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GOVERNING THE MIDDLE:
Platforms, standards, practices and the organization of contemporary matters of collective concerns
Tuesday December 12th, 2017, Copenhagen Business School

GOVERNING THE MIDDLE BY INTERMEDIATING FOOD SYSTEM CHANGE

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Positioning 'governing' within socio-technical transitions

F.W. Geels, J. Schot / *Research Policy* 36 (2007) 399–417

Increasing structuration
of activities in local practices

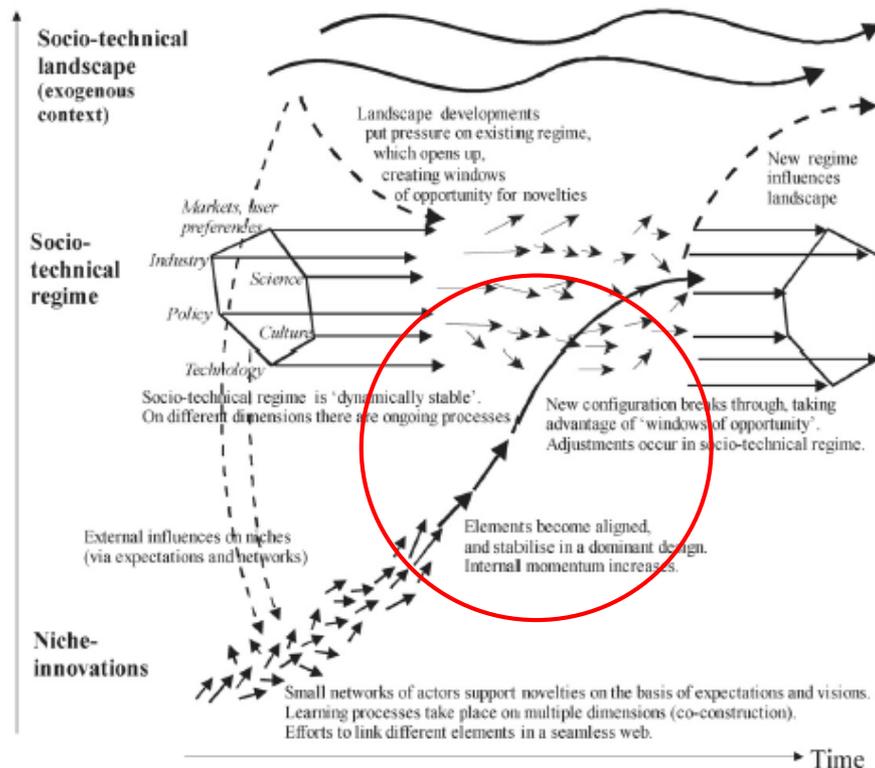


Fig. 1. Multi-level perspective on transitions (adapted from Geels, 2002, p. 1263).

