS OF MODERN SLAVERY

Vulnerability to modern slavery is as a result of a complex interface of factors associated with patterns of migration, access to the necessities of life such as food, water and health care, respect for human rights, the presence or absence of protection, security, safety and displacement and conflict (Walk Free, 2019). There are many virtual determinants that contribute to modern slavery. Among the fundamentals may include poverty, lack of education, inequality, political instability, corruption, criminalities, conflict and humanitarian crises, discrimination against religions as well as women and persistent pressures on costs throughout the entire supply chains (CDC Group. 2018). According to Home Office (2014), economic imbalances, unstable social and political conditions, war, limited opportunities at home, poverty and lack of education serve as the principal driving force contributing to vulnerable slave victims.

The key determinants that drive vulnerable people to Modern slavery can be captured at three different levels which are individual or household, societal and at the highest level environmental (Allain et al., 2013). Lack of education and access to resources, unemployment, poverty, low socioeconomic status, problems with mental health and

addictions as well as gang involvement are the key factors that leads to vulnerability and risk at the individual level of modern slavery (Larsen and Durgana, 2017). At the societal level, limited protection, inequality, lack of rule of law, economic and political instability, impunity, restrictive mobility, discriminating social structures and cultural practices, or, in other words, systemic marginalization and discrimination on the basis of ethnicity, gender, race and caste are the most cited determinants of vulnerability and risk (Larsen and Durgana, 2017). Thus, at the societal level, certain people are considered less privileged than others and such people are likely to face poverty which facilitates the level of their exploitable state. Larsen and Durgana (2017) further explained that climate change such as extreme weather events, scarcity of water, drought, rise in sea levels and natural disasters are the key drivers that make people vulnerable to the exploitable state which falls under the environmental level. With cases such as being forced to move due to natural disasters, conflicts, war or persecution, people fleeing from these occurrences are extremely susceptible to exploitation. However, it should be noted that drivers of modern slavery do not often operate in isolation rather they mostly work in connection with other drivers by interconnecting and intensifying one another in complicated forms. For instance, Walk Free (2019) mentioned that “the risk of exploitation in times and places of conflict and displacement is also influenced by the unavailability of resources and institutions to assist vulnerable populations”.

Walk Free (2018) gave a broader view through an assessment of how at the national level there is vulnerability to modern slavery which was conducted through theories of crime prevention and human security framework. From the assessment, five main drivers that influence modern slavery were outlined consecutively:

- i. **Governance issues** such as access to weapons, political and social rights, political instability, women security, rights for the disabled, regulatory quality, how government response;
- ii. **Lack of basic needs** including poor access to clean water, malnutrition, sicknesses, inability to secure loans access to cellular phone, social safety;
- iii. **Inequality**: gini coefficient, violent crimes, inability to acquire emergency fund, self-confidence in the legal system;
- iv. **Disenfranchised groups**: enacted from same gender rights, recognition of splinter groups, receiving of refugees; and
- v. **Effects of conflict**: as a result of impact of conflicts fought internally, terrorism, internal expatriate.

2.4.1 Determinants of Modern Slavery in Supply Chains

There are numerous underlying drivers and mechanisms that perpetuate modern slavery in the supply chains. According to Crane, (2013), the following factors de-incentivize procedures to track and remediate slave labour in the supply chains and therefore give rise to modern slavery:

- Conceptualization of Supply Chains
- Governance Frameworks for Sustainability
- The Ineffectiveness of Audits
- Efficacy of Performance Metrics
- Insatiable Demand for Cheap Labour

2.5 FORMS OF MODERN SLAVERY

Modern slavery does not have a particular pathway or type of victim (LeBaron et al., 2018). However, there are different kinds of exploitation in which victims of modern slavery may be subjected to. In some circumstances, may experience more than one type of exploitation of modern slavery all at once. Most frequent forms of modern slavery are as follows;

2.5.1 Labour Exploitation

Also known as forced labour is the common form of modern slavery. With this form of modern slavery, a person (employer) typically uses deception, threats, legal process abuse and sometimes coercion to compel victims to work (Gold et al., 2015). More often than not, these vulnerable victims are recruited, harboured and sometimes transported to various destinations where they are often exploited for labour purposes in multiple ways. Usually, victims stay on the employers' premises in neglected conditions, are seldom paid and are subject to multiple abuses. At times, victims may labour for someone other than the offenders (LeBaron et al., 2018). Here, victims are engaged in genuine yet normally jobs that require low skills but with every require legal labour conditions by the employers who normally are not related to the malefactors but mostly their remunerations are normally controlled by these malefactors through the victims' bank accounts (LeBaron et al., 2018).

2.5.2 Sex Trafficking / Sexual Exploitation

This is a type of modern slavery where victims usually are enticed, recruited, harboured and or transported to different locations with the aim of engaging them in commercial sex acts such as prostitution through threats or force (Nolan & Ford, 2019). The perpetrators usually provide for their food and shelter and maintain them for personal

gratification. Sometimes these victims are trafficked into established locations set up purposely for sex which are mostly controlled by these perpetrators and involve them in forced sex work (Hahn and Gold, 2014). More often than not some of such victims are children or adults who have been confined for years. Such circumstance usually occurs when the victims are obligated to continue in mandatory prostitution through the use of illegal threats of debt allegedly incurred in the course of their transportation, recruitment or sale which these perpetrators claim the victims must settle before they can gain their freedom (Gold et al., 2015).

2.5.3 Domestic Servitude

Domestic servitude is another kind of modern slavery where victims find themselves in the perpetrators' residences to carry out domestic chores involuntarily usually in private residence (Nolan & Ford, 2019). With this type of slavery, victims are not given the freedom to work or leave employment at their freewill nor do they receive the basic benefits or wages extended to other workers. Instead they are abused and more often unpaid and their ability to move in and out of the residence is also usually limited thereby increasing their vulnerability (Hahn and Gold, 2014). These perpetrators could be close relatives of the victims or total strangers who have paid the perpetrators for the services of such victims (Gold et al., 2015). In situations where the perpetrator or employer of the victim is someone with a diplomatic status who benefit from protection from civil or criminal jurisdiction where labour officials do not generally have the authority to inspect the residence, then the vulnerability of the victim is augmented (Crane, 2013).

2.5.4 Child Labour

Even though children sometimes officially engage in certain kinds of labour, some children may also unduly find themselves in slavery-like circumstances (Hahn and Gold, 2014). Child labour as explained by Crane (2013) is any career performed by children that are detrimental to them due to the fact that it is hazardous, exploitative, abusive and or contrary to their best of interest. With this type of modern slavery, power is usually exercised over the child such that they lack control over all the aspects of their livelihood. This consist of situations where the child appears to be supervised by someone who is not a family member of the child been victimized but involves the child to carry out tasks of which that non-family member benefits either financially or in a form of labour such that, that person the child does not have the choice to leave (Nolan & Ford, 2019). In some circumstances, victims are trafficked, bonded to domestic servitude and in more serious cases they are vulnerable to physical psychological and also sexual abuse. Other times too, the victims have to be in occupation intentionally to boost up the revenue and expenditure of the family (Hahn and Gold, 2014). Child labour more often than not is the outcome of poverty, lack of access to education or a combination of both, as well as ignorance of community awareness about the hazards for vulnerable children (LeBaron et al., 2018). Another aspect of child labour arises when children are abducted and unlawfully recruited for child soldiering through coercion or fraud. Perpetrators of this kind of fraud may be rebel groups, paramilitary organizations, combatants or even government armed forces. Some of such children are forcefully recruited for combatants where as others end up in servitude such as cooks, messengers, servants, guards, porters and even spies (Nolan & Ford, 2019). In some instances, such victims, both male and female are often sexually abused.

2.5.5 Criminal exploitation

Criminal exploitation as a form of modern slavery, is when victims are forced to offer jobs to the perpetrators for illegal purposes such as undertaking gang related criminal activities which is normally associated with drug network such that the victims are forced to carry drugs or money to various destination, cultivating cannabis in private residences, carrying out covetous felony such as shoplifting or pick-pocketing or even being transported to various streets to beg for alms of which the money received is taken and kept by these gang masters (Nolan & Ford, 2019). This form of modern slavery more often than not arises from circumstances where these vulnerable victims approach the perpetrators for employment or other opportunities but are deceived. The key means of control by these offenders is the use of emotional abuse, financial abuse or violence (Crane, 2013). Here, victims are commonly provided with food, accommodation and other forms of minimal incentives but they are rarely paid by their perpetrators (Hahn and Gold, 2014).

2.5.6 Debt Bondage

Debt bondage, also referred to as bonded labour is a form of modern slavery where victims such as migrant workers inherit debt as a result of securing travelling documents in their home country or contract jobs (LeBaron et al., 2018). Victims notably fall for traffickers or recruiters' deception who unlawfully accepts initial debts assumed as worker's recruitment fees or terms of payment with excessive interest such that it makes it difficult if not impossible to settle the debt resulting in a situation of debt bondage. With debt bondage, victims are afraid of seeking redress because usually the victims' legal status is tied to the perpetrator in the destination country (Nolan & Ford, 2019). In some cases, victims end up in debt bondage as a result of paying off an ancestors' debt

which is common in developing countries. Forced labour, child labour and domestic servitude are sometime associated with debt bondage (LeBaron et al., 2018).

2.6 DYNAMICS OF MODERN SLAVERY

It has become common in policy and within academic discussion to portray modern slavery as a concealed offense, occurring unexpected in supply chains. However recently, researchers are beginning to confront these existing sequences of events, indicating noticeable and understandable styles concerning circumstances that bring about modern slavery within supply chains (LeBaron et al., 2018; Crane, 2013)

Whereas the old slavery involved claiming ownership and accepting responsibility for victims of slave labourers, the dynamics of modern slavery is that it “appropriates the economic value of individuals while keeping them under complete coercive control but without asserting ownership or accepting responsibility for their survival” (Bales, 1999). Bales (1999) further explained that the dynamics of modern slavery is that in terms of global economics, there is the absents of ownership, and so common sense of dependably accountability of victims, survival are eradicated, such that slaves are seen as another consumable item to be disposed of when no longer useful.

Emerging literature categorizes modern slavery as not rigid but rather a dynamic one where victims frequently get in and get out relatively for a limited time (Crane, 2013). Modern slavery is dynamic in nature in the sense that, typically workers in modern day slavery are not locked up by shadowy perpetrators, rather it manifests in less spectacular ways in the supply chains (Phillips, 2013; Mezzadri, 2017; LeBaron et al., 2018) than is normally capture in media headlines. Arguably, “rather than viewing modern slavery as a simple consequence of insatiability of individuals or perpetrators, modern slavery in international supply chains is a systematic occurrence which comes as a result of

anticipated wide ranging dynamics overlap to generate extremely vulnerable workforce as well as a demand for their services (LeBaron et al., 2018). However, unlike other felonies which has a time limit or occur as one-off time occurrence, modern slavery is a concealed offense of undetermined period of time. The dynamics of modern slavery is that it more often than not consists of a sequence of diverse incidents which usually transpire at different continents and often entail several perpetrator and victims who could be drawn in at unusual periods (Mezzadri, 2017). Thus, there are predictable patterns concerning the dynamics that assemble people susceptible to exploitation and a business demand to use slave labour within supply chains (LeBaron et al., 2018). Modern slavery is always analyzed from one side where the concentration is always on the exploitation of vulnerable victims by these perpetrators. However, viewing through supply chain lens and drawing on empirical evidence and research, the dynamics that drives modern slavery can be captured into two main categories; the demand side and the supply side (LeBaron et al., 2018).

2.6.1 Demand side

The significance of extreme corporate control, irresponsible sourcing practices and outsourcing to third parties in addition to governance gaps are the major dynamics generating established and unsurprising demand for modern slavery in most supply chains on the demand side. According to Crane, 2013 and LeBaron et al. (2018) value across various supply chains has turn out to be not distributed evenly but rather concentrated amid top players with emaciated profits for businesses as well as a decrease labour share, as a result some businesses have acted in response to interconnect commercial pressures by initiating business models constructed straight around modern slavery. Soundararajan, et al. (2020) also cited that most business have moved towards strategies that gear towards appreciable informal labour subcontracting, capable of

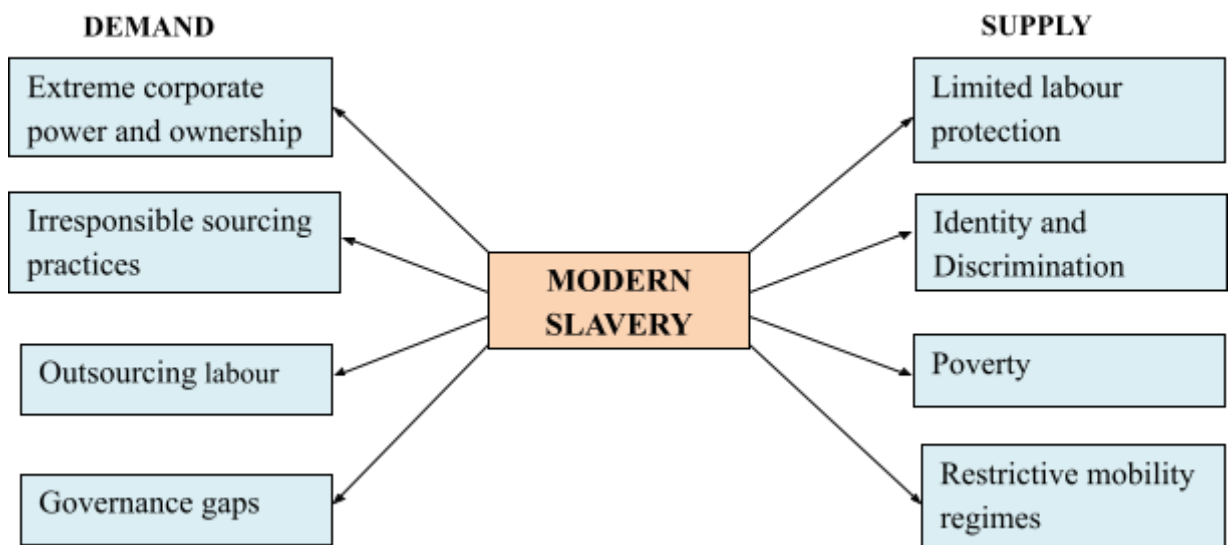
opening opportunities to modern slavery long before victims even enter the work place, such as in the course of payment of recruitment fees in the domestic nations. The major point established here is, modern slavery does not in any way happen at random in supply chains, but instead both its incidence of occurrence and distribution is traceable to causes that prompt conventional demand amid organizations or players who are exploiters of modern slavery. Thus failing to appreciate and tackle the root cause of modern slavery in itself is a major reason why to date there has been limited success towards any attempts to address modern slavery (LeBaron et al., 2021).

2.6.2 Supply side

The significance of identity, limited labour protection, prohibitive mobility regimes, poverty and discrimination based on gender, religion, migration status, race and social group are some of the economic and political factors creating supply of labour who are exploitable to modern slavery on the supply side. Another issue is that, the excess supply of workforces who are low-skilled found in most countries, especially developing ones have created an excess of prospective modern slavery victims (Androff, 2010). According to research (Phillips, 2015; LeBaron et al., 2018), dynamics are circular such that one circumstance can lead to another. For example, victims of modern slavery may embark on poorly remunerated, hazardous or indecent, jobs since they see themselves as underprivileged, however, such kinds of jobs make them susceptible modern slavery such that their vulnerability further exposes and strengthens their lack of ability to break free from poverty (Phillips, 2015; LeBaron et al., 2018). The root causes of modern slavery have common characteristics and are mutually reinforce and these root causes combine to generate susceptibility to modern slavery, limiting these workers' individual power as well as their proficiency to reject exploitative and hazardous tasks. For instance, critical life incidents for poor people can trigger the need for risky loans that

cannot be met by any other means other than borrowing which can result in debt bondage. “This reflects a common dynamic that people living in poverty often have poor health and vice versa. In this context, health crises lead to risky loan taking and reveal a failing public health system” (LeBaron et al., 2018) thus poverty increasing their vulnerability to modern slavery.

Figure 2.1 Dynamics of Modern Slavery in Supply Chains



Source: Reproduced from LeBaron et al. (2018)

2.7 RESPONDING TO ISSUES OF MODERN SLAVERY IN THE SUPPLY CHAIN

Modern slavery, taking place in the perspective of supply chains, is been defined by Gold et al. (2015) as: “the exploitation of a person who is deprived of individual liberty anywhere along the supply chain from raw material extraction to the final customer for service provision or production”. Addressing and responding to issues concerning modern slavery is a major problem among governmental and non-governmental organizations, businesses and the society at large. According to Larsen and Durgana (2017), this is because attempts to eradicate modern slavery are hindered by inadequate

understanding of the key factors that enhance the possible risk of slavery practices at both national levels and globally. However, there are ways that the supply chain can respond to issues that concerns itself with modern slavery. These include but not limited to transparency, detection and remediation mechanisms for survivors of modern slavery and risk mitigation.

2.7.1 Transparency

Globally, businesses and non-business organizations have become progressively anxious about their supply chains concerning implications of modern slavery. Many countries have tried to put in place regulations and legislations which have been debating on the potential of transparency to meet these modern slavery needs in the supply chains by adopting supply chain transparency (SCT) initiatives led by governmental bodies, concentrating particularly on areas that try to promote labour rights against modern slavery practices (Chen et al., 2015). (SCT) initiatives is enhanced on the principle that transparency will make actors in the supply chains legitimate, accountable, more efficient and less corrupt (Egels-Zanden et al 2015). The concerns of the initiative are “to ensure that a supply chain does not contain conflict minerals and that companies divulge slave labour in their supply chain” (Aaronson et al. 2016). SCT legislation assumes that firms are required to provide information on any form of modern slavery which in tune, market actors will have considerable incentives to behave responsibly and that, authorities will utilize that information to remunerate liable organizations on one hand while punishing irresponsible ones on the other hand.

With the SCT legislature, there is an attempt by government appointees to authorize businesses to be transparent with regards to their supply chain practices with an anticipation that organizations will operate in an accountable way (UN General Assembly, 2015).

According to Egels-Zanden et al. (2015), SCT has three components: the disclosure of suppliers' information which allows individuals and officials to map out the suppliers and assemble data regarding their sustainability circumstances; further lead these officials and individuals to evaluate the purchasing practices of suppliers, focal organizations and buyers; and allows consumers to make informed decisions concerning purchasing particular goods or services. Aaronson et al. (2016) proposed SCT initiatives which were discussed under three concepts: "right to know", "corporate governance" and "Global Corporate Responsibility" (GCR) initiatives.

- i. **Right to Know:** the international human rights law provides that everybody has a right to freedom of expression and also everybody has the right to search for, receive, and pass on ideas and information through any media irrespective of boundaries. For this reason, most NGOs generate proposals that enable the rules of corporate governance to enhance environmental practices such as the transparency of slavery in the global market (Aaronson et al., 2016).
- ii. **Corporate Governance Rules:** Corporate governance provisions entail organizations to make available only financial information necessary for their shareholders (Aaronson et al., 2016). Particularly, corporate governance rules focus on increasing protection of shareholders profits, guaranteeing accountability, disclosure and compliance with local bylaws. (Aaronson et al., 2016). It mandates organizations to report environmental issues, social issues and economic issues and to include reporting on incorporating these issues as well as human rights concerns into administrative practices (Egels-Zanden et al, 2015).