B. Elzen et al. / *Environmental Innovation and Societal Transitions* 5 (2012) 1–18

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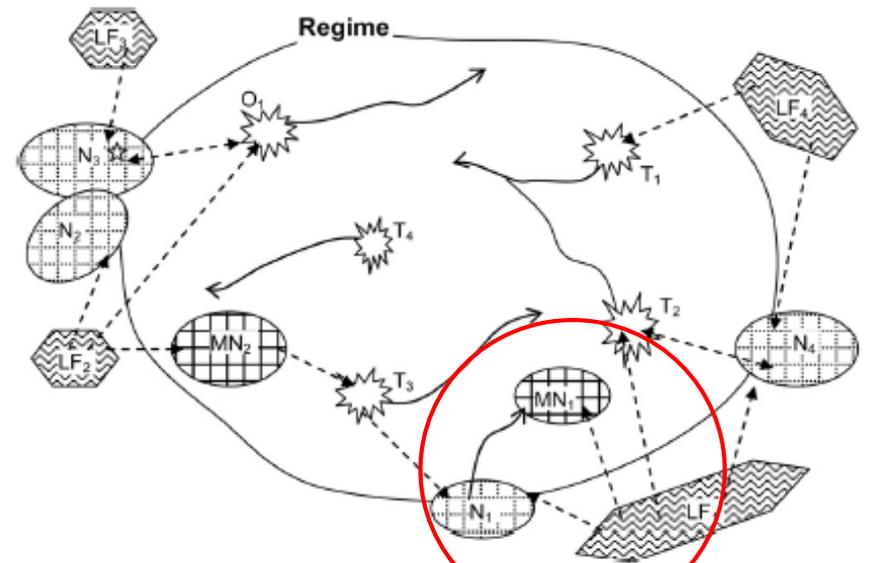
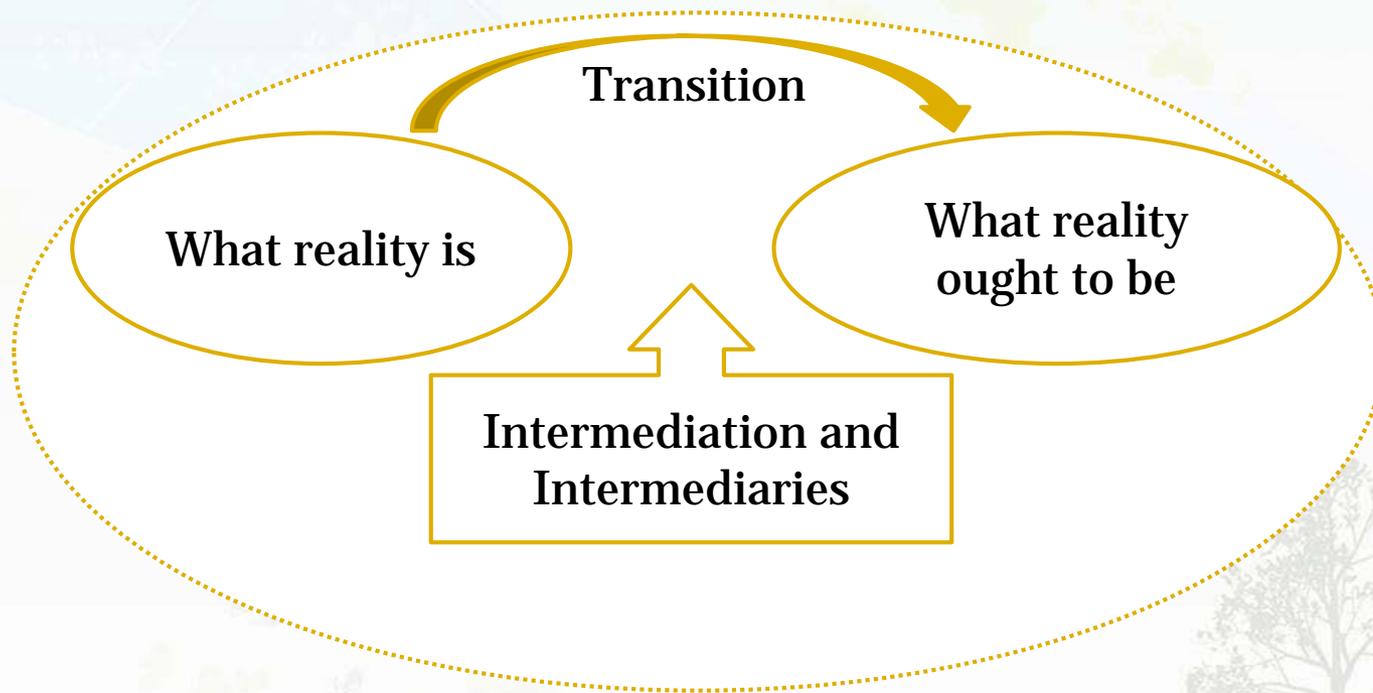