- iii. **Global Corporate Responsibility (GCR):** GCR initiative shows that supply chains address the socio-economic concerns of their stakeholders. Initiative derived from CSR mandates that a responsible organization “delivers value for investors, customers, and employees; improves the living standards of its employees and the communities it touches; makes wise use of natural resources; and treats people fairly” (Aaronson et al., 2016).

Supply chain transparency may result in an enhanced supply chain sustainability, nonetheless it is as well established that “more supply chain transparency may lower supply chain sustainability” (Aaronson et al. 2016) According to Egels-Zanden et al. (2015), the problem pertaining to these initiatives is that they don’t guarantee precise modern slavery protection practices rather these initiatives entail organizations to be clear regarding their endeavour with the notion that transparency monitor organizations to eliminate modern slavery. Squire et al (2015) suggested that a “focus on tackling modern slavery not only protects vulnerable workers and helps prevent and remedy severe human rights violations, but benefits business by protecting and enhancing an organization’s reputation and brand; protecting and growing the organization’s customer base as more consumers seek out businesses with higher ethical standards; improving investor confidence; helping firms achieve greater staff retention and loyalty based on values and respect; and acting ethically by developing more responsive, stable, and innovative supply chains”. However, effects of these initiatives are not without questions. The strategies of transparency, even though may give power to one set of voices, on the other hand it may lead to neglect on others and this is because these attempts could have non deliberate repercussion for political stability (Guerzovich and Mills, 2013). Similarly, SCT may bring about substantial transparency of modern slavery situations fueled by globalization, notwithstanding, it there is not much it can do to urge

policy makers in the national levels in enforcing global accepted standards (Guerzovich and Mills, 2013).

2.8 DETECTION AND REMEDIATION MECHANISMS FOR MODERN SLAVERY SURVIVORS

Recently, researchers have focused more on how the general public can detect and act in response to modern slavery and within the supply chains (Crane et al., 2017). Modern slavery in the perspective of supply chain exists when an actor or organization exercises control over a person by means of coercion and threat of penalty to extort work or services for the intention of economic exploitation that results in the dehumanization of said person and that deprive or restrict their freedom. Crane (2013) spelt out that modern slavery. In an administrative perspective is concerned with underpricing labour, a major resource through unlawful ways. As proposed by Gold et al. (2015), modern slavery is “the exploitation of a person who is deprived of individual liberty anywhere along the supply chain from raw material extraction to the final customer for service provision or production”.

Attributable to the strong inducement of perpetrators to enthusiastically conceal their form of business, accessible signs of their operational and financial performances, in addition to sustainable supply chain performance are not easily flexible for the detection of slavery in fragmented multi-tier supply chains (Gold et al., 2015). According to Walk free (2018) the first step to develop appropriate indicators is to enhance supply chain visibility and transparency, although it is unclear how to detect modern slavery activities in parts of the supply chain that intentionally do not want to be detected. Even though indicators may possibly provide early caution to indicate the possibility of slavery incidence, it is obvious that practically there require diverse lenses before one can

actually detect modern slavery within the supply chain (Wieland and Handfield, 2013). Thus to tackle the problem of modern slavery, it is of great importance to address how organizations are contributing to detection and remediation of modern slavery practices in organizations' supply chains and how information on modern slavery in public statements are reported by responding to legislative requirements (New, 2015).

2.8.1 Detection

To address the issue of detection of modern slavery, various literatures on sustainable SCM, global supply chains and value chains refer to a variety of practices for detecting, in relation to modern slavery, as described in review papers (Crane et al., 2019; LeBaron et al., 2017; Zorzini et al., 2015). Perhaps the most talked-about employed practice is the creation of corporate policies by corporations that include supply chain auditing and inspection programs, against codes of conduct as well as third party certifications to detect modern slavery. These codes of conduct and the audits are generally employed to monitor, control and track actors in the supply chains (Zorzini et al., 2015). With this, stakeholders may undertake audits in organizations by assessing them against set standards whether announced or unannounced. However, modern slavery legislation according to Grimm et al. (2016) requires that businesses go further than their first tier to facilitate an absolute end-to-end visibility. Gold et al. (2015) suggested that using supply chain mapping as a means of identifying and understanding the structure of the whole end-to-end supply chain and following it by auditing is the best means for modern slavery detection. Gold et al. (2015) and New (2015) outlined that, targeted audits should refer to organizations' supply chains and focus on modern slavery indicators such as retained passports, movement restriction, debt bondage, wages withholding, criticisms to authorities and threat of physical harm. On one hand, Gold et al. (2015) examined some potential reactions to modern slavery detection in supply chain, throwing more

light on three potential counteractive practices which were multi-stakeholder initiatives, capacity building and supplier development and community-centered approaches.

Literature exclusively on modern slavery acknowledges that modern slavery detection is extremely challenging (New, 2015; Gold et al., 2015). Gold et al. (2015) stated that the way many supply chains are globally highly outsourced and its interconnected nature makes visibility difficult thereby hiding problems such as modern slavery. As noted by Crane et al. (2017), issues of modern slavery are intricately connected to governance gaps in and around global value chains, and therefore solutions will require policymakers and intellectuals to cautiously refine their thinking about measures to design operative governance that effectively engage with local variation. From the point of view of modern slavery there is an emergent confirmation which suggests that auditing is ineffective (Gold et al., 2015; New, 2015; LeBaron et al., 2017) In tune with broader discussion on power imbalances, LeBaron et al. (2017) explained that there is concern that such audits are more often than not prejudiced because it benefit the powerful organizations instead of adequately addressing the exploitation of modern slavery in complex global supply chains. New (2015) explained that the detection of modern slavery is to a greater extent complicated in comparison to other forms of social issues since its function are unnoticed and it also entails strong deception. This makes the significance of most of the general practices of modern slavery detection questionable.

2.8.2 Remediation

In a situation where modern slavery has been identified, whether through a monitoring processes such as audit, due diligence or otherwise, it is important to investigate how to remedy the situation. Remediation is a procedure to bring to an end modern slavery and also to decrease or if possible repeal the harm that victims experience as much as

possible (Crane et al., 2017). According to New (2015), remediation starts with ensuring that victims of modern slavery have access to justice which include compensation for injury, loss or harm, material or moral which was sustained through slavery. Remediation takes different forms, such as financial and non-financial compensation, apologies, restitution, rehabilitation and measures that aim at preventing impairment (New, 2015). Remediation is difficult because of lack of transparency, inadequate opportunity to apply pressure as well as the absence of direct contractual relationship (Choi and Linton, 2011; Grimm et al., 2014; Wilhelm et al., 2016). Gold et al. (2015) mentioned that remediation requires “adopting a multi-stakeholder perspective, developing a community-centered approach and capacity building via supplier development”. As such, remediation should as a priority, contribute to addressing the fundamental causes that drives modern slavery in the first place, guard victims from greater vulnerability risk reflect victims’ needs, be significant to and achievable, be delivered according to both national and international labour and human rights standards, should be built on the strengths and capacities of external stakeholders and finally should incorporate means of preventing further abuses (Crane et al., 2017; LeBaron et al., 2017).

According to Stevenson and Cole (2018), a tailored response is certainly required where modern slavery is recognized. At least it is significant that sufficient resources are in place to guarantee that if an issue arises, it can be dealt with and that; appropriate controls are in put in place to ensure confidentiality; precise people are acknowledged as accountable for immediate responds and taking action; that the process is effectively communicated internally and externally to appropriate personnel so that it becomes clear to people on what to do if an issue arises; and responses are timely as well as connected to clear reporting requirements (Stevenson and Cole, 2018). (Crane et al., (2017)

proposed that in the remediation phase, protection and enforcement are the suitable actions which should be taken first in ensuring that victims are safe and that any harm to a greater extent is prevented. Notwithstanding, New (2015) argued that remediation is not an appropriate solution for all forms of modern slavery, rather he suggested that a gradual approach to improve supply chain sustainable practices will expose perpetrators involved in any form of illegitimate activity. Until modern slavery is eliminated, the best dependable form of action is possibly to terminate contracts of such actors and report them to the authorities. Furthermore, it was argued by Stevenson and Cole (2018) that, even though the practice of remediation is been acknowledged in public disclosed statements, it is limited to the evidence of the information on modern slavery that organizations have chosen to share.

2.8.3 Risk mitigation

According to Walk Free (2013), risk detection, risk prevention and risk mitigation associated with modern slavery is a great challenge for even businesses and organizations that are more proactive and it has been acknowledged that the practice of modern slavery could in fact be present in all supply chains. To react to this, many organizations have taken a risk-based approach, categorizing areas of their exposure to modern slavery and where they can minimize, as well as mitigate such risk in their supply chains (Gold et al., 2015). However, there are four major ways that the supply chain can lessen the likelihood or incidence and mitigate risk that associate itself with modern slavery.

2.8.3.1 Recognize workers' rights

The greatest to consider which can contribute to ending intense exploitation and risk associated with modern slavery is to recognize and value people's right. Thus people

should have the sovereignty to leave abusive employers, should have the right to organize, and to collectively bargain terms and conditions of work (Larsen & Durgana, 2017) because there is the tendency of significantly decreasing risks associated with modern slavery at work places where they encourage trade unions to operate (Gold et al., 2015). The rules and laws that protect the rights of workers are essential in ensuring that worker claim their sovereign rights so that more vulnerable victims could be known and accorded with the protection they need (Larsen & Durgana, 2017).

2.8.3.2 Improve human rights due diligence systems and practices

Human rights due diligence is a system organizations use in discharging their responsibility to respect human rights (Larsen & Durgana, 2017). It is concerned with the action that organizations take in identifying and acting upon potential and even the actual risks for workers in its operations, within the supply chains and the services it uses (Gold et al., 2015). According to the Guiding Principles, human rights due diligence mainly looks at major elements such as organizations assessing their potentials as well as actual unpleasant human rights impacts such as; Ethical Trading Initiative (ETI) incorporating internally to ensure suitable mitigation and preventive actions, tracking the efficiency of response mechanisms and communicating publicly on how they address human rights impact (Ethical Trading Initiative, 2015). The intention of implementing human rights due diligence is to provide means for organizations and businesses to understand, recognize, acknowledge and also prioritize the possible undesirable effects their actions might have on the rights of humans and accordingly support them by recuperating their modern slavery report contents and also in putting into action, genuine changes necessary in corporate practices to lessen modern slavery within supply chains (Larsen & Durgana, 2017). Therefore, businesses need to evaluate and put in place appropriate due

diligence processes that are fit for purpose and which can track reports of modern slavery that alert them about key risk areas (Gold et al., 2015).

2.8.3.3 Work with others organizations to address risks of slavery in their supply chains

Resolving intricate issues such as slavery necessitate for sophisticated solutions (Larsen & Durgana, 2017), of which only one focal organization cannot handle alone. Therefore, linking up with other multi-sector initiatives and other non-governmental organizations (NGOs) can help in identifying the probability of risks and even actual cases of modern slavery and can also assist the companies on strategies to tackle it (Gold et al., 2015). For instance, assist organizations with advisory support, guidance, and training and also provide an exclusive platform to collaborate its members so that they can work collectively with other businesses, trades unions and NGOs. However, relationships with other businesses, their consciousness of modern slavery problems and also the functions to be performed by these businesses to address the problems are critical. It is therefore crucial to understand whether or not these problems translate into modern slavery situation when addressing these fundamental risks (CDC Group, 2018).

2.8.3.4 Request for improved enforcement and regulation

Improved enforcement and regulation helps to build a level field and eliminate businesses that gain competitive advantage from modern slavery. Policy advocacy with governments is critical where there is inadequate labor rights protection or enforcement. However, it is not clear as to how far an organization is expected to have visibility, let alone responsibility, within its supply chain.

Even though it has been acknowledged that modern slavery is persistently lingering in almost every supply chain, detection, prevention and mitigation its risk is very

challenging even for more practical organizations. Responding to this dilemma, the majority of organizations have used a risk-based approach to identify areas of their businesses where they can minimize, as well as mitigate such risk in their supply chains (Gold et al., 2015).

2.9 CONSEQUENCE OF MODERN SLAVERY

Modern slavery in supply chains can be sited when a person is under exploitation and is underprivileged of his or her exclusive rights anyplace within the chain; from where raw materials are extracted to final production, with an intention of providing service (Allain et al., 2013). Modern slavery finds its way into global supply chains which are driven by the principles comparative advantage and could be viewed as encouraging it (Lund-Thomsen and Lindgreen, 2014). However, modern slavery adulterates the production of many of our commodities and services. Nowadays, modern slavery can be observed from different dimensions such as technological, economic, political and social and even though there are measures put in place to defend the rights of victims, it happens to be a regular effort which regrettably does not provide expected positive outcomes. According to Allain et al. (2013), the lack of education, lack of business opportunities, the apathy at individual level, prejudice on the bases of gender, religion and race, social conflict, lack of protection of individual rights, lack of laws that ensure equal opportunities and inability to report all contribute to building a conducive environment for the exploitation of people into modern slavery.

With effect to the consequences of modern slavery, one cannot but notice the huge negative effect of it on the entire continent. However, the repercussions associated with modern slavery highly depends on the sort of the exploitation victims are subjected into, therefore analyzing consequences associated with modern slavery and its influence on

the society has been a major concern in today's supply chains. Whereas the usual 'menace of penalty' in the form of physical violence is currently less frequent, the psychological consequences experienced by many forced labourers are far reaching (Allain et al., 2013). (LeBaron, 2013) explained that, apart from physically demanding work in dangerous and unhealthy conditions, poor mental health and untreated injuries are among the most frequently described consequences of forced labour. Fear and feeling powerless are also part of the consequences considering physical health. In terms of modern slavery practices such as trafficking, many people are said to have lost their lives due to horrific conditions, whereas able bodied men and women who are supposed to have laid the foundation of development in all sphere of life but are trapped in drag through trafficking in turn lay the foundations of both economic and structural development in other countries (LeBaron et al., 2018). The enormous profit made from these slave practices contributes to the industrial revolution experienced in foreign countries either than their home countries. Having laid this background, it is obvious that such victims are at loss economically in relation to modern slavery. For instance, there was a trend of the Trans –Atlantic Triangular slave trade, where Africans were transported out from their native countries as slaves to foreign continents such as Europe and America to work in factories and on farmlands, where the finished products were transported back to Africa for sales, thereby Africa serving as market for their finished product, and by so doing they became economically strong (Allain et al., 2013). Currently, the trend is still the same. Most of the individuals in recent times end up being used for cheap labour in supply chain especially at the first tier level to minimize production cost through reducing personnel cost (LeBaron et al., 2018).

In terms of Consequences in relation to Child Labour, the child workers are likely to face psychosocial and physical work hazards. Psychosocial hazards take place when the child is assigned to tasks that is abusive or burdensome and especially when children are separated from their family. The psychological consequences of child labour include abuse and neglect. The experiences of abused and neglected entails children seriously injured at work and this burden them with severe handicap that can lead to problems of social, emotional and behavioural difficulties (Gold et al., 2015) which includes depression, hostility, lack of confidence, self-destructive behaviour, aggression, decreased ability to comprehend social roles and label feelings (Crane, 2013). On the other hand, physical work hazards typically endanger the child's health and as usual the child's physical development. These children who are often totally dependent on their employers and deprived of education and play are stunted in their social and psychological development (Larsen and Durgana, 2017). With physical consequences, the work hazards that these children are subjected to affect them even more seriously than adults, which as a result severely endanger their normal development. Another consequence is that, because of their limited working capacity, these children are more prone to occupational injuries caused by less knowledge, fatigue, inattention, and poor judgment as compared to adults (Gold et al., 2015). These children who are abused physically and neglected frequently show delay both developmentally and intellectually, particularly in terms of verbal performance (Gold et al., 2015). Larsen and Durgana (2017) mentioned that, some of these children under modern slavery are subjected to sexual abuses such as rape and prostitution and as a result they are faced with the sense of unworthiness and denial, incapable of coping with normal sexual interactions and in worst form eating disorders and psychiatric problems may result due to physical and mental trauma.

2.9.1 Costs as a consequence of modern slavery

There exist different costs incurred by every country as consequence of modern slavery.

These costs include but not limited to;

- i. cost related to emotional traumas and physical traumas where some of the modern slavery victims are subjected to suffer considerable brutalities resulting in physical injuries and others are subjected to suffer some degree of emotional impairment.
- ii. health services cost associated with healthcare provision for the treatment of issues such as mental health from traumatized victims and the cost incurred by the national health insurance scheme (Allain et al., 2013).
- iii. the cost of lost time and output (Allain et al., 2013). According to Gold et al. (2015), these are cost to society such that some of these victims if not in modern slavery would have been gainfully employed in legitimate businesses or employment. These victims would have better spent their time in legitimate activities, otherwise captured as opportunity cost of the time lost which is cost to the society.
- iv. Cost incurred in supporting victims who receive different forms of assistance depending on the level of their needs such as accommodation, counseling, food, clothing and the like (Allain et al., 2013).
- v. cost which covers anticipated expenditure on the services provided for victims of modern slavery through which identified victims are supported. Essentially, there is also an estimate of costs that is set in expectation of modern slavery expected victims which entails government expenditure on measures to avoid modern slavery (Allain et al., 2013) and all these serve as costs to society.

2.10 SOCIAL SUSTAINABILITY AND MODERN SLAVERY IN SUPPLY CHAIN

Lately, sustainability concept has developed in response to societal concerns. Sustainability specifies that “humanity has the ability to make development sustainable to ensure that it meets the needs of the present without compromising the ability of future generations to meet their own needs” (WCED, 1987, 24). Sustainability is a key term that links economic, environmental and social issues in many disciplines. In the supply chains, sustainability is noted as vital in delivering long-term profitability by replacing monetary cost, value and speed as the prevailing discussion among businesses (Kaufmann and Carter, 2010; Mefford, 2011). Within the concept of sustainability, standard applied is what can be understood as the social pillar of sustainability. Current researchers have addressed several fields, examined different levels and employed a variety of conceptual approaches on social dimension of sustainability which include business and management studies among others (Von Geibler et al., 2006; Magis, 2010; Longoni and Cagliano, 2015). The extent of studies on social sustainability begins from looking into individual household and community issues to global issues (Sloan 2010; Magis, 2010), assessed through value chain approaches (Mani et al., 2016). By large, social sustainability in the supply chain take account of all the management practices that influence how businesses contribute to the growth and development of human potential and guard people from harm, by this means capturing both negative and positive aspects respectively (Awaysheh and Klassen, 2010). These include workforce policies for diversity and safety as well as human rights issues such as modern slavery.

For this reason, modern slavery has of late attracted significant attention in media and in legislation while impelling deliberation on its effect on social sustainability issues in literature (New, 2015). For instance, most countries’ legislature obliges organizations to publish annual statements with regards to action taken in combating modern slavery

(Gold et al., 2015) in their supply chain. According to Squire et al. (2015), the activity of every decent society must not concentrate on productivity alone, rather it must also make available jobs and security of those jobs, respect for workers, their labour rights, their health as much as their well-being, their freedom of association, thus, how they can freely join unions, collectively bargain and also participate freely. He further cited that it should also offer sufficient proceeds as well as focusing on social protection and for this reason, social sustainability takes into account; corporate governance, human rights and labour rights. Sloan (2010) explained that improving sustainability regarding the social dimension entails the development and maintenance of business practices that are fair and favourable to the workers touched by the supply chain and in turn help tackle issues of modern slavery. This involves taking into accounts the social wellbeing by improving labour conditions and standards, creating and delivering socially responsible goods and services (Sloan, 2010).

Following the definition of modern slavery as proposed by Gold et al. (2015), “the exploitation of a person who is deprived of individual liberty anywhere along the supply chain from raw material extraction to the final customer for service provision or production”, requires a socially sustainable network of the collaborative effort of all actors within the supply chain which is impartial, varied, connected and independent, with the intention of providing a quality life for its members in eradicating modern slavery. Accordingly, the complexity and the universal status of supply chains makes addressing the characteristics of modern slavery exploitation very challenging for organizations to handle single-handedly (New, 2015). In view of this, businesses are going beyond their boundaries by collaborating with other stakeholders and even their competitors. Therefore, there is a need to comprehend how organizations collaborating might support organizations to combat modern slavery and to understand its importance

and impact in gaining competitive advantage with regards to social sustainability performance (Gold et al., 2015). In response, organizations are adopting integrative schemes used in building innovative capabilities to enhance social sustainability performance by giving rise to relational rents, in relation to organizations' opinions for appropriate responds to modern slavery (Touboulic and Walker, 2015).

With the expectation that modern slavery legislature will enhance general awareness and generate further media and other stakeholders' interest, the media as well as stakeholders have looked into modern slavery legislation and as a result, further incentivizing them to take measures, with the intention of lessening reputational risk and create relational rents. For trust and commitment to be established in the case of modern slavery, it is necessary for competitors separate the agendas of their social sustainability. Torjman (2000) mentioned that social sustainability agenda embraces fundamental problems such as reducing poverty, construction of secured societies and also putting in place policies that are purposely designed with the intention of strengthening peoples' capabilities and their social lives. Legislation, being a formal governance mechanism requires corporate corporative assistance to collaboratively handle modern slavery.

Governance mechanisms to tackle modern slavery can be established through the involvement of other stakeholders who are not business actors in monitoring, intervening and facilitating alliance among business players which involve the sharing of information and resources to improve social sustainability globally and further assist businesses to judiciously control their supply chains.

2.11 THEORETICAL REVIEW

2.12 RESOURCE DEPENDENCY THEORY

Modern organizations are complex and function in a greatly unpredictable environment with their internal configuration influenced by external interdependencies which cannot be controlled fully (Barney 1991). Organizations need resources to attain autonomy, goals and to survive (Harsch, 2015) and also an environment that creates opportunities for acquiring the resources. These resources are usually bargained and supplied externally hence dependency (Barrett 2007). Resource dependency is a crucial part of organizations' environment. The resource dependency theory (RDT) has its source in root of strategic management which view an organization as entrenched within its environments but is dependent on external resources in order to function and exist, by identifying the influence of external factors on organizational behaviour and how management minimizes uncertainties and over dependence (Harsch, 2015). Resources mentioned here relates to capital, facilities, equipment, raw materials, and most importantly employees (Barney 1991) and an organization's environment relates to all actors, structures, and events that have the ability to manipulate an organization's reliance on external resources (Pfeffer, 2003). RDT is conceivably the most extensive in ranging its approach towards merging control within organizations, with a hypothesis on ways organizations use in managing their environment. A primary assumption of RDT is that organizations actions and decisions could be as a result of dependence on critical and significance resources and that a particular dependency situation influences the behaviours and actions of organizations (Barrett 2007; Harsch, 2015). Difference in the behaviour of firms could be tracked down to variations in management verdicts influenced by both internal and external actors who control critical resources. However, those who control critical resources have power, and power influences behaviour

(Pfeffer, 2003). Provan et al. (1980) mentioned that, “resources on which power is based can of course differ considerably from case to case”.

The aim of RDT is to explain differences in market behaviour in organizational structures (Pfeffer, 2003). Essential to those behaviours is the concept of power. RDT explains that the most essential method employed in explaining differences in the behaviour of firms is power however, power is comparable to dependency. According to Provan et al. (1980), organizations achieve power over resource providers and benefit more from cooperative relationships, hence even though organizations are mutually dependent, the party that control more important resources maintains control and renders the other party less stable. Thus an organization’s attempt to reduce others’ power over them by controlling resources is often an attempt to increase their own power over others (Ulrich and Barney, 1984). By the control of resources, powerful stakeholders are able to influence important positions in organizations where the interests of powerful decisions are realized rather than others’ interests. Such powerful decisions lead to certain organizations’ sufficing power and gaining dominance over others. Provan et al. (1980) revealed that powerful actors utilize their power to their advantage by extending their power over the resources they control to such an extent that their powers become reinforced, such that it will be difficult to once again be suppressed. Harsh (2015) brings together several of these hypothetical components as Resource Dependency Approach (RDA). The RDA speculates that one party perceives high resources in order to create dependency necessary for attaining goals pertaining to survival for other parties. A central hypothesis in RDA is that if one party exists with an immense reserve of resources, the higher the concentration of power by that party in the environment and the more dependencies arise (Harsch, 2015) resulting into exploitation hence slavery. RDT presents a perspective of why one organization may acquire another

organization (Provan et al., 1980), hence why one actor may exploit another actor into modern slavery. Thus it could be deduced that the over dependency of resources (people) on the environment (supply chain actors) results in modern slavery.

2.13 TRANSACTION COST ECONOMICS PERSPECTIVE

Organizations are characterized by informational activities which has the ability to influence transaction costs on efficiency in a supply network of alternative transaction modes (Boger, et al., 2001). Transaction costs encompasses the cost of assembling information preceding a transaction, bargaining to carry out an enforcement on transaction and supervising and to make certain that pre-organized provision the transaction is compiled (Williamson, 1993). Yang et al. (2012) outlined that transaction cost is regarded as a major intention for communication and cooperation to improve the uncertainty of organizations, minimize risks and increase efficiency of economic exchange. Notwithstanding, the major objective of an economic exchange is to reduce cost, hence the need for opportunism (Schniederjans and Hales, 2016). From Hakansson (1982) perspective, transaction interaction is not always helpful, as a result the perception of economizing and rationalizing on transaction costs in the contrast of the diverse forms of organizations happens to be crucial.

Transaction Cost Economics (TCE) is among the most important perspectives in organizational and management studies which has emerged as a chief paradigm in literature and gained increased attention from audience (Tsang, 2006). TCE is concerned with the allocation of economic activities across alternative modes of organizations, adopts distinct structural analysis and portrays the firm as a governance structure (Schniederjans and Hales (2016). Williamson (1993) defines TCE as “an effort to better understand complex economic organization by selectively joining law, economics and

organization theory”. The rationale behind TCE is to clarify why transactions in some institutional arrangements operate with different degree of efficiency compared to others (Yang et al., 2012). In particular, TCE deals with the conjunction of diverse types of business techniques for coordinating financial exchange in markets, organizations and mixed forms of administration of exchange relations which emerged in response to the frictions inherent in transactions (Wilson, 1996) “TCE studies organizations from a comparative point of view in which different institutional arrangements are considered alternative ways to organize economic activity” (Spekle, 2001) and it’s essential purpose is to clarify the reason why a number of transactions are assumable to be implemented in a business while other transactions tend to be coupled with diverse organizational modes. From TCE perspective, a particular institutional arrangement is chosen to govern a specific transaction due to the fact that arrangement offer some form of unique control incapable of been imitated within different arrangements that is exceptionally tailored towards controlling the needs of that transaction (Tsang, 2006). Schniederjans and Hales (2016) pointed out that TCE is motivated by the perception that transaction occurs in a situation in which members within the supply chain are restricted by “bounded rationality”, are subject to strategic behaviour of others and are required to work to minimize transactions difficulties in a cost-effective manner.

Organizations rely on governance mechanisms in safeguarding uncertainties and opportunism that are inherent in businesses which enhance competitiveness. According to Williamson (1991) transactions costs are effectuated through naturally imperfect economic actors by bounded rationality and opportunism. Williamson (1993) explained that the essence of bounded rationality is that even though the intention of human beings is to behave rationally, their decisions are hardly ever optimal for the reason that human beings simply lacks the rational and analytical ability to arrive at such decisions.

Bounded rationality advocates that while human behaviour is deliberately rational, it is more often limited by the capacity to process and communicate and consequently actors find it difficult communicating changes to circumstances surrounding a transaction in advance (Yang et al. 2012). Explaining opportunism, Williamson (1993) defined opportunism as “self-interest with guile”, recognizing individual actors to act opportunistically to exploit situations to their own advantage. He further mentioned that some individuals are opportunistic at times in such a manner that real behavior of contracting members can resourcefully be described as assuming the presence of opportunism with regards to preventive measures to prevent unpleasant surprise. Opportunism occupies an important position in TCE and though responsible for the existence of hierarchies, it is also the fundamental cause for the failure of markets (Wathne and Heide, 2000). Opportunism entails a negotiating system’s tactical influence of people and information to extort transaction cost from its co-equal or peers, while imposing excessive prices through the combination of individual advantages (Williamson, 1975; Goffman, 1969). TCE is of the view that organization choose the organizational structure that has the least transaction cost that ensures actors fulfil contractual obligations, provides a structure for dealing with uncertainties and also effectively safeguard against partner opportunism (Williamson 1993).

TCE contributes to both operations management and supply chain management (SCM) literature by continuously addressing the question of how economic competitive advantage could be achieved and also how supply chain sustainability can be created (Hobbs 1996; Grover and Malhotra 2003; Williamson 2008). According to TCE, the major transaction risks generated by bounded rationality amid supply chain actors serve as the gateway for opportunism and that actors should pursue to enhance financial competence of both internal and external transactions in order to minimize opportunistic

risks (Tsang, 2006). “The concept of SCM is built on the theories of the firm especially transaction cost economies” which assumes that opportunism is inherent in the supply chain (Yang et al., 2012), hence supply chain actors make use of opportunism to exploit weaker actors along the supply chain resulting in a master-slave relationship. TCE is of the opinion that cutting down on transaction cost is primarily responsible for the reason why one organization capitalizing another and posing a contracting problem, nonetheless it maintains that inefficiencies in organizations invites its own as competition has become more strong (Wathne and Heide, 2000). Thus because of bounded rationality, contracts between actors in the supply chain are inevitably incomplete and offer limited protection against opportunistic behaviour (Tsang, 2006). Williamson, (1985) proposed that “transaction-specific investments give rise to a safeguarding problem, and mechanisms must be provided to minimize the risk of subsequent opportunistic exploitation”.

2.14 GLOBAL VALUE CHAIN ANALYSIS

Globalization has accelerated a change in the way and manner of how businesses are carried out, by moving from their confined individual country borders to hierarchical trans-national organizations and eventually, to hefty international fragmented global supply chains (Bitran, et al., 2007). Supply chains represent a varied of skills nationalities and languages by dominating international trade with the production of products and services as well as employments provision straddling population of workforce and continents (Nolan and Ford, 2019). However, several factors such as information and communication technology, advanced infrastructure, attractive business-enabling environment, accessible and economical land and a more low-cost and

abundant labour stimulate greater separation of production in supply chains (Gereffi & Lee, 2018), hence a global value chain (GVC).

The configuration and integration of value chains in international markets are usually influenced by initiatives from TCE which emphasizes that cost and efficiency are the conditions that shape markets (Bair, 2009). The GVC analysis represents a prevailing instrument used in comprehending the way organizations in various countries integrate in international markets such that both parties could benefit from upgrading strategies based on economic structural relationships between and among buyers and sellers (Gereffi and Fernandez-Stark, 2016). Gary Gerreffi introduced the concept of GVC following the concept of value chains which was first introduced by Micheal Porter (1985), which describes how companies uses both their primary and supportive activities to create value for their customers (Gerreffi, 1994, 1999; Gerreffi et al., 2005).

In assessing global organizations from global perspective (top-down) to local perspective (bottom-up), the GVC was grouped into six basic dimensions (Gereffi and Fernandez-Stark, 2016).

The global dimensions are outlined as follows:

- i. input–output structure - describing the process of how raw materials are transformed into finished products;
- ii. geo-geographic scope - explain how industries are globally dispersed and in what countries different global value chain activities are carried out; and
- iii. governance – explaining how organizations control the value chain globally.

The local dimensions are outlined as follows:

- iv. upgrading – describing the dynamic shift within the GVC by examining how manufacturers move among the various stage of the value chain;
- v. local institutional context – explaining how the value chain is entrenched in social elements and local economic; and
- vi. industry stakeholders – describing how various local players in the value chain interconnect to accomplish industry upgrading in the global value chain.

GVC is basically concerned with how power is distributed among supply chain partners by focusing on how specific external actors control and coordinate human resource with material and finance (Gereffi and Fernandez-Stark, 2016). Organizations have of late incorporated these external players in governance analysis as a major component of Corporate Social Responsibility and workers social upgrading (Gereffi and Lee, 2018; Barrientos et al., 2011). Notwithstanding Laven and Boomsma (2012) assessed that not much attention has been given to individual workers and producers in the local dimension of value chains leading various improved chances with negative consequences such as official employees benefiting from legislative directives whereas unofficial employees are constricted to reimburse transaction cost. This is because according to Gerreffi and Fernandez-Stark (2016) GVC is concerned with how the local context manipulate inputs with regards to human resources such as labour participation and the skill level of labourers. Thus on the basis of transaction cost reasoning, GVC illustrates how inputs are influenced by the local context such as terms and conditions of labour participation or skill level of labourers however, it refuses to acknowledge the wellbeing

of workers further than the rational of income and making individuals part of a social community (Gereffi & Lee, 2018).

New (2015) concluded that the persistent improvement of GVCs as the means of production for an increasing number of goods and services has considerable impacted on the general public economically. Conversely, even though there have been numerous efforts at improvement there is still indication of unsettled predicament of ethical issues on human rights, and environmental issues in the operation of the GVC which results in continuous institutional failure that leaves workers vulnerable and the environment abandoned.

2.15 EMPIRICAL REVIEW

This sector reviews the empirical studies on nature, antecedents, and outcomes of modern slavery in supply chains with evidence from Ghana's upstream cocoa supply chain. It centers on diverse view with the intention of grasping the main concepts and findings which are prominent and imperative for this study. Primarily, Walkfree (2018) point out the risk in cocoa industry. Their research in partnership with Tulane University, Dutch Chocolate Company, Tony's Choclonely and the Choclonely Foundation suggest an estimate of 14,000 grownups as well as 3700 youngsters involved in both child labour and forced labour in Ghana between year 2013 and 2017. They explained that these adults were involved in labour situations where they pressurized to work by using aggression, intimidation or subtle form like debt manipulation, and human rights abuse. They also mention that there is widespread use of child labour which includes hazardous work such as working with sharp tools, and lifting heavy loads explicitly harmful to their physical and mental development and also deprives such children of their childhood, affecting their dignity. They conclude by calling on governments to

ensure that businesses involved in chocolate to get serious about responding to the risk of these slavery acts through laws that require concerns about where their products (cocoa) are coming from and take action. In addition, they suggest governments to invest in initiatives that enable the sustainability of domestic and international prices, support farmers to increase productivity and also improve support for workers which will in return improve incomes of cocoa producers.

Nolan and Bott (2018) conducted a survey on modern slavery index to analyze the embedment of modern slavery in the cocoa supply chain between 2013 and 2017. The analysis included surveys from 715 children as well as 903 adults. The main focus was to illustrate forced labour and child labour in cocoa production and its associated risk impact to these vulnerable victims seeking information from respondents own experiences. They observed that some adults who work in cocoa production were actually victims of labour exploitation. Their findings further suggested most of the children who work under cocoa production were victimized under forced child labour, either performing hazardous labour or exceeding the maximum hours of time allowed for their ages and for some children, both. In addition, they observed that the exploitation in cocoa farming practices towards these victims was motivated and strengthened by factors such as; farmers' constant poverty resulting from low yield from the nature of small-scale farming practices and little bargaining power to influence price for their produce as well as few pursuit rates which results injustice, thereby employing cheap labour through exploitable means. The study concluded that initiatives to implement monitoring and remediation systems for child labour and cooperative bodies in relation to farmers to reinforce negotiation power, minimize farmer cost and put in place payment standards in the cocoa agriculture appear limited and therefore eliminating modern slavery from cocoa production appears to be a long-term challenge. They further

suggested that the engagement and cooperation by both local and global stakeholders of cocoa production as well as governments of countries that export or import cocoa produce are required.

Following Busquet et al. (2021), they proposed that even though cocoa production gives a major boost to a county's economy, it has also brought serious challenges such as a rise in forced labour with more emphasis on child labour affecting cocoa production communities such as Ghana and Côte d'Ivoire. They reveal that involving children in child labour in cocoa production has significantly increased recently in West Africa, more specifically Ghana and Côte d'Ivoire, indicating that presently a great part of cocoa production workforce in Ghana and Côte d'Ivoire comprise children. Findings from their study indicate that rather than attending school, majority these youngsters used for cocoa production as well as mining, often perform hazardous tasks such as working with dangerous tools such as machetes in clearing the lands and cutting the cocoa pods, pesticides and carrying heavy loads. Again, these youngsters labour further than the normal working period allocated to their ages. They concluded that the struggles of these children and vulnerable workers in the cocoa community are rooted in the challenges of poverty and lack of access to education. To address such challenges and struggles of modern slavery (child labour and forced labour), they proposed that together, the International Cocoa Initiative and other stakeholders must work together to protect and support children and vulnerable workers against any form of modern slavery.

LeBaron (2018) also describes patterns of modern slavery present in cocoa production, including the key dynamics that shape certain entity's vulnerability to exploitation in Ghana's cocoa supply chain. The study reveals that regardless of the changes that has formally proscribed slavery scholars still stresses the continuous exploitative labour

practices in Ghana cocoa production sector resulting from contemporary dynamics of poverty and unfair treatment. Findings from the study revealed that there has been a shift toward cocoa farmhands' wives and children in unpaid labour rather than farmers own wives and children. It was observed from the study that almost all the workers surveyed and interviewed had experienced some form of labour exploitation such as physical violence, verbal abuse, coercion, threats of violence or dismissal which were often used as a form of labour discipline. At the end of the survey the author concluded that, the following key patterns taking place in the Ghana cocoa industry need to be addressed; underpayment and sometime non-payment of workers, high interest charges on lend money or debts, deductions for equipment and imposition of fines.

Based on empirical review from the various authors indisputably demonstrates that modern slavery is inherent in the cocoa supply chains especially at the upstream. It also highlights some of the causes that influence the nature of modern slavery in the cocoa supply chain and suggests numerous measures in which stakeholders may address the subject matter. Notwithstanding, whereas the literature on modern slavery is copious and still mounting, a comparatively small amount of study has been conducted on assessing modern slavery in relation to supply chains. Particularly, there exist key fissure related to a system-wide analysis on modern slavery in the supply chains especially the upstream with very few focusing on nature, antecedents and outcomes in modern slavery. The rationale behind this study is therefore to draw attention to these key fissures and also present insight on how they might be addressed.

2.16 COCOA VALUE CHAIN

Cocoa as a commercial product has a very complicated supply chain network (Traoré, 2009). The complexity of the cocoa value chain originates from its interconnectivity with

other products as well as its own by-products more often than not re-entering the network to be used for the production of different finished products for consumers (WCF, 2012). “Cocoa travels along supply chains usually crossing different countries and continents. The complex production process involves numerous parties including: farmers, buyers, shipping organizations, processors, chocolatiers and distributors” (WCF, 2012). The flow of cocoa value chain follows an input- output configuration which is usually illustrated by various streams and among diverse players called nodes. These nodes consist of two different flows namely; tangible flows in the form of products such as cocoa beans and intangible flows in a form of service such as information (Bolwig et al., 2010; Gereffi and Fernandez-Stark, 2016). Apart from how complex the chain is, cocoa is one product that brings massive economic gains for certain individuals and the economy as a whole. It entails a variety of events undertaken at different nodes to generate and capture value derived from inputs like labour and capital (De Buhr and Gordon, 2018).