Fig. 1. Multi-level processes in system innovation. In the figure, the area within the drawn line represents the incumbent regime. At the edges of the regime, several niches are indicated by the small ovals N_1 – N_3 . They typically have a partial overlap with the regime (e.g. by using shared technical components or through actors that operate in the regime as well as in a niche). Some niches may have a partial overlap with each other (e.g. N_2 and N_3). A niche may also transform into a market niche (MN_1 , MN_2) meaning that it can survive as a subsection of the regime without protection. Various landscape factors are indicated by the hexagons LF_1 – LF_4 . Although they are all hexagons they have different shapes to indicate they can be varied in nature. Landscape factors are 'floating all around' (suggested by the wave-like shading) and may influence the regime, various niches or the linking process between niches and regimes. Niches and the regime may also influence each other as indicated by various dashed arrows. As is represented by multi-pointed stars (T_1 – T_4), landscape influences and developments in niches may create tensions or opportunities (O_1) in the regime. Tensions can also emerge internally within the regime (T_4), or in niches (see the small star in N_3). From the tensions and opportunities new developments start as is indicated by the bended arrows. The bended shape indicates that the developments are not straightforward although there is a sense of direction due to path dependencies, at least in the short term. Some developments may 'link up', e.g. the developments emerging out of T_1 and T_2 in the figure.

Studying 'transitions in the making'



A “situation” of change

Intermediaries and Intermediation

“anything passing between actors which defines the relationship between them” (Callon, 1991, p. 134)

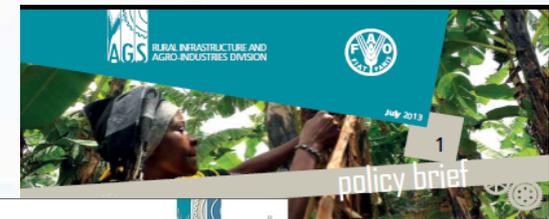
- **Objects:** Intermediaries both order and form the medium of the networks they describe (a common communicational space and a common socialization process for negotiation)
- **Individuals and collectives:** put other intermediaries into circulation (coordinate and align actors and discourse)
 - **Boundary organizations** (e.g., Guston, 2001; Star and Griesemer, 1989)
 - **Broker the relationship between knowledge and action by co-producing knowledge and boundary objects**
 - **Collaborative R&D** (Grabher, 2004; Scarbrough et al., 2004; Barbier et al., 2005)
 - **Projects that represent temporary organizational arrangements that enable and broker learning processes in the innovation process**
 - **Change agents, linking agents, champions, facilitators, opinion leaders, third-parties, and brokers** (Thompson et al., 2006; Howells, 2006; Klerkx and Leeuwis, 2009; Cao et al., 2012).
 - **institutional, policy or ideational entrepreneurs** (Garud et al., 2002; Kingdon, 1984; Kohler-Koch, 2002).
 - **Within sustainability standards systems, intermediaries are often referred to as third party certifiers, gatekeepers, accreditation agencies, accounting firms, ranking agencies, and credit agencies** (Levi Faur and Starobin, 2014).
- **Intermediation – the distributed activities of putting intermediaries into action**
 - **Framework that links socio-technical dimensions of standards and the distributed socio-political dimensions of knowledge regimes.**

The identification of a common problem: how to ensure that sustainable practices (codified through standards) are implemented?

An important result: Local institutional arrangements that favor smallholders' connections with market actors

- **NGOs**
- **Extension services**
- **Public policies (like subsidies, National Registries)**
- **Sectoral characteristics and business cultures**
- **Local certifiers**
- **Local laboratories**

Specificall for Organic: national standards and the EU legislation



Agribusiness and Food Industries Series **3**

INTERNET

Impact of international voluntary standards on smallholder market participation in developing countries

A review of the literature



Key messages

- ▶ Equitable and sustainable supply chain linkages, increased access to assets, and support for cooperative development are incentives for complying with standards.
- ▶ Both public and private actors have comparative advantages for supporting voluntary standards and are most effective when combined.
- ▶ Governments can provide services – infrastructures and proper legislation – that facilitate the inclusion of smallholders in certified value chains.