According to WCF (2012), Africa is by far the world’s largest supplier of the cocoa, and about 90% of global cocoa production comes from smallholdings farmers in developing continents such as those in West Africa. With the Cocoa Value Chain (CVC), farmers who form the upstream of the chain and who are usually in developing countries are linked to manufacturers and producers who on the other hand form the downstream of the chain and are usually located across the globe through few brokers such as processors (Laven and Boomsma, 2012). However, a cross examination on the input-output structure of the cocoa value chain revealed that most of the people working in the cocoa industry are usually working on small-scale cultivated areas with family farming context (De Buhr and Gordon, 2018; Leissle, 2018) Thus, the enormous mainstream of cocoa

still comes from small, family-run farms using out-dated farming practices and limited organizational leverage” (WCF, 2012).

The cocoa beans, once harvested, are left to be fermented and desiccated. Observation indicates that even though cocoa production occurs at cultivation sites, a considerable section of the preliminary processing which entails fermentation, pruning and drying often occurs at homestead. After the cocoa beans are adequately dried, producers either sell them through local buyers or through cooperatives where they are transported for processing and grinded into semi-finished products basically cocoa powder, cocoa liquor or cocoa butter (De Buhr and Gordon, 2018). After the cocoa beans have been processed they are then shipped or transported mainly to chocolate, cosmetics and alcoholic organizations globally for value addition before it gets to the consumers. Whereas cocoa butter and liquor are used for chocolates production, cocoa powder is used for beverages (Traoré, 2009).

Usually, licensed purchasing clerks are those who buy the cocoa beans from the farmers and sell them on behalf of the farmers. The cocoa value chain is largely differentiated by a captive form of governance and because of how elastic its nature is, the farmers do not have bargaining power in negotiating price, as a result, they are just price takers (De Buhr and Gordon, 2018). Fountain and Huetz-Adams, 2018) explained that the comparatively low bargaining power has rendered these farmers susceptible to price instability in the global cocoa market which leads to incomes below a living wage and possible income shocks. Finally, the chain ends with supermarkets and smaller outlets acting as retailers or sale outlets for the final consumer to gain access to the variety of products created from cocoa.

According to Bymolt et al. (2018), cocoa farming is an extremely labour intensive activity with a low financial reward. In the developing economies, owning lands and farm management are usually anchored on customary land tenure system and as a result ownership and land allocation are highly contested. Thus the division between land and labour is usually unclear especially with sharecropping systems where people (usually labourers) are paid for their labour by acquiring a portion of the land over time or with a fraction of the produce.

2.17 GHANA COCOA CHAIN

Cocoa is of the essence one of the cash crops in Ghana with a lot of socio-economic benefits for the economy and the world at large. Among the entire agricultural exports in Ghana, cocoa serves as the leading foreign exchange earner and employs numerous labour force in the country (Bank of Ghana, 2008; Amoah, 2008). Ghana government for example has acknowledged farming, particularly cocoa production as one sensitive area that have the prospective of contributing towards economic growth and hence assisting in meeting its goals of reducing poverty (Assuming-Brempong et al., 2008). In view of that, Ghana government is dedicated to protecting the cocoa supply chain sustainability as one of his concerns toward development because of its exceptional contribution to Ghana's economy.

Ghana's cocoa is cultivated largely in rainforest areas of Ghana within the Western Region, Eastern Region, Central Region, Volta Region, Ashanti Region, Bono Regions and Ahafo Region, with an annual rainfall of about 1,000-1,500 millimetres (Assuming-Brempong et al., 2008). Cocoa pods are mainly reaped two times within every year mainly from October to July which is the main season for harvesting. Procurement of the main crops starts usually in October while the mid-crop which is

smaller begins in July. Ghana is considerably the second leading producer of cocoa in the world after Côte d'Ivoire (Appiah, 2004; cited in Bosompem et al., 2011). Ghana mostly trades its cocoa produce, over 90% of which is of grade 1, through forward contracts ahead of the harvest season. Ghana Cocoa Board (COCOBOD), which is the marketing board owned by the state is responsible for all the domestic trade by using Licensed Buying Companies (LBCs) such as the Cocoa Marketing Board (CMB) and is the sole purchaser of all the harvested cocoa seeds in the country. The cocoa beans are purchased from the buyers by purchasing clerks who work for LBC and stocked up in sacks at district and local warehouses and further conveyed to the nation's cocoa marketing company (CMC) who holds the exclusive right to put the produce out for sale to customers domestically and globally (Assuming-Brempong et al., 2008).

According to Kolavalli and Vigneri (2005) Ghana exports an immensity of cocoa in the raw state with only about 40% of the produce being processed domestically. A price premium is placed on cocoa imports from Ghana because of its superior content of fats, propensity for higher yields in butter as a result of lower levels of unwanted materials such as stones, little to no defects of cocoa beans and the status of consistent and reliable supply of cocoa (Kolavalli and Vigneri, 2005).

2.18 GHANA'S COCOA SUPPLY CHAIN

Known also as value chain in literature, supply chain encompasses the whole network of businesses involved in functions who are interconnected, and whose undertakings enhance a flow of converted inputs from where they are sourced to the consumption point to satisfy end-user's needs (Huňka et al, 2011; Lu, 2011). Supply chain serves as the functional structure connecting various economic driving forces with a variety of utilities and motives to work cohesively through the flow of material and information to

achieve value at the lowest cost in order to satisfy the consumer. Its activities include but not limited to demand planning, purchasing, transportation, warehousing, manufacturing, supply planning, customer service, supply chain management and returns management. Just like any other product, the supply chain network of cocoa beans is assumed by the coming together of a network of organized entities which are input suppliers, farmers, licensed buying companies, Cocoa Marketing Company (CMC), COCOBOD, haulage companies, local processing companies, wholesalers and retailers (Lu, 2011). Leissle (2018) added that there also exist flows and processes between and within these actors which include information, finances, products, services and even bonuses. For example, the cocoa supply chain of Ghana starts with farmers where the smallholder farmers produce for the Cocoa Marketing Company (CMC) through the License Buying Companies (LBCs); their cocoa beans are exchanged for money, inputs and bonuses; and the Quality Control Division of COCOBOD ensures the quality of cocoa beans from up-country (Leissle, 2018). However, unlike many other agricultural produce, cocoa is not planted in commercial plantations but by smallholders in small scales usually cultivated at random with other crops (GAWU, 2014). “COCOBOD report indicates that a total of 1.7 million farmers are engaged in cocoa production in Ghana with about 1-2 hectares of cocoa farmland. Average economic lifespan of farm lands in Ghana ranges between 20-50 years. The average cocoa fruit requires about five months to ripe giving the right farm conditions. Meanwhile, within its maturity period, the cocoa fruit is subject to both diseases and pest infections including the swollen shoot and capsids”. Cocoa farmers use farm implements which include machetes, axes, harvesting hooks, pruners, ladders and chain saws” (Leissle, (2018; Nbabuine, 2012) for their daily activities on the farmlands which are either given as supplementary from COCOBOD or purchased by the farmers.

When it comes to the sale of the cocoa beans, farmers have the preference of choosing to sell to their cocoa beans to a number of LBCs who could be either local or foreign companies or their agents in every cocoa community (Lu, 2011), however they should be LBCs. The LBCs are internal marketing companies who procure the cocoa beans as a representative of COCOBOD. “It is required that, the LBC has a permanent buying location where the farmers bring their graded beans sealed in export sack by the Quality Control Division for them to buy” (Nbabuine, 2012). COCOBOD is responsible for guaranteeing the best state of the cocoa beans before they reach the global market for sale (Lu, 2011). Leissle, (2018) explained that the Quality Control Division of COCOBOD has been given the authorization to reject the cocoa beans when the quality is compromised, as a result before the LBC makes a form of procurement, they assess the cocoa beans to check on its moisture content before it is later scaled in the presence of the farmer on certified scales. The LBC then evacuate all the aggregated quantity of cocoa accumulated to the Cocoa Marketing Company (CMC) where they also sell them at a fixed price to the government.

The government of Ghana provides the stabilization of cocoa prices for all farmers in Ghana which is announced every year by COCOBOD through minimum farm gate prices. The purpose of farm gate price is to guard these vulnerable farmers from being affected by sudden drop of prices due to inflation. Notwithstanding, according to Nbabuine (2012) the prices fixed for these farmers correspond to about 60-70% of cocoa market price across the globe. However, this was explained by the Cocoa Health and Extension Division of COCOBOD, a branch that deal with the farmers directly that the remaining difference is what the government reinvest in the cocoa sector (Leissle, (2018) and it entails grants such as seedlings and pollination for farmers, fertilizer subsidizing support programs grants to workers who inspect the cocoa beans to ensure quality,

education funds, to mention but a few. Another unforeseen area of the Ghana's cocoa supply chain is the service of private cocoa haulers engaged by these LBCs who haul the graded and sealed cocoa to take over points such as an inland port at Kaase, Kumasi, Takoradi port and Tema port where a subsidiary of COCOBOD, the (CMC) officials store the quality premium cocoa for overseas shipment (Nbabuine, 2012).

It should be noted that before these cocoa beans are sold to either domestic manufacturers or global markets, there are numerous activities responsibilities that the COCOBOD is tasked to perform with the purpose of ensuring that the quality of Ghana's cocoa is at the highest premium. COCOBOD's seed production unit makes sure that the seeds distributed to the farmers are of high quality with high yielding propensity, the extension office of the disease control unit organizes training programs for farmers, extension officers are also mandated to visit cocoa farms so that they can monitor and train the farmers who are more often than not illiterates on disease control and chemical applications (Leissle, (2018). In terms of the sale of cocoa beans, whereas cocoa beans are sold in international markets, domestically, they are manufactured with value addition to create variety of products such as chocolate bars, candies, cocoa powder beverages and even body creams and lotions to generate additional revenue for the country, hence Ghana's cocoa supply chain is the second highest contributor of Ghana's total revenue. Basically these activities exhibit the Ghana's cocoa supply chain (see Figure 2.3).

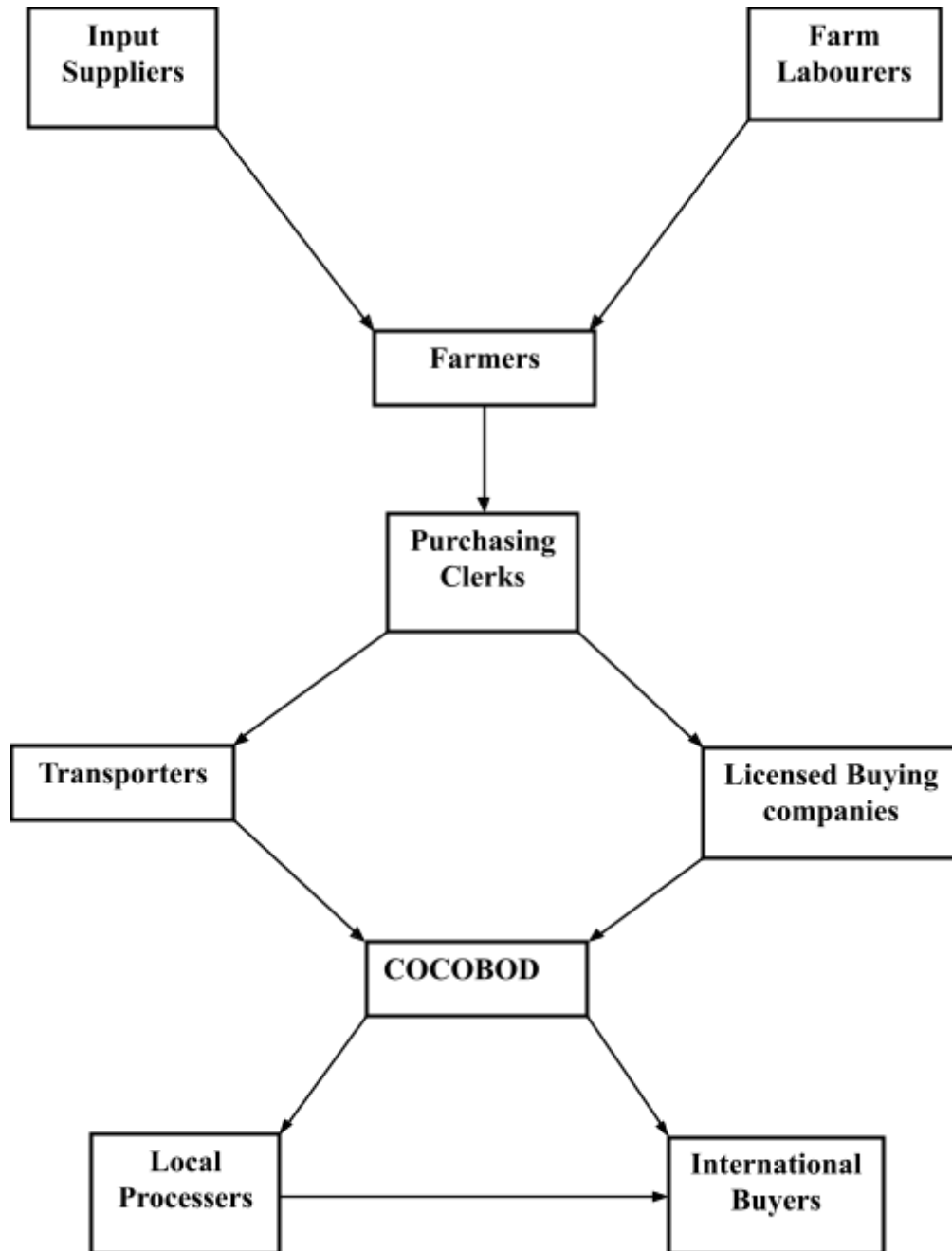


Fig 2.2 Flow process of Ghana Cocoa Supply Chain Network

Source: Author's Construct (2021)

2.19 MODERN SLAVERY IN GHANA COCOA CHAIN

The CVC governance structure demonstrated above highlights how farmers' power is limited towards price negotiation as well as incomes related to cocoa (Bosompem et al., 2011). It further exposes how difficult it is for domestic players of CVC to involve themselves in activities that capture high value (Bosompem et al., 2011). Research shows that majority of cocoa production in Ghana occurs under appalling circumstances such as child labour, child trafficking bonded labour, intensive nature of production and harvesting, low earnings of cocoa farmers and poor health and safety measures (International Research Report, 2008). International Research Report (2008) further highlighted that, indeed such challenges endangers Ghana's cocoa chain sustainability knowing well that any form of negligence will not only have an effect on cocoa earnings but economic development as well as the incomes of many Ghanaians who mostly rely on the cocoa cash crop for their living. Assuming-Brempong et al. (2008) added that these occurrences possibly will have an effect on the quality and productivity of the cocoa beans exported by Ghana.

CHAPTER THREE

METHODOLOGY

3.1 INTRODUCTION

This chapter discusses methodology employed in conducting this study by discussing research design, empirical context, sample size, sampling technique, unit of analysis and key informants or respondents. Further, it examines the type and sources of data, data collection instrument and procedure, how data were analyzed, how validity and reliability were tested and addressing of ethical all through the research process.

3.2 RESEARCH DESIGN

Research approaches have been elucidated and classified in different ways by different authors in research (Saunders et al., 2009). Kumar (2008) explained that a research design entails every technique that is adopted in carrying out research. Commonly, the styles employed for research design are either quantitative or qualitative and sometimes a mixture of both. This study employs a qualitative method in the form of a case study to conduct an investigation on nature, antecedents, and outcomes of modern slavery in supply chains. According to Miles and Huberman (1994), qualitative data from case studies presents crucial information required to explore meanings, perceptions and assumptions within a social and business environment such as the one investigated in this study.

3.3 POPULATION

The population of a study is the full set of cases or group members about which a research is undertaken (Saunders et al., 20011). The target population of this research consists of farmers or actor within Ghana's cocoa upstream supply chain. However,

owing to the wide-ranging nature of the cocoa value chain, the study primarily focused on the farm gates of the upstream supply chains within Sefwi Municipal District in the Western North Region of Ghana. The specific dramatis personae in the domestic value chain engaged for the study incorporated farmers and farmhands

3.4 SAMPLE SIZE

Occasionally, there exists some constraint which makes it exceptionally complicated to study every element contained by a targeted populace. Therefore, there is an undeniable rationale for the researcher to undergo a methodical procedure called sampling with the intention of choosing adequate members from the population such that, by studying those members and appreciating their distinctiveness, it would create the possibility of generalizing those characteristics to the population elements (Cavana et al., 2001).

For this study, there existed convincing rationale to study merely a segment of the total populace. Basically, it was not virtually feasible for the researcher to scrutinize each member all farmhands as well as farmers within Ghana's domestic cocoa chain. Also, apart from both human resource and logistics issues, the required time for the completion of this study made it humanly impossible to cover a full coverage.

Additionally, it appears that there was not any theoretical justification for the researcher to study every case of a populace given which bears much related characteristics like the case of Ghana's domestic cocoa supply chain. As a result, twenty (15) people were randomly sampled for interviews which include five (5) farmers, ten (10) farmhands.

3.5 SAMPLING TECHINQUES

Sampling technique is essential for every study in a social context because it assist in answering questions that pertain to the type of participants who will be called to respond to research questions (Neuman, 2007). As a result, the study employed a random but purposive and convenience sampling technique to sample two key actors within the domestic chain for the study. These included farmers and farm labourers. Purposive sampling technique was chosen due to the fact that these two set of actors consist of the first two upstream supply chain actors and that they play fundamental roles in the Ghana's domestic supply chain which makes their inclusion justifiable. However, respondents were randomly selected to respond to interview questions. Again, convenience sampling technique was employed since the time required to complete the study limited the researcher to cover a wider coverage.

3.6 UNIT OF ANALYSIS

There exist a variety of units of analysis that are used within each study. According to Cavana et al. (2001), these include individual studies, dyads or two person interactions, relationship studies, group interactions and organizational cultures. However, the precise kind that a research chooses depends mainly on the stage of accumulation of the data that was composed at the analysis phase (Cavana, et al., 2001). For this study, the researcher adopted the individual and relationship as the unit of analysis. These two were suitable to answer the research questions. In each case, the researcher's interest was at the individual level as a result data were gathered from individual workers at the upstream stage of the supply chain.

3.7 KEY INFORMANTS/ RESPONDENTS

This study concentrated on key respondents at the upstream level of the Ghana's domestic cocoa supply chain among others. Thus key respondents who were employed for the study included farmers and farm labourers from the farm gates of the Ghana's domestic cocoa supply chain.

3.8 TYPES AND SOURCES OF DATA

In conducting every form of research, there exist two major types of data. These are primary and secondary data. The nature of this study entails data that is gathered from primary source. According to Jankuwics (2002), primary data involves data which the research personally gathered either through a systematic observation, a case study of a particular setting, results from questionnaire or from interviews and information from archives. As a result, primary data was employed to conduct the study.

3.9 DATA COLLECTION INSTRUMENT AND PROCEDURE

The study which is qualitative employed interviews as the primary instrument for gathering primary data from respondents. The researcher conducted an unstructured one-on-one in-depth interview to gather qualitative data from both the farmers and the farm labourers. An interview guide was used in both cases respectively. These interview guides were designed purposely to reflect the first two main upstream supply chain actors in the domestic cocoa supply chain of Ghana which are the farmers and the farm labourers. Ideally, an audio was used to capture the data from the interviews and from time to time notes were hand written as a support to the audio. The combination of these two methods provided the researcher with extremely affluent data which could have been exceedingly hard to establish through a questionnaire.

3.10 DATA ANALYSIS

This study primarily employed thematic analysis to analyze the qualitative data collected. Braun and Clarke (2006) explained that thematic analysis offers a purely qualitative, detailed and distinctive account of data. Thematic analysis assists the researcher to appreciate those aspects of phenomenon that the respondents talk about in depth or more frequently and the ways in which those aspects of a phenomenon may be connected. The process of the thematic analysis for this study was organized as follows; all the raw data gathered through the interviews were prepared and organized and all audio recordings were transliterated reflecting the exact proceedings from the interviews. All the raw data were typed, read and reread to note down initial ideas and formatted in order to improve legibility and ease of analysis. Recordings in the native language were translated to English with care to ensure accurateness and also avoid misinterpretations of any form. After that, all the raw data from the interviews which were typed were systematically coded and collated relevant to each code in a short line of alphanumeric symbols to ensure that data could be easily tracked for future references since the codes were to be applied in the thematic analysis many times. Copies of the original data were made and stored safely to avoid any possibility of data losses. After that the coded data were reorganized to conceptual themes based on similarities which were cautiously done through systematic and repetitive reading of all the transcripts where raw data were coded as themes emerged. Comparative analysis was created between subsequent themes which were identified against previously identified ones to make out for consistency. In order to further improve on the analysis, the initial coded themes were evaluated to examine whether the themes correspond to all the set and the coded extracts in order to generate thematic map through which sub-themes were identified. All specific passages which were coded were further transferred to files for each theme with the assistance of

Nvivo; a computer processing package. Again, all the themes filed were examined many times to explore the possibility of generating new concepts as new ideas emerge which were further reviewed to verify the portion of the data needed to be included in the final write-up. Finally, themes along with supporting excerpts from the data were presented in the final report which reflected the research questions.

3.11 VALIDITY AND RELIABILITY

As stated by Patton (2002), validity and reliability happens to be two important characteristics that all qualitative researchers have to concentrate on when composing a research, adjudging its quality and finally analyzing the outcomes. Patton (2002) further explained the significance of making certain validity and reliability of a study by saying that, should data and evaluation procedure fail to be valid and reliable, and should the composed attributes fall short to produce acceptable internal and external validity, then the study is insignificant in scientific eyes. For this reason, this study considered these two major issues all through every stage of the study from the very beginning to the conclusion stage by ensuring that all interrogations for the study were executed by the researcher in person. During conduction of interviews, multiple coding was applied in obtaining records of data. There were notes also taken with the intention of serving as a substitute reference to audio records that were utilize and further transliterate to circumvent the interviewer's preconception whatsoever and also the likelihood of excluding relevant data which can have an effect on the validity and reliability of this study. At the stage of analysis, the data that was assembled were further presented and examined and in circumstances which required editing, there was great discretion taken so that every bit of researcher bias would be avoided.

3.12 ETHICAL CONSIDERATION

Every study has a moral accountability and social responsibility of addressing ethical issues (Cavana et al., 2001) of which this study is not exceptional. In this regards, the researcher made sure that every work that was borrowed from other authors has been acknowledged accordingly. Again, the researcher carefully included every significant data with no addition or omission deliberately made to influence readers. Concerned with moral accountability, the researcher sought proper consent from every respondent before they were permitted to freely participate in an interview with no deceit and or intimidation of any form. Thus, participants were homogeneously well-versed concerning the factual objective of the study by the researcher and were additional assured of complete confidentiality. An audio coverage was suitable to assist a precise transcription during the qualitative data analysis, for this reason it was practical that the identity of participants to be exposed to the researcher which was made with preceding consent from every respondent with efforts put in place to make certain that each respondent's personal identity was not necessarily connected to data presented, evaluated and conversed in this study in any sort.

CHAPTER FOUR

DATA ANALYSIS, RESULTS AND DISCUSSIONS

4.1 INTRODUCTION

The aim of this chapter is to analyze the data and also present a discussion of the result from the interviews conducted and compare it with the literature reviewed. To achieve this, a qualitative approach in the form of interviews with some farmers and farmhands at Bekwai Municipal District in the Ashanti Region of Ghana were used in gathering data. These interviews were conducted in order to make stronger finding so as to arrive at the situation on ground and also to augment the study by providing additional hands-on insight of real life experience on the nature, antecedents, and outcomes of modern slavery in Ghana's upstream cocoa supply chain. This section is presented in accordance with the objectives of the research. It begins with responses and demographic analysis for the study. The second sector reveals results from the study. The third section presents discussion of the results from the study and the final section also presents managerial/practical implications for the study.

4.2 RESPONSES AND DEMOGRAPHIC ANALYSIS

This section outlines how findings were arrived at by the researcher. Here, the researcher analyzed each questions with the responses from respondents who were interviewed. In all, fifteen (15) people were interviewed who were farmers and farm hands.

Table 4.1: Demographic characteristics

Participants	Frequency	Percentage
Farmers	5	33.33
farmhands	10	66.67
Total	15	100.0

Source: Author's Construct (2022)

Table 4.2: Demographic characteristics (Farmers)

Farmer	Name of community	Current annual cocoa output (bags)	Age	Gender	Educational level	Interview duration (Minutes)
1	Ntianko/Denyaseman (Bekwai)	1.5	60	Female	Diploma	10
2	Ntianko/Denyaseman (Bekwai)	2	52	Male	Form 4	6
3	Ntianko/Denyaseman (Bekwai)	4	57	Male	Primary	7
4	Ntianko/Denyaseman (Bekwai)	10	63	Male	Form 4	9
5	Ntianko/Denyaseman (Bekwai)	6	55	Male	Form 3	8

Source: Author's Construct (2022)

Table 4.3: Demographic characteristics (Farmhands)

Farmer	Name of community	Current annual cocoa output (bags)	Age	Gender	Educational level	Interview duration (Minutes)
1	Ntianko/Denyaseman (Bekwai)	4	47	Male	No formal Education	6
2	Ntianko/Denyaseman (Bekwai)	1	32	Male	SHS	6
3	Ntianko/Denyaseman (Bekwai)	2	30	Male	SHS	4
4	Ntianko/Denyaseman (Bekwai)	2	43	Male	JHS	4
5	Ntianko/Denyaseman (Bekwai)	2.5	52	Male	Form 4	5
6	Ntianko/Denyaseman (Bekwai)	50kg	36	Male	JHS	6
7	Ntianko/Denyaseman (Bekwai)	35kg	53	Male	Primary	11
8	Ntianko/Denyaseman (Bekwai)	16kg	43	Male	Form 4	4
9	Ntianko/Denyaseman (Bekwai)	4	41	Female	JHS	7
10	Ntianko/Denyaseman (Bekwai)	2	61	Male	Form 4	4

Source: Author's Construct (2022)

4.3 RESULTS

This section presents the results from the study by identifying forms and dynamics that modern slavery take at different interfaces within Ghana's upstream cocoa supply chain, examining factors that explain the forms and dynamics of modern slavery at different interfaces within Ghana's upstream cocoa supply chain, assessing how modern slavery-type affects weaker actors in Ghana's upstream cocoa supply chain and finally evaluating how affected actors at different relationship interfaces respond to different forms of modern slavery in Ghana's upstream cocoa supply chain.

4.3.1 Identifying forms and dynamics that modern slavery takes at different interfaces within Ghana's upstream cocoa supply chain

Modern slavery constituent elements are identified as control without ownership, lack of independence, exploitation and violent threats. The fundamental deliberation is that the nature of remuneration towards labour discriminates modern slavery against other classification of workers. In analyzing forms and dynamics that modern slavery takes at different interfaces within Ghana's upstream cocoa supply chain, data gathered revealed that debt bondage, labour exploitation and child labour are the common forms of modern slavery at different interfaces within Ghana's upstream cocoa supply chain. According to LeBaron et al. (2018) *Confronting root causes: forced labour in global supply chains*. University of Sheffield, there is no single pathway into modern slavery rather there are different kinds of exploitation in which victims of modern slavery may be subjected to.

According to the study, the common form of modern slavery is labour exploitation. This results from situations in which a person is forced to toil by using intimidation or even much delicate reason debt bondage (debt accumulation) where the labourer or worker does not get any socio-economic benefits. The study revealed that majority of the farm

labourers are under labour exploitation where they do not enjoy any form of social or economic benefits, rather the employers, who are farm owners or sometimes caretakers of the farms use deception for them to work on long hours without any form of incentives. The study further revealed that there are usually arrangements where a portion of the produce (most often one-third) is given to the farmhands at the end of the season with daily incentive. However, the farm owners exploit the farmhands such that they flout agreements they usually make between them without any form of compensation or care. To this effect one farm labourer affirmed that:

“Even though we have made an agreement, a time comes that the owner decides to flout it and if the cocoa does not yield well because of poor spraying it is the farmhand who suffers because the farmhand is not given any share and this is a worry. However, if you are lucky then you can get something little to sell and that will be your whole year earning. You know you are exploited but what can you do, because you cannot leave.”

The study also revealed that debt bondage commonly referred to as bonded labour is one of the most common form of modern slavery practices in the upstream cocoa supply chain where especially farmers are loaned with incentives of supplies such as insecticides for pest infestation and fertilizers by some purchasing clerks, where in return they will sell their farm produce (here cocoa beans) to them but typically these purchasing clerks use some form of deception and sometimes coercion to compel victims who are the farmer produce or sell to them whereas they have adjusted the scale. With this, a farmer confirms that

‘The purchasing clerks adjust the weighing scale and cheat us of our farm produce. I know this because when I weigh it at home I get more than when the purchasing clerk weighs it. Even last year the weight was more than this year even though the cocoa beans were less. But if I stop selling my cocoa beans to him I will not get the supplies for my farm’

Child labour is one of the extreme forms of modern slavery which cannot be overlooked. There is already augmented knowledge worldwide that cocoa production takes place amidst the nastiest form of child labour. A child could be classified under child labour when the child is below the age of seventeen years and is allowed to work under Hazardous conditions. The study revealed that, most of the labour tasks associated with cocoa are hazardous for children of a certain age and could potentially be classified as “worst form” of child labour. Tasks associated with cocoa farming such as clearing of the cocoa farms, mixing and application of fertilizers and pesticides, breaking of cocoa pods with sharp machetes and sometimes carrying of fermented cocoa beans to the sheds for drying pose harm such as intoxication or even serious laceration to the health of the child worker. These tasks are classified as hazardous because they pose serious risks to the health and wellbeing of children even though they are overlooked. Aside, these children working in the cocoa farms are deprived of education since they are not enrolled in school but rather spend long hours working on the farms at the expense of the time for which they were supposed to use for formal education in the classrooms with other children of their age. As such they are deprived of their rights as children and these affect their growth. Most of these children under child labour are usually related to the farmers and farm hands which makes them more vulnerable to exploitation.

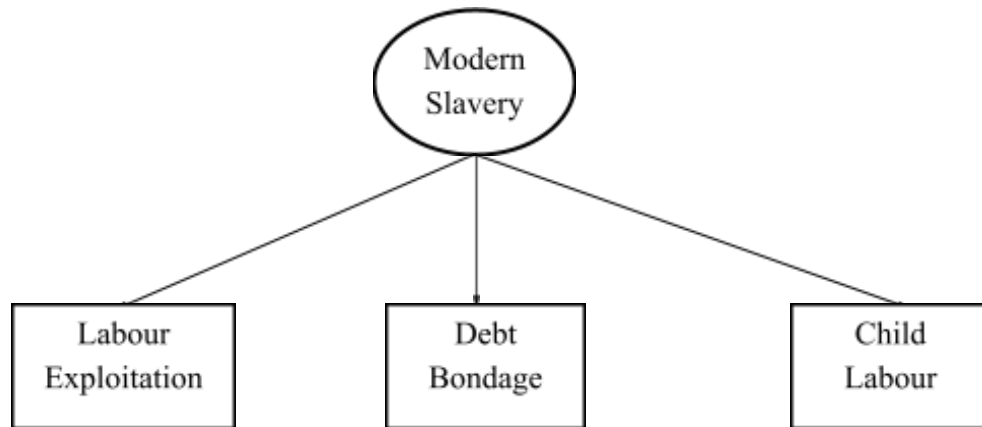


Figure 4.1 Forms and Dynamics that Modern Slavery takes at different interfaces within Ghana’s upstream cocoa supply chain.

4.3.2 Examining factors that explain the forms and dynamics of modern slavery at different interfaces within Ghana’s upstream cocoa supply chain

The study further examined factors that explain the forms and dynamics of modern slavery at different interfaces within Ghana’s upstream cocoa supply chain. Here, the study established that there exist different factors that lead people to a particular form and dynamic of modern slavery. Assessment of these key factors that drive vulnerable people into the forms and dynamics of modern slavery were based on the three levels of determinants according to Bolwig et al. (2010), Integrating poverty and environmental concerns into value-chain analysis: a conceptual framework. Development policy review, 28(2), pp.173-194., which are individual or household level, societal level and environmental level.

4.3.2.1 Individual or Household Level

A typical argument in literature outlines that lack of education and access to resources, unemployment, poverty, low socioeconomic status, problems with mental health and addictions as well as gang involvement are the key factors that leads to vulnerability and

risk at the individual level of modern slavery (Larsen and Durgana, 2017). Hence the study was able to confirm that lack of formal education and access to resources, unemployment, poverty and low socioeconomic status, are the key factors that leads to vulnerability and risk at the individual level of modern slavery. According to the study, most of the farmhands lack formal education and also they are very poor, as a result they cannot seek for better jobs than to work on lands of others under some form of arrangements. It was also observed from the study that most of these farms are in the form of small holdings mostly through inheritance or acquired through arrangement.

4.3.2.2 Societal Level

The study additionally revealed that limited protection where by the rich people in the society are able to exploit the weaker ones and get away with it was among the reasons of modern slavery. This is due to inequality in society where the rich in society are authoritative on the poor such that they are able to get away with whatever they do against the less privileged people due to the status they hold in society thereby making the less privilege people who are usually farmhands more vulnerable to exploitation. It was also cited that lack of rule of law was another determinant of these farmhands' vulnerability and risk of modern slavery. With this it was examined that even when those less privileged in society are exploited and take the matter up to those in higher authority, they are either ignored or the actions of the privilege once are often overlooked due to lack of rule of law. Thus with the societal level, certain people such as farmers and farmhands are considered less privileged than others and as such they are those who face poverty which facilitates the level of their exploitable state. As one farmhand portrays it:

'Here we don't have anyone to complain to. You will just have to talk to the owner if will he/she agrees. If he doesn't agree you don't have any option than to stop the work'.

This is in tune with Larsen and Durgana (2017) who measured the vulnerabilities and estimated the prevalence of Modern Slavery, who explained that limited protection, inequality, lack of rule of law, economic and political instability, impunity, restrictive mobility, discriminating social structures and cultural practices, or, in other words, systemic marginalization and discrimination on the basis of ethnicity, gender, race and caste are the most cited determinants of vulnerability and risk at the societal level.

4.3.2.3 Environmental Level

The study further outline climate change, extreme weather events such as, drought and water scarcity and natural disasters as the key drivers under the environmental level that make people vulnerable to the exploitable state. This supports Walk Free (2018), who indicated that climate change such as scarcity of water, drought, severe weather incidents, rise in sea levels and natural disasters are the key drivers that make people vulnerable to the exploitable state which falls under the environmental level. As one farmhand explained:

'If you don't spray your cocoa it will not yield. The new fruits are usually attacked by "akate" (a particular pest that attacks only new cocoa pods). There are also other insects ("osa and atee") that chew the cocoa pods and leaves which prevent the cocoa from yielding. When they chew, it turns red and eventually gets destroyed'.

4.3.3 Assessing how modern slavery-type affects weaker actors in Ghana's upstream cocoa supply chain

In assessing how modern slavery-type affects weaker actors in Ghana's upstream cocoa supply chain, labour exploitation and debt bondage were extensively acknowledged to be a tough and widespread feature of the contemporary global economy which need to be addressed. The effect of forced labour and debt bondage were somehow intertwined. According to the study, the combination of insecure work and poor living conditions

together with control rules severely limits the ability of labourers to bargain in the workplace thereby rendering them vulnerable to further exploitation. This results in physical and psychological hazards and trauma. The study further made it known that low farmer income earnings and exploitation from purchasing clerks have mandated several cocoa farmers to trade off their farm lands to investors as well as mining companies, rendering majority of them unemployed.

The study also revealed that most children who end up in child labour suffer considerably through physical and psychological damage. Physical damage results from hard farm work as well as hazardous chemicals that are used to fertilize the land and also pesticides which are used in pest control on the cocoa pods. This situation endangers the child's health and also affects the child's development due to its association with injuries which can even end up with the child being handicapped. Psychological damage also resulting from abuse and neglect which is common with child labour affects the child's mental health and at times results in problems such as lack of confidence to socialize with peers, depression and less knowledge when compared to their age mates. This confirms literature "Gold, Stefan & Trautrim, Alexander & Trodd, Zoe. (2015)., Modern slavery challenges to supply chain management. Supply Chain Management. 20. 485-494. 10.1108/SCM-02-2015 0046." that children under modern slavery frequently show intellectual and developmental delay. The study also disclosed that there is no doubt that children under child labour who are further robbed of the opportunity to obtain education usually end up wayward and find it difficult to comprehend social roles.

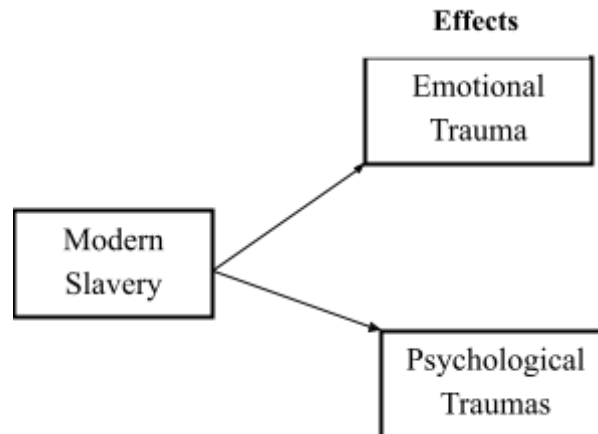


Figure 4.2 How modern slavery-type affects weaker actors.

4.3.4 Evaluating how affected actors at different relationship interfaces respond to different forms of modern slavery in Ghana’s upstream cocoa supply chain.

The demand for cheap products hence cheap labour has intensified the existence of modern slavery. The existence of modern slavery has an impact not only on the vulnerable victims but also on everyone whether we are conscious or not. The reason is that modern slavery affects the health of the global economic and social systems by averting countries from becoming healthy participants in the international market.

In evaluating how affected actors respond to different forms of modern slavery in Ghana’s upstream supply chain, the study revealed that due to the exploitation by the purchasing clerks, the cocoa farmers do not always sell directly to the purchasing clerks working under COCOBOD. Rather they sell it to anybody who is willing to deal fairly with them. It was observed from the study that these buyers in turn smuggle the cocoa to neighbouring countries to sell instead of selling it in the domestic country. This is because they are able to gain higher prices for the cocoa than the amount the purchasing clerks in the domestic country pay.