- The ability of exporters and farmers to meet standards requirements largely depends on assets, knowledge of certification and pre-existing relationships with certified value chains. However, upgrading is possible when the standards act as market incentives (e.g. long term contracts) for small-scale producers to adopt better practices.
- Economies of scale are common in certified markets and small-scale farmers need to act collectively. The decisions made by retailers, manufacturers and importers are fundamental to the impact and success of voluntary standards. There is some evidence of smallholder exclusion, particularly in private food safety standards where these are de facto mandatory for entering the market.
- In most sectors and countries, compliance with standards and certification does increase costs but also increases farmgate prices. Some evidence of increased profitability was found for fairtrade and organic certification. This was because of different combinations of increased prices, increased yields or decreased costs.



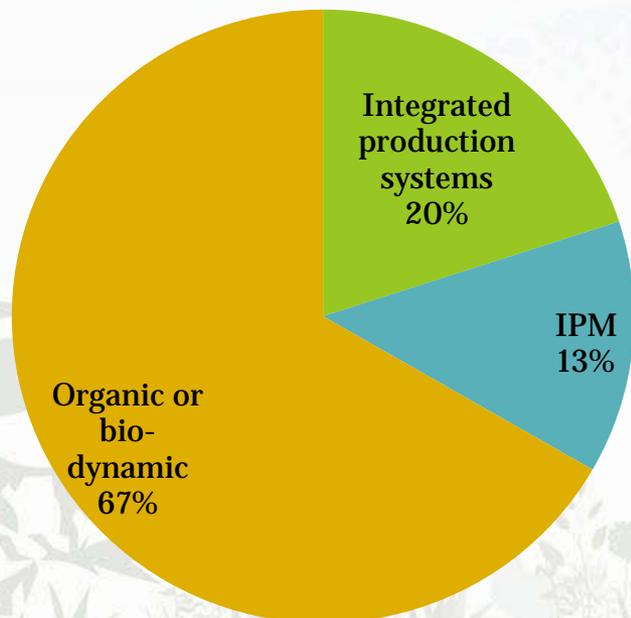
Formulation of a participatory project to study (and do) intermediation

- September 2013 – A joint FAO-INRA project to bring together case studies from around the world on institutional innovations
- Questions that remained unanswered:
 - **How to producers and organisations steer themselves towards sustainable practices?**
 - **What are the motivations and the driving forces that enable producers to adopt and stick with sustainable agriculture?**
- Research question:
 - **What are the *agencements* that create markets for sustainable agriculture?**
- Rather than focusing on global value chains, we focused on local ones – what are other possible market-making mechanisms?

Selection of partners and case studies

- 87 case study proposals received, 42 of which were good quality that responded to the selection criteria;
- 15 case studies selected (4 – LAC, 6 – Africa, 5 – Asia)

'Agroecological' Practices



Institutional Innovations

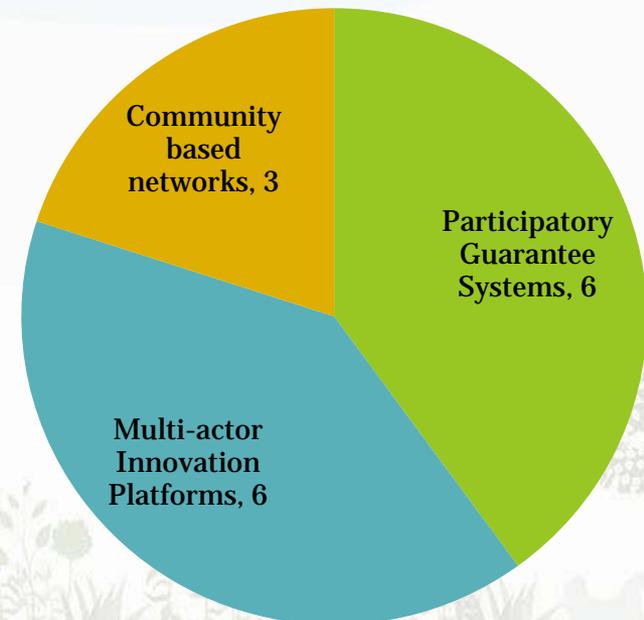