To this effect one farmer cited that:

‘The way some of the purchasing clerks exploit us discourage us from selling our cocoa beans to them. When I feel exploited what I do is that I stop selling my cocoa beans to the known purchasing clerks here. Rather I sell it to any buyer who is willing for a better deal’.

It was further observed from the study that some cocoa farmers and farmhands further respond by discouraging their children from venturing into cocoa farming and also selling their farm lands to small scale miners. Such endeavors result in a decrease in cocoa cultivation and as such threaten the sustainability of Ghana’s domestic cocoa chain. Thus, cocoa cultivation could cease to become a preference for the future generation of Ghanaians. The study also disclosed that the farmhands who are under labour exploitation or child labour usually respond by being neglectful. It was also revealed that there were some instances where the farmhands filch some of the cocoa beans from their employers’ barn to compensate for being exploited. Such negligence affects the quality and quantity of the cocoa beans which consequently affect the economic development of the country.

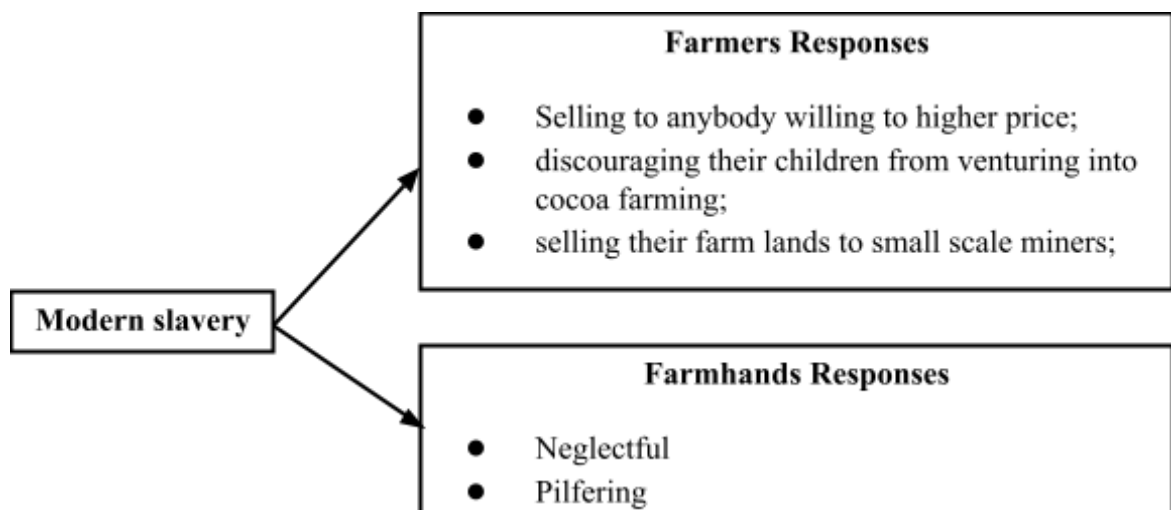


Figure 4.3 How affected actors respond to different forms of modern slavery

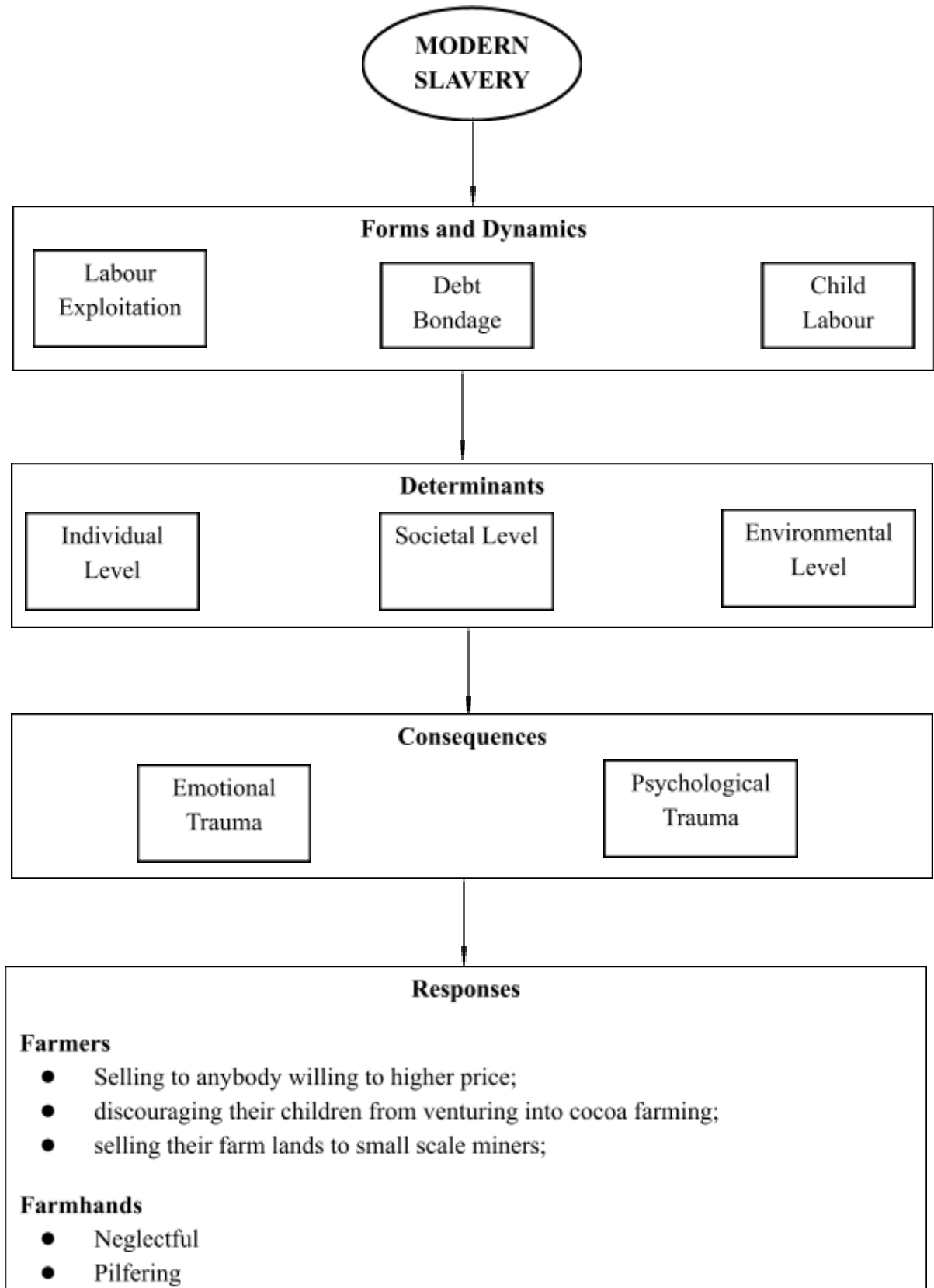
Undeniably, how affected actors at different relationship interfaces responds to different forms of modern slavery in Ghana’s upstream cocoa supply chain exposes the domestic cocoa supply chain in Ghana to massive risks. These risks pose a major threat to the sustainability of the domestic cocoa supply chain of Ghana in the global cocoa supply chain. This necessitate for scrupulous actions to improve the conditions of vulnerable victims in order to prevent such risks.

FIGURE 4.4 CONCEPTUAL FRAMEWORK

Modern Slavery Questions	Summary of Responses
What forms and dynamics does modern slavery take at different interfaces within Ghana’s upstream cocoa supply chain?	<ul style="list-style-type: none"> ● Labour Exploitation ● Debt Bondage ● Child Labour
What factors explain the forms and dynamics of modern slavery at different interfaces within Ghana’s upstream cocoa supply chain?	<ul style="list-style-type: none"> ● Individual Level - lack of formal education and access to resources, unemployment, poverty and low socioeconomic status. ● Societal Level - limited protection, inequality and lack of rule of law. ● Environmental Level - climate change, extreme weather events such as, drought and water scarcity and natural disasters.
How does modern slavery-type affect weaker actors in Ghana’s upstream cocoa supply chain?	<ul style="list-style-type: none"> ● Emotional Trauma ● Psychological Trauma
How do affected actors at different relationship interfaces respond to different forms of modern slavery in Ghana’s upstream supply chain?	<ul style="list-style-type: none"> ● Farmers selling produce to anybody willing to pay a higher price; ● Discouraging their children from venturing into cocoa farming; ● Selling their farm lands to small scale miners; ● Being neglectful; ● Pilfering.

Source: Author’s Construct (2021)

FIGURE 4.4 CONCEPTUAL FRAMEWORK



Source: Author's Construct (2021)

4.4 DISCUSSION

The motivation for undertaking this study lies with the fact that the rising competitive form of global business environment has effectively made supply chains essential for competition and business success. As a result, the inherent nature of modern slavery lingering within supply chains especially the upstream still raises major concerns. This subdivision delineates a brief deliberation on the study's findings by taking the objectives of the study into consideration which include; forms and dynamics that modern slavery take at different interfaces within Ghana's ups stream cocoa supply chain, factors that explain the forms and dynamics of modern slavery at different interfaces within Ghana's upstream cocoa supply chain, how modern slavery-type affects weaker actors in Ghana's upstream cocoa supply chain and how affected actors at different relationship interfaces respond to different forms of modern slavery in Ghana's upstream cocoa supply chain.

The study established empirical evidence in consistent with existing literature (Gold et al., 2015; Avis, 2020; Bellagio-Harvard Guidelines, 2012; Mende, 2019; Walk free, 2018) that modern slavery is often an organized diverse concealed felony that involves one person depriving another person of their freedom usually through physical or mental abuse and compelling the person to work through physical or mental threat with the intention of exploitation. The study precisely contemplated on the types and dynamics of modern slavery. According to the study, it was revealed that debt bondage, labour exploitation and child labour are the common forms of modern slavery at different interfaces within Ghana's upstream cocoa supply chain. This result conform to preceding contributions by (Nolan and Ford, 2019; LeBaron et al., 2018; Gold et al., 2015; Crane, 2013) that labour exploitation, domestic servitude, debt bondage, child labour, trafficking, criminal exploitation and sexual exploitation constitute the forms and

dynamics of modern slavery and that, there isn't a particular pathway towards modern slavery nor there is a specific type of victim, rather victims may be subjected to different kinds of exploitation and that there are some circumstances where victims may experience surpassing one type of modern slavery exploitation all at once.

When the study looked into factors that explain the forms and dynamics of modern slavery at different interfaces within Ghana's upstream cocoa supply chain, it revealed lack of education and access to resources, unemployment, poverty, low socioeconomic status, limited protection, inequality, lack of rule of law, climate change and natural disasters as the key factors. This is consistent with contribution (Allain et al., 2013; Larsen and Durgana, 2017; Walk Free, 2019) outlining factors that determine forms and dynamics of modern slavery into three levels namely individual or household, societal environmental, where lack of education and access to resources, unemployment, poverty, low socioeconomic status, problems with mental health and addictions as well as gang involvement are the key factors that leads to vulnerability and risk at the individual level (Larsen and Durgana, 2017); limited protection, inequality, lack of rule of law, economic and political instability, impunity, restrictive mobility, discriminating social structures and cultural practices at the societal level; and climate change such as scarcity of water, drought, severe weather incidents, rise in sea levels and natural disasters are the key drivers that make people vulnerable to the exploitable state which falls under the environmental level.

In considering how modern slavery-type affects weaker actors in Ghana's upstream cocoa supply chain the study explicitly revealed that the combination of insecure work and poor living conditions together with control rules severely limits the ability of victims to bargain in the workplace which renders them vulnerable to further exploitation

and this result in physical and psychological hazards and traumas. This confirms previous contributions (Gold et al., 2015; Larsen and Durgana, 2017 LeBaron et al., 2018) which suggest that vulnerable victims of modern slavery are typically affected with physical work hazards and psychological hazards and in serious cases mental trauma.

When the study finally sought after how affected actors at different relationship interfaces respond to different forms of modern slavery in Ghana's upstream cocoa supply chain, it was found that the vulnerable farmers sell to any buyer (domestic or foreign) who is willing to bargain for higher price instead of selling to recognized purchasing clerks assigned by COCOBOD in the domestic country. The study further revealed that they also respond by discouraging their children from venturing into cocoa farming and also sell their farm lands to small scale miners. With the farmhands who are under labour exploitation or child labour, they also usually respond by being neglectful which affect the quality and quantity of the cocoa beans which consequently affect the economic development of the country. This is in tune with Assuming-Brempong et al., 2008 which reinforce that such occurrences may potentially affect the quality and output of the cocoa exported by Ghana. According to Oxfam international research report, (2008) all these challenges threaten cocoa supply chain sustainability knowing that any negligence does not only affect cocoa earnings but also economic development and incomes of those Ghanaians depending on cash crop for their livelihood.

CHAPTER FIVE

SUMMARY OF FINDINGS, CONCLUSION AND RECOMMENDATIONS

5.0 INTRODUCTION

The chapter addresses summary of the findings obtained from the qualitative analyses made through the study and also the conclusions drawn from the findings and suitable recommendations.

5.1 SUMMARY OF FINDINGS

In line with the objective of this study, the findings of the study have been summarized as follows:

First, the study identified forms and dynamics that modern slavery takes at different interfaces within Ghana's upstream cocoa supply chain. It is observed from the study that, there are different forms and dynamics of exploitation in which victims of modern slavery may be subjected to. Among other forms of modern slavery, debt bondage, labour exploitation and child labour are the common forms of modern slavery at different interfaces within Ghana's upstream cocoa supply chain.

With labour exploitation, a person is forced to toil by using intimidation or even much delicate reason debt bondage (debt accumulation) where the labourer or worker does not get any socio-economic benefits. Thus majority of the farm labourers are under labour exploitation of which they do not enjoy any form of social or economic benefits, rather the employers, who are farm owners or sometimes caretakers of the farms use abuse and deception to force them to work on long hours without any form of incentives.

Also with debt bondage (bonded labour), farmers and farmhand are loaned money to repay with their cocoa beans at the end of the cocoa season but typically some of the peoples in authority (purchasing clerks and sometimes farm owners) use some form of deception, threat, legal abuse and sometimes coercion to compel victims who are the farmer or farmhand to work and produce for them. Further, the farmhands are not able to repay monies loaned to them by their employers due to the small remuneration they receive for the year which cannot compensate for their debts and consequently they end up bonded in labour to their employers due to the debts.

Concerning child labour, physical hazard which entails the tasks associated with cocoa farming such as clearing of the cocoa farms, mixing and application of fertilizers and pesticides, breaking of cocoa pods with sharp machetes and sometimes carrying of fermented cocoa beans to the sheds for drying pose harm such as intoxication and sometimes serious laceration to the health of the child worker. Also, the children under such labour are usually deprived of education since they are not enrolled in school but rather spend long hours working on the farms at the expense of the time for which they were supposed to use for formal education in the classrooms with other children of their age. Depriving these children of their rights affects their growth and usually results in psychological hazards and mental trauma. It is also noted that most of these children under child labour are usually related to the farmers and farmhands.

Secondly, the study examined factors that explain the forms and dynamics of modern slavery at different interfaces within Ghana's upstream cocoa supply chain. The study reveals that, there exist different factors that lead people to a particular form and dynamic of modern slavery which were summarized under individual or household level, societal level and environmental level. At the individual level, lack of education and

access to resources, unemployment, poverty, and low socioeconomic status, are the key factors that lead to vulnerability and risk. Most of the farms are in the form of small holdings mostly acquired through inheritance or through arrangement and majority of these small farm holders lack formal education. Also they are usually very poor and as a result they cannot seek for better jobs than to work on their own lands or on land of others under some form of arrangements, making them more vulnerable to exploitation. At the societal level, limited protection where by the rich people in the society are able to exploit the weaker ones and get away with it are among the reasons of modern slavery. Again, inequality in society where the rich in society are authoritative over the poor due to the status they hold in society, thereby making the less privilege people who are usually farmhands more vulnerable to exploitation. With lack of rule of law, those less privileged in society are exploited by those in higher authority without any actions taken against them. Thus when those exploited (usually farmhands) take their issues to those in higher authority, they are usually ignored and the actions of the privilege once are often overlooked due to lack of rule of law. Thus with the societal level, certain people such as farmers and farmhands are considered less privileged than others and as such they are those who face poverty which facilitates the level of their exploitable state. Climate change, extreme weather events such as, drought and water scarcity and natural disasters are some of the factors under the environmental level that make people vulnerable to an exploitable state.

Thirdly, the study further assessed how modern slavery-type affects weaker actors in Ghana's upstream cocoa supply chain. The result from the study confirms that, combination of insecure work and poor living conditions together with control rules severely limits the ability of labourers to bargain in the workplace thereby rendering them vulnerable to further exploitation. This results in physical and psychological

hazards and trauma. With the farmers, low farmer income earnings and exploitation from purchasing clerks such as scale adjustment have mandated several cocoa farmers to trade off their farm lands to investors as well as mining companies, rendering majority of them unemployed. About child labour, most children who end up in child labour suffer considerably through physical and psychological damage. On one hand, physical damage results from hard farm work as well as hazardous chemicals that are used to fertilize the land and also pesticides which are used in pest control on the cocoa pods which endangers the child's health and also affects the child's development due to its associated injuries. On the other hand, psychological damage also resulting from abuse and neglect which is common with child labour. This affects the child's mental health and at times results in problems such as lack of confidence to socialize with peers, depression and less knowledge when compared to their age mates. Again, those children under child labour who are further robbed of the opportunity to obtain education usually end up wayward and find it difficult to comprehend social roles.

Lastly, the study evaluated how affected actors at different relationship interfaces respond to different forms of modern slavery in Ghana's upstream cocoa supply chain. Result from the study shows that, due to the exploitation by the purchasing clerks, the cocoa farmers smuggle the cocoa to sell to purchasing clerks from neighbouring countries instead of selling it in the domestic country. This is because they are able to gain higher prices for the cocoa than the amount the purchasing clerks in the domestic country pay. Furthermore, these cocoa farmers and farmhands respond by discouraging their children from venturing into cocoa farming. They also sell their farm lands to small scale miners who destroy the lands. Thus cocoa cultivation could cease to become a preference for the future generation of Ghanaians and could result in a decrease in cocoa cultivation which threatens the sustainability of Ghana's domestic cocoa chain.

The farmhands who are under labour exploitation and child labour usually respond through negligence such as pouring the fermented cocoa beans on the ground which mixes with stones and sand when repacking and also cutting through the cocoa beans when removing it from the cocoa pods. There were some instances of theft where the farmhands steal some of the cocoa beans from their employers' barn and sell it to purchasing clerks from neighbouring countries to compensate for being exploited. Such negligence and theft affect the quality and quantity of the cocoa beans which poses massive risks to Ghana's domestic cocoa supply chain. Consequently, these actions threaten the sustainability of Ghana's domestic cocoa supply chain, thereby affecting the country's economic development as a whole.

5.2 CONCLUSION

The study focused on assessing the nature, antecedents, and outcomes of modern slavery in supply chains with evidence from Ghana's upstream cocoa supply chain. Most studies on modern slavery have concentrated on detection of modern slavery, effect of modern slavery on vulnerable victims and remediation of victims of modern slavery with little attention on research of modern slavery with regards to the nature and antecedents as well as the outcomes of modern slavery, particularly in the upstream supply chain that impact productivity. Consequently, this study has attempted to enlighten our understanding on the different forms and dynamics of modern slavery in relation to supply chains purposely in upstream cocoa supply chain context, and using two key players who are; farmers and farm labourers from Ghana's domestic cocoa value chain. The study has further examined factors that explain the forms and dynamics of modern slavery at different interfaces within Ghana's upstream cocoa supply chain, how modern slavery-type affects weaker actors in Ghana's upstream cocoa supply chain and how

affected actors at different relationship interfaces respond to different forms of modern slavery in Ghana's upstream cocoa supply chain.

Evidence that emerged from the analysis has repercussion for a more general debate on the nature, dynamics and outcomes of modern slavery in the supply chain. Specifically, findings from the study point out that slavery exist at every interface of the supply chain more especially at the lowest tier, which is caused by multiple factors such as lack of education, unemployment, poverty, and at higher levels inequality, lack of rule of law, extreme weather conditions, and natural disasters to mention but a few. Also combination of insecure work and poor living conditions together with control rules severely limits the ability of those under modern slavery to bargain in the workplace thereby rendering them more vulnerable to further exploitation which results in physical and psychological hazards and trauma. The findings further revealed that these weak actors respond by selling to purchasing clerks outside the country and also through negligence and theft which has a negative impact on Ghana as a country due to exportation of the produce.

5.3 MANAGERIAL/PRACTICAL IMPLICATIONS

Key issues faced by farmers and farmhands which result in bonded labour or debt bondage are limited protection and lack of rule of law which affects their negotiation power. To reduce this effect, members within a tier (such as farmers and farmhands) must collaborate to form strong associations so that they will be able to plan, share relevant information and also have a common voice which will build mutual trust and understanding. When such associations are legalized, it will create a stronger power for the individual groups; farmers and farmhands in terms of rule of law which will result in better protection thereby limiting the level of exploitation and improve their negotiation

power. It is also required of the government to enhance supplier development through COCOBOD to continuously encourage and also monitor the relationship between farmers and purchasing clerks on appropriate platforms regarding negotiations. This will improve the incompetence of the farmers and farm hands to enhance the quantity and quality of the cocoa produce. There should also be some form of labour laws which takes into consideration the vulnerable cocoa farmhands and not only the cocoa farmers.

With regards to child labour, in Ghana's cocoa farming production, working with family members such as the children, regardless of age is traditionally seen as part of the process of children upbringing into adulthood since most of the farmers take it as a norm for their children to inherit from them. Thus children involvement in the cocoa farming process is regarded as a means of imparting skills at an early age so as to equip them for the future regardless of the negative effects as well as harmful consequences associated that results from the physical and psychological damage and the opportunity to receive education of which they are robbed. It is therefore difficult to eliminate child labour in the cocoa farming. To this effect, the government should set a committee whose main work is to randomly and unexpectedly visit cocoa farms to check child labour. Here any farmer who is found guilty of this crime, whether the culprit is a parent, caretaker or contractor should be persecuted and also the farm should be ceased. This set body should be different from the formal officials appointed by COCOBOD who should only serve as a background check. Also farmhands should be equipped with the confidence to report child labour to higher authorities such as the police and chiefs.

5.4 RECOMMENDATION

With regards to the finding of this study, suitable recommendations have been made towards nature, antecedents, and outcomes of modern slavery in Ghana's upstream cocoa supply chain.

With methodological contribution, the study has established the value of qualitative analysis in assessing the nature, antecedents, and outcomes of modern slavery in Ghana's upstream cocoa supply chain. Nonetheless, for future study, it would be appealing to assess the study through a quantitative inquiry to shape policy decisions.

With issues concerning limitations, this research focused mainly on the upstream supply chain precisely the first two phases of the cocoa supply chain which were farmers and farmhands. Further study may accordingly, look at other phases of the supply chain such as the internal operations of cocoa processing companies within the cocoa supply chain. Furthermore, the study was limited modern slavery in the cocoa supply chain concept, which is acknowledged as an effort of unlawfully underpay for the price of labour by exploiting a particular situation associated with business or even a comprehensive institutional setting such as a geographical, socio-economic or statutory context and eliminating other form of modern slavery such as sex trafficking, domestic servitude and criminal exploitation. Also, the researcher was obliged to construe the interview questions to most of the respondents attributable to their lack of adeptness to read and understand which affected the ability to reach wider data coverage. Aside that, there were the challenges of huge financial cost as well as difficulty in reaching certain rural areas.

REFERENCES

- Aaronson, S.A. and Wham, E. (2016), Can transparency in supply chains advance labor rights? Mapping of existing efforts. Institute for International Economic Policy Working Paper Series, Elliott School of International Affairs.
- Akanle, O., Ademuson, A. O. and Shittu, O. S. 2020. Scope and Limitation of Study in Social Research. In Jegede, A.S. and Isiugo-Abanihe, U.C. (eds). Contemporary Issues in Social Research. Ibadan University Press. pp.105-114.
- Annan, J.K., 2017. Ending child trafficking and slavery in Ghana. *Nature Human Behaviour*, 1(5), pp.1-1.
- Avis, W. (2020), *Key Drivers of Modern Slavery*. K4D Helpdesk Report 855. Brighton, UK: Institute of Development Studies.
- Bloomfield, M. and LeBaron, G. (2018), The UK modern slavery act: Transparency through disclosure in global governance. *E-International Relations*, 21(September).
- Bogucharskov A.V., Pokamestov I.E., Adamova K.R., Tropina Z.N. Adoption of blockchain technology in trade finance process. *J. Rev. Global Econ.* 2018;7:510–515.
- Chang S.E., Chen Y.-C., Lu M.-F. (2019), Supply chain re-engineering using blockchain technology: A case of smart contract based tracking process. *Technol. Forecast. Soc. Chang.* 2019;144:1–11.
- Choi T.M. (2020), Creating all-win by blockchain technology in supply chains: Impacts of agents' risk attitudes towards cryptocurrency. *J. Oper. Res. Soc.* 2020 (in press)
- Deshingkar, P., Awumbila, M. and Teye, J.K., 2019. Victims of trafficking and modern slavery or agents of change? Migrants, brokers, and the state in Ghana and Myanmar. *Journal of the British Academy*, 7(s1), pp.77-106.
- Ford, J. and Nolan, J. (2020), Regulating transparency on human rights and modern slavery in corporate supply chains: the discrepancy between human rights due

- diligence and the social audit. *Australian Journal of Human Rights*, 26(1), pp.27-45.
- Gold, S., Trautrim, A. and Trodd, Z. (2015), Modern slavery challenges to supply chain management. *Supply Chain Management: An International Journal*.
- Gold, S. and Heikkurinen, P. (2018). Transparency fallacy: Unintended consequences of stakeholder claims on responsibility in supply chains. *Accounting, Auditing & Accountability Journal*.
- Hampton, D.B. (2019), Modern slavery in global supply chains: Can national action plans on business and human rights close the governance gap?. *Business and Human Rights Journal*, 4(2), pp.239-263.
- Home Office (2014), *Modern slavery: how the UK is leading the fight*. HMG.
- Lafargue, P., Rogerson, M., Parry, G.C. and Allainguillaume, J., 2021. Broken chocolate: biomarkers as a method for delivering cocoa supply chain visibility. *Supply Chain Management: An International Journal*.
- Larsen, J. & Durgana, D. (2017), Measuring Vulnerability and Estimating Prevalence of Modern Slavery. *Chance*. Volume 30, 2017 - Issue 3: Special Issue on Modern Slavery.
- Nolan, J. and Bott, G. (2018), Global supply chains and human rights: spotlight on forced labour and modern slavery practices. *Australian Journal of Human Rights*, 24(1), pp.44-69.
- Scott, R. J. (2012), Under color of law: *Siliadin v France* and the dynamics of enslavement in historical perspective.
- Shilling, H.J., Wiedmann, T. and Malik, A. (2021), Modern slavery footprints in global supply chains. *Journal of Industrial Ecology*.
- Stevenson, M. and Cole, R. (2018), "Modern slavery in supply chains: a secondary data analysis of detection, remediation and disclosure", *Supply Chain Management*, Vol. 12 No. 3, pp. 81-99.

- Taylor, L.R. and Shih, E. (2019), Worker feedback technologies and combating modern slavery in global supply chains: examining the effectiveness of. *Journal of the British Academy*, 7(s1), pp.131-165.
- Theofanidis, D. and Fountouki, A., 2018. Limitations and delimitations in the research process. *Perioperative Nursing-Quarterly scientific*, Online Official Journal of GORNA, 7(3 September-December 2018), pp. 155-163.
- Voss, H., Davis, M., Sumner, M., Waite, L., Ras, I.A., Singhal, D.I.V.Y.A. and Jog, D. (2019), International supply chains: compliance and engagement with the modern slavery act. *Journal of the British Academy*, 7(s1), pp.61-76.
- Walk Free (2018), *The Global Slavery Index 2018*. Walk Free.
- Walk Free (2019), *Address tomorrow's slavery today* Submission from Walk Free for the UN Special Rapporteur on Contemporary Forms of Slavery's public consultation. Walk Free.
- Walk Free (2020), *Protecting People in a Pandemic*. Walk Free.
- Walker, J. (2019), *Transparency in the Supply Chain. Sustainable Development Goals: Harnessing Business to Achieve the SDGs through Finance, Technology, and Law Reform*, pp.275-284.
- Wilton P. (2017), *The role of digital technology in tackling modern slavery*.
- Manzo, K., 2005. Modern slavery, global capitalism & deproletarianisation in West Africa. *Review of African Political Economy*, 32(106), pp.521-534.
- Christ, K.L., Burritt, R.L. and Schaltegger, S., 2020. Accounting for work conditions from modern slavery to decent work. *Accounting, Auditing & Accountability Journal*.
- Gold, S., Trautrim, A. and Trodd, Z., 2015. Modern slavery challenges to supply chain management. *Supply Chain Management: An International Journal*.
- Vaughn, L., 2019. *Small Sample Analysis of Modern Slavery Statements in Cocoa and Garment Sectors*.

- Crane, A., 2013. Modern slavery as a management practice: Exploring the conditions and capabilities for human exploitation. *Academy of Management Review*, 38(1), pp.49-69.
- Odijie, E.M., 2016. Diminishing returns and agricultural involution in Côte d'Ivoire's cocoa sector. *Review of African Political Economy*, 43(149), pp.504-517.
- Aaronson, S.A. and Wham, E., 2016. Can transparency in supply chains advance labor rights? Mapping of existing efforts. Institute for International Economic Policy Working Paper Series, Elliott School of International Affairs. Retrieved from <https://www2.gwu.edu/~iiep/assets/docs/papers/2016WP/AaronsonIIEPWP2016-6.pdf>.
- Androff, D.K. 2010. The problem of contemporary slavery: An international human rights challenge for social work. *International Social Work* 54, no. 2: 209–22. doi:10.1177/0020872810368395
- Asuming-Brempong S., Sarpong D.B., Anyidoho N.A., Kaplinsky R., Leavy J. (2008), Mapping Sustainable Production in Ghanaian Cocoa, Cadbury Cocoa Partnership, Institute of Development Studies and the University of Ghana.
- Amoah, F.M. (2008), Public Sector Policy on Sustainable Cocoa Economy, Cocoa Research Institute of Ghana, Ghana Public Sector Policy. 17 Oct. 2009
- Avis, W. (2020). Key Drivers of Modern Slavery. K4D Helpdesk Report 855. Brighton, UK: Institute of Development Studies.
- Awaysheh, A. and Klassen, R. D. (2010), The Impact of Supply Chain Structure on the Use of Supplier Socially Responsible Practices, *International Journal of Operations & Production Management*, 30(12), 1246-1268
- Allain, J., Crane, A., LeBaron, G., & Behbahani, L. (2013). Forced labour's business models and supply chains. Joseph Rowntree Foundation.
- Bales, K. (1999). Disposable people: New slavery in the global economy. University of California Press.

- Bank of Ghana (2008), Developments In the global economy”, Annual Report and Accounts, pp 10-15 [Online; www.bog.gov.gh/privatecontent/Publications/]; Bymolt et al. (2018)
- Bair, J. (2009). Global commodity chains, genealogy and review. *Frontiers of Commodity Chain Research*, 1–34. <https://doi.org/10.1016/B978-008044910-4.00168-1>.
- Barrientos, S., Gereffi, G., & Rossi, A. (2011). Economic and social upgrading in global production networks: A new paradigm for a changing world. *International Labour Review*, 150(3), 319–340. <https://doi.org/10.1111/j.1564->
- Bellagio-Harvard Guidelines (2012), “Bellagio-Harvard guidelines on the legal parameters of slavery”, available at: www.qub.ac.uk/schools/SchoolofLaw/Research/HumanRightsCentre/Resources/Bellagio-HarvardGuidelinesontheLegalParametersofSlavery.
- Barrett, S. (2007). *Why Cooperate? The Incentive to Supply Global Public Goods*. Oxford: Oxford University Press.
- Barney, J. (1991). Firm Resources and Sustained Competitive Advantage. *Journal of Management*, 17 (1), 99–120.
- Boger, S., Hobbs, J.E. and Kerr, W.A. 2001. Supply Chain Relationships in the Polish Pork Sector, *Supply Chain Management*, 6 (2): 74-82.
- Bosompem, M., Kwarteng, J.A. and Ntifo-Siaw, E. (2011), Perceived Impact of Cocoa Innovations in the Livelihoods of Cocoa Farmers in Ghana: The Sustainable Livelihood Framework (SL) Approach, *Journal of Sustainable Development in Africa*, 15(4). Pp 285-288.
- Bitran, G.R., Gurusurthi, S. and Sam, S.L. (2007), “The need for third-party coordination in supply chain governance”, *MIT Sloan Management Review*, Vol. 48 No. 3, pp. 30-37, 92.

- Bolwig, S., Ponte, S., Du Toit, A., Riisgaard, L. and Halberg, N., 2010. Integrating poverty and environmental concerns into value-chain analysis: a conceptual framework. *Development policy review*, 28(2), pp.173-194.
- Braun, V. and Clarke, V., 2006. Using thematic analysis in psychology. *Qualitative research in psychology*, 3(2), pp.77-101.
- Brown, U., Dehejia, R., & Robertson, R. 2013. Is there a business case for improving labor standards? Some evidence from Better Factories Cambodia. In: J. Bair, M. A. Dickson, & D. Miller (Eds.), *Workers' rights and labor compliance in global supply chains: Is a social label the answer?:* 81–99. New York: Routledge.
- Buchan (2004) Buchan, J. (2004), *What Difference does ("good") HRM Make? Human Resources for Health*, (Online: <http://www.human-resources-health.com/content/2/1/6>)
- Busquet, M., Bosma, N. and Hummels, H., 2021. A multidimensional perspective on child labor in the value chain: The case of the cocoa value chain in West Africa. *World Development*, 146, p.105601.
- Bymolt, R., Laven, A., & Tyzler, M. (2018). *Demystifying the cocoa sector in Ghana and Côte d'Ivoire*. The Royal Tropical Institute (KIT): Amsterdam, The Netherlands.
- Cavana, R., Delahaye, B. and Sekeran, U., 2001. *Applied business research: Qualitative and quantitative methods*. John Wiley & Sons.
- CDC Group (2018). *Managing Risks Associated with Modern Slavery A Good Practice Note for the Private Sector*. CDC Group. <https://assets.cdcgroup.com/wp-content/uploads/2018/12/03105819/Managing-Risks-Associated-with-Modern-Slavery.pdf>.
- Centre for Social Justice (2015). *A Modern Response to Modern Slavery*. CSJ. https://www.centreforsocialjustice.org.uk/core/wpcontent/uploads/2016/08/CSJJ3_202_Slavery_report_04.15_WEB.pdf

- Chen, Shi, Qinqin Zhang, and Yong-Pin Zhou, 2015. "Impact of Supply Chain Transparency on Sustainability Under NGO Scrutiny." SSRN, March 31, 2015. <http://ssrn.com/abstract=2590152>
- Chopra, S. and Meindl, P. (2014), Supply Chain Management: Strategy, Planning and Operation. 3rd., Upper Saddle River: Pearson/Prentice Hall.
- Cohen, S. and Roussel, J., 2013. Strategic supply chain management: the five disciplines for top performance. McGraw-Hill Education.
- Crane, A. 2013. Modern slavery as a management practice: Exploring the conditions and capabilities for human exploitation. *Academy of Management Review*, 38(1): 49–69. <https://doi.org/10.5465/amr.2011.0145>.
- Crane, A., LeBaron, G., Allain, J., & Behbahani, L. (2017). Governance gaps in eradicating forced labor: From global to domestic supply chains. *Regulation and Governance*, Online Early Access: 1–21
- Crane, A., LeBaron, G., Allain, J., & Behbahani, L. (2019). Governance gaps in eradicating forced labor: From global to domestic supply chains. *Regulation and Governance*, 13(1), 86–106.
- Choi, T. and Linton, T. (2011), "Don't let your supply chain control your business", *Harvard Business Review*, Vol. 89 No. 12.
- Datta, M.N. and Bales, K. (2013), "Slavery is bad for business: analyzing the impact of slavery on national economies", *Brown Journal of World Affairs*, Vol. 19 No. 2, pp. 205-223.
- De Buhr, E., & Gordon, E. (2018). Bitter Sweets: Prevalence of forced labour & child labour in the cocoa sectors of Côte d'Ivoire & Ghana. Walk Free Foundation. Retrieved from https://cocoainitiative.org/wp-content/uploads/2018/10/Cocoa-Report_181004_V15-FNL_digital.pdf.
- Egels-Zanden, Niklas et al., 2015. "Trade Offs in Supply Chain Transparency: The Case of Nudie Jeans Company." *Journal of Consumer Protection*, vol. 39, no. 4, pp.377-395. <http://gup.ub.gu.se/records/fulltext/210950/210950.pdf>

- ETI (Ethical Trading Initiative). (2015). Corporate approaches to addressing modern slavery in supply chains: A snapshot of current practice. ETI. https://www.ethicaltrade.org/sites/default/files/shared_resources/corporate_approaches_to_addressing_modern_slavery.pdf
- Ford, J. and Nolan, J., 2020. Regulating transparency on human rights and modern slavery in corporate supply chains: the discrepancy between human rights due diligence and the social audit. *Australian Journal of Human Rights*, 26(1), pp.27-45.
- Fountain, A., & Hütz-Adams, F. (2018). Cocoa barometer (No. BOOK_B). *Public Eye*, 2018.
- Grover, V. and Malhotra, M.K., 2003. Transaction cost framework in operations and supply chain management research: Theory and measurement. *Journal of Operations Management*, 21 (4), 457–473.
- Goffman, I. (1969). *Strategic interaction*. Philadelphia: University of Pennsylvania Press.
- Gereffi, G., & Fernandez-Stark, K. (2016). Global Value Chain Analysis: A Primer. Duke CGGC (Center on Globalization, Governance & Competitiveness), (July), 1–34. Retrieved from <http://hdl.handle.net/10161/12488>.
- Gereffi, G., & Lee, J. (2018). Economic and Social Upgrading in Global Value Chains Industrial Clusters. Why Governance Matters. In *Global Value Chains and Development: Redefining the Contours of 21st Century Capitalism* (pp. 276–302). Cambridge University Press.
- Gold, Stefan & Trautrim, Alexander & Trodd, Zoe. (2015). Modern slavery challenges to supply chain management. *Supply Chain Management*. 20. 485-494. 10.1108/SCM-02-2015 0046.
- Gunasekaran, A., Patel, C. and McGaughey, R.E. (2004), “A framework for supply chain performance measurement”, *International Journal of Production Economics*, Vol. 87 No. 8,

- Grimm, J.H., Hofstetter, J.S. and Sarkis, J. (2014), “Critical factors for sub-supplier management: a sustainable food supply chains perspective”, *International Journal of Production Economics*, Vol. 152, pp. 159-173.
- Grimm, J. H., Hofstetter, J. S., & Sarkis, J. (2016). Exploring sub-suppliers’ compliance with corporate sustainability standards. *Journal of Cleaner Production*, 112, 1971–1984.
- Guerzovich, Florencia and Linnea Mills, 2013. Are Intervention Clusters the Way Forward for the Governance of Natural Resources? Washington, DC: The Transparency and Accountability Initiative Think Piece, March 2013. <http://www.transparency-initiative.org/wp-content/uploads/2014/03/Think-Piece.-Clusters-in-NGR.pdf>
- Harsch, M. F. (2015). *The Power of Dependence: NATO-UN Cooperation in Crisis Management*. Oxford: Oxford University Press.
- Hobbs, J., 1996. A transaction cost approach to supply chain management. *Supply Chain Management*, 1 (2), 15–27.
- Hahn, R. and Gold, S. (2014), “Resources and governance in ‘base of the pyramid’-partnerships: assessing collaborations between businesses and non-business actors”, *Journal of Business Research*, Vol. 67 No. 7, pp. 1321-1333.
- Home Office (2014). *Modern slavery: how the UK is leading the fight*. HMG. https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/328096/Modern_slavery_booklet_v12_WEB__2_.pdf
- Huňka, F., Žáček, J., Meliš, Z., & Ševčík, J. (2011). REA value chain and supply chain. *Scientific papers of the University of Pardubice. Series D, Faculty of Economics and Administration*. 21 (3/2011).
- Hutchins, M. J., & Sutherland, J. W. (2008). An exploration of measures of social sustainability and their application to supply chain decisions. *Journal of cleaner production*, 16(15), 1688-1698.

- Hakansson, N. H. (1982). To pay or not to pay dividend. *The Journal of Finance*, 37(2), 415-428.
- ILO. 2017. Global estimates of modern slavery: Forced labour and forced marriage. Geneva:
 ILO.https://www.ilo.org/wcmsp5/groups/public/@dgreports/@dcomm/documents/publication/cms_575540.pdf
- ILO-IPEC, GAWU Eliminating hazardous child labour and Occupational Safety, Health and Environmental risks - A Manual for agents of change in cocoa communities in Ghana / International Labour Organization, ILO International Programme on the Elimination of Child Labour (IPEC), General Agricultural Workers Union of Ghana (GAWU) – Geneva, ILO, 2014.
<https://www.ilo.org/ipeinfo/product/download.do?type=document&id=25275>
- ILO & Walk Free (2017). Global estimates of modern slavery: forced labour and forced marriage.
 ILO.https://www.ilo.org/wcmsp5/groups/public/@dgreports/@dcomm/documents/publication/cms_575479.pdf
- Initiative, T. A. (2014). Definitions. [http://www. Transparency-Initiative. Org/About/Definitions](http://www.transparency-initiative.org/about/definitions).
- Jankuwics, D. (2002): Business Research Project, 3rd Ed., London: Business Press Thompson Learning.
- Kaufman, L. and Carter, C. (2010), “Sustainable Management in Emergency Economy Context”, ([http://www. Sustainablesupplychain.com/documents/sustainabilityBookUSA.pdf](http://www.sustainablesupplychain.com/documents/sustainabilityBookUSA.pdf)).
- Kolavelli, S. and Vigneri, M. (2005), „Cocoa in Ghana Shaping the Success of an Economy“. Available at:
[Http://www.siteresources.worldbank.org/AFRICAEXT/ghana_cocoa.pdf](http://www.siteresources.worldbank.org/AFRICAEXT/ghana_cocoa.pdf)
- Kumar (2008) Kumar, R. (2011) Research Methodology: A Step-by-Step Guide for Beginners. 3rd Edition. Sage, New Delhi.

- LeBaron, G., Lister, J., & Dauvergne, P. 2017. Governing global supply chain sustainability through the ethical audit regime. *Globalizations*, 14(6): 958–975. <https://doi.org/10.1080/14747731.2017.1304008>.
- Longoni, A. and Cagliano, R., 2015. Environmental and social sustainability priorities: Their integration in operations strategies. *International Journal of Operations & Production Management*.
- Leissle, K. (2018). *Cocoa*. John Wiley & Sons.
- Laven, A., & Boomsma, M. (2012). Incentives for sustainable cocoa production in Ghana. Royal Tropical Institute, Amsterdam, 49.
- Lu, D. (2011), *Fundamentals of Supply Chain*. Dr. Dawei Lu and Ventus Publishing ApS.
- Larsen, J. & Durgana, D. (2017). Measuring Vulnerability and Estimating Prevalence of Modern Slavery. *Chance*. Volume 30, 2017 - Issue 3: Special Issue on Modern Slavery. <https://doi.org/10.1080/09332480.2017.1383109>
- LeBaron, G. 2013. Unfree labour beyond binaries: Insecurity, social hierarchy and labour market restructuring. *International Feminist Journal of Politics*, 17(1): 1–19.
- Lebaron, G., 2018, January. Understanding the global business of forced labour: An introduction. In *Proceedings of the British Academy* (Vol. 220, pp. 1-22).
- LeBaron, G., Howard, N., Thibos, C., & Kyritsis, P. (2018) *Confronting root causes: forced labour in global supply chains*. University of Sheffield.
- Lund-Thomsen, P. and Lindgreen, A. (2014), “Corporate social responsibility in global value chains: where are we now and where are we going?”, *Journal of Business Ethics*, Vol. 123 No. 1, pp. 11-22.
- Mefford, R. (2011), *The Economic Value of Sustainable Supply Chain*, *Business Review*, 118 (1), pp. 109-143.
- Mende, J. 2019. The concept of modern slavery: Definition, critique, and the human rights frame. *Human Rights Review*, 20(2): 229–248. <https://doi.org/10.1007/s12142-018-0538-y>.

- Mentzer, et al., J.T. (2001), Defining Supply Chain Management, Journal of Business Logistics, vol, 22, no. 2 pp. 1-25
- Mezzadri, A., (2017). Sweatshop Regimes in the Indian Garment Industry. Cambridge University Press.
- Magis, K. (2010). Community resilience: An indicator of social sustainability. Society and Natural Resources, 23(5), 401-416. McElroy et al., 2008;
- Mani, V., Agarwal, R., Gunasekaran, A., Papadopoulos, T., Dubey, R., & Childe, S. J. (2016). Social sustainability in the supply chain: Construct development and measurement validation. Ecological indicators, 71, 270-279.
- Miles, M.B. and Huberman, A.M., 1994. *Qualitative data analysis: An expanded sourcebook*. sage.
- Nbabuine, A. K. (2012). Evaluating the value chain of Ghana cocoa From a Company point of view.
- Neuman, W.L. (2007) Basics of research Methods: Qualitative and Quantitative Approaches. 2nd Edition, Allyn and Bacon, Boston.
- New, S.J. (2015), "Modern slavery and the supply chain: the limits of corporate social responsibility?", Supply Chain Management, Vol. 20 No. 6, pp. 697-707. <https://doi.org/10.1108/SCM-06-2015-0201>.
- Nolan, J. and Bott, G., 2018. Global supply chains and human rights: spotlight on forced labour and modern slavery practices. *Australian Journal of Human Rights*, 24(1), pp.44-69.
- Nolan, J., & Ford, J. 2019. Regulating transparency and disclosures on modern slavery in global supply chains: A conversation strategy or a tick-box exercise? UNSW Law Research Paper No. 19-57. Sydney, NSW: University of New South Wales.
- Patton, M.Q., 2002. *Qualitative research and evaluation methods*, Third edition Sage Publications, Beverly Hills, CA.

- Phillips, N. (2013). Unfree labour and adverse incorporation in the global economy: Comparative perspectives on Brazil and India. *Economy and Society*, 42(2), 171–196.
- Porter, M. E. (1985). *Competitive Advantage*. New York: The Free Press / Simon and Schuster Inc.
- Provan, K. G., Beyer, J. M., & Kruytbosch, C. (1980). Environmental Linkages and Power in Resource-Dependence Relations between Organizations. *Administrative Science Quarterly*, 25 (2), 200–219.
- Pfeffer, J. (2003). 'Introduction to the Classic Edition'. In J. Pfeffer & G. R. Salancik (Eds.), *The External Control of Organizations: A Resource Dependence Perspective* (pp. xi–xxix). Stanford: Stanford University Press, 2nd ed.
- Saunders, M. N., Saunders, M., Lewis, P. and Thornhill, A. (2011) *Research Methods for Business Studies*. %th Edition, Pearson Education, Essex.
- Schniederjans, D. G., & Hales, D. N. (2016). Cloud computing and its impact on economic and environmental performance: A transaction cost economics perspective. *Decision Support Systems*, 86, 73–82.
- Sloan, T.W. (2010) "Measuring the Sustainability of Global Supply Chains: Current Practices and Future Directions," *Journal of Global Business Management*, 6(1): 92-107
- Speklé, R. F. (2001). Explaining management control structure variety: a transaction cost economics perspective. *Accounting, Organizations and Society*, 26(4-5), 419-441. doi:10.1016/s0361-3682(00)00041-6
- Squire, Patton, Boggs, 2015a. "The Modern Slavery Act 2015: 10 Key Points for Businesses." Squire Patton Boggs, October 29, 2015. <http://www.squirepattonboggs.com/~media/files/insights/publications/2015/10/themodern-slavery-act-2015/modernslaveryactnewsletter.pdf>
- Stevenson, M. and Cole, R. (2018), "Modern slavery in supply chains: a secondary data analysis of detection, remediation and disclosure", *Supply Chain Management*, Vol. 12 No. 3, pp. 81-99. <https://doi.org/10.1108/SCM-11-2017-0382>

- Soundararajan,V.,Wilhelm, M., Crane,A., & Pagell, M. 2020. Call for papers for the 2021 emerging discourse incubator: Managing working conditions in supply chains: Towards decent work. *Journal of Supply Chain Management*, 56(3): 88–91. <https://doi.org/10.1111/jscm.12235>.
- Seuring S., Müller, (2008), “From a literature review to a conceptual framework for sustainable supply chain management”. *Journal of clean Development*, 16, 1699-1710.
- Torjman, S. (2000), *The Social Dimension of Sustainable Development* (Online: <http://citeseerx.ist.psu.edu/viewdoc/summary>)
- Traoré, D. (2009), *Cocoa and Coffee Value Chains in West and Central Africa: Constraints and Options for Revenue-Raising Diversification*, all ACP Agricultural Commodities Programme, (AAACP Paper Series – No. 5), pp.1–116.
- Tsang, E.W., 2006. Behavioral assumptions and theory development: The case of transaction cost economics. *Strategic Management Journal*, 27(11), pp.999-1011.
- Touboulic, A., & Walker, H. (2015). Love me, love me not: A nuanced view on collaboration in sustainable supply chains. *Journal of Purchasing and Supply Management*, 21(3), 178–191.
- Ulrich, D. and Barney, J.B., 1984. Perspectives in organizations: resource dependence, efficiency, and population. *Academy of Management Review*, 9(3), pp.471-481.
- Vivek, S., Banwet, D.K., and Shankar, R., 2008. Analysis of interactions among core, transaction and relationship-specific investments: The case of off shoring. *Journal of Operations Management*, 26 (2), 180–197.
- Von Geibler, J., Liedtke, C., Wallbaum, H. and Schaller, S., 2006. Accounting for the social dimension of sustainability: experiences from the biotechnology industry. *Business Strategy and the Environment*, 15(5), pp.334-346.

- Walk Free (2018). The Global Slavery Index 2018. Walk Free.
https://downloads.globalslaveryindex.org/ephemeral/GSI-2018_FNL_190828_CO_DIGITAL_P-1594282898.pdf
- Walk Free (2019). Address tomorrow's slavery today Submission from Walk Free for the UN Special Rapporteur on Contemporary Forms of Slavery's public consultation. Walk Free.
<https://www.ohchr.org/Documents/Issues/Slavery/SR/AddressingTomorrowSlaveryToday/WalkFree.pdf>
- Wathne, K.H. and Heide, J.B., 2000. Opportunism in interfirm relationships: Forms, outcomes, and solutions. *Journal of marketing*, 64(4), pp.36-51.
- WCED (1987), *Our Common Future*, Report of the World Commission on Environment and Development, Oxford University Press. Oxford.
- Wieland, A. and Handfield, R. (2013), "The socially responsible supply chain: an imperative for global corporations", *Supply Chain Management Review*, Vol. 17 No. 5, pp. 22-29.
- Williamson, O. E. (1975). *Markets and hierarchies: Analysis and antitrust implications*. New York: Free Press.
- Williamson, O.E., 1991. Economic institutions: spontaneous and intentional governance. *J. Law Econ. Organ.* 7, 159–187.
- Williamson, O. E. (2005). Transaction cost economics and business administration. *Scandinavian Journal of Management*, 21(1), 19–40. doi:10.1016/j.scaman.2005.02.002.
- Williamson, O.E., 2008. Outsourcing: Transaction cost economics and supply chain management. *Journal of Supply Chain Management*, 44 (2), 5–16.
- Williamson OE. 1993. Opportunism and its critics. *Managerial and Decision Economics* 14: 97–107.
- Williamson OE. 1996. Economic organization: the case for candor. *Academy of Management Review* 21:48–57.

- Wilhelm, M. M., Blome, C., Bhakoo, V., & Paulraj, A. 2016. Sustainability in multi-tier supply chains: Understanding the double agency role of the first-tier supplier. *Journal of Operations Management*, 41(1): 42–60. <https://doi.org/10.1016/j.jom.2015.11.001>.
- Wilson, C. A. (1996). *Racism: From slavery to advanced capitalism*. SAGE Publications.
- Wilson J.P. (2005), *Human Resource Development: Learning and Training for Individuals and Organizations*, 2nd edition, Kogan page Publication,
- Yang, C., Wacker, J. G., & Sheu, C. (2012). What makes outsourcing effective? A transaction cost economics analysis. *International Journal of Production Research*, 50(16), 4462–4476.
- World Cocoa Foundation (2012), *Cocoa Market Update*, Available at: <http://worldcocoafoundation.org/wp-content/uploads/Cocoa-Market-Updateas-of-5.20.2012.pdf>.
- Zorzini, M., Hendry, L.C., Huq, F.A. and Stevenson, M., 2015. Socially responsible sourcing: reviewing the literature and its use of theory. *International Journal of Operations & Production Management*.

APPENDIX A
INTERVIEW GUIDE

Interviewee group :	<i>Cocoa Farmers. The interview should focus on cocoa farmers and their relationships with purchasing clerks (PCs). Cocoa farmer here means someone who owns or manages a cocoa farm and has the right to sell the produce to a PC.</i>
Information sought :	<ol style="list-style-type: none"> 1) <i>If any, the forms and dynamics of modern slavery (e.g., exploitations) that farmers experience in their relationships with PCs.</i> 2) <i>How perceived and experienced modern slavery affect farmers.</i> 3) <i>How farmers respond to perceived and experienced exploitations in their relationships with PCs.</i>
Mode of interview :	<i>Face-to-face. Each interview should be voice-recorded and transcribed within 3 days.</i>
Language to be used :	<i>The native language of the interviewee (i.e., farmer)</i>

Interview date:	Interview start time:	Interview end time:
-----------------	-----------------------	---------------------

Location of the interview:

Interview questions

- 1) How long have you been farming cocoa?
- 2) Which licensed buying companies (LBCs) currently buy your cocoa produce?
- 3) How many purchasing clerks (PCs) buy your cocoa produce currently?
- 4) In terms of selling your cocoa, have you switched between
 - a. LBCs in the last 3 years? If YES, what led to that decision?
 - b. PCs in the last 3 years? If YES, what led to that decision?
- 5) Have you ever felt being locked up in, or bonded to, your relationship with the PC who currently buys the majority of your cocoa? [*locked up or bonded means the farmer's hands are technically tied to the relationship, such that s/he finds it difficult to sell to other PCs who might even have more competitive offerings*].
 - a. If YES,
 - i. what makes you have such a feeling?
 - ii. what have you been doing about such a situation?
 - b. How long have you been selling cocoa to this PC?
- 6) Have you ever felt being cheated or exploited by a PC before?

If YES,

 - i. can you describe the situation to me?
 - ii. how did such experience(s) affect you and your work (i.e., farming)?

- iii. how did you respond to this experience? What have you personally done or want to do about this experience(s) with PCs?
- 7) Considering all things, would you say the PCs who buy your cocoa have been fair in their dealings with you?
- 8) What is it about your relationship with your current PC that you think restrains you from selling your cocoa to a different PC?

Capture this additional information:

Name of the interviewee's community:
The interviewee's current annual cocoa produce (in terms of bags of cocoa):
Age of interviewee:
Gender of interviewee:
Educational level of interviewee:

APPENDIX B

INTERVIEW GUIDE

Interviewee group :	<i>Farmhands</i> (workers on cocoa farms, they are in some kind of unwritten contractual relationships with the cocoa farm owners). The interview should focus on their relationships with cocoa farm owners).
Information sought :	<p>4) <i>If any, the forms and dynamics of modern slavery (e.g., exploitations) that the farmhands experience in their relationships with cocoa farm owners.</i></p> <p>5) <i>How perceived and experienced modern slavery affect farmhands.</i></p> <p>6) <i>How farmhands respond to perceived and experienced exploitations in their relationships with cocoa farm owners.</i></p>
Mode of interview :	<i>Face-to-face. Each interview should be voice-recorded and transcribed within 3 days.</i>
Language to be used :	<i>The native language of the interviewee (i.e., worker)</i>

Interview date:	Interview start time:	Interview end time:
-----------------	-----------------------	---------------------

Location of the interview:

Interview questions

- 9) How long (in years) have you been working on cocoa farms?
- 10) How many different cocoa farms are you currently working?
- 11) Have you ever worked on another cocoa farm before the current one(s)?
 - a. If YES, why did you stop working on the previous one?
- 12) Have you ever felt being locked up in, or bonded to, your relationships with cocoa farm owners? [*locked up or bonded means the farmhand's hands are technically tied up, such that s/he finds it difficult to stop working for the farm owner*].
 - c. If YES,
 - iii. what makes you have such a feeling?
 - iv. what have you been doing about such a situation?
- 13) In working for cocoa farm owners, have you ever felt being cheated or exploited by before?
 - If YES,
 - iv. can you describe the situation to me?
 - v. how did such experience affect you and your work?
 - vi. how did you respond to this experience? What have you personally done or want to do about this experience?
- 14) Considering all things, would you say the cocoa farm owner you are currently working for has been fair in his/her dealings with you?
 - a. Is this cocoa farm owner a male or a female?
 - b. What is it about your relationship with this cocoa farm owner that you think restrains you from quitting working on his/her farm?

Capture this additional information:

Name of the interviewee's community:
Current annual cocoa output (in terms of bags of cocoa) from the interviewee's farm:
Age of interviewee:
Gender of interviewee:
Educational level of interviewee: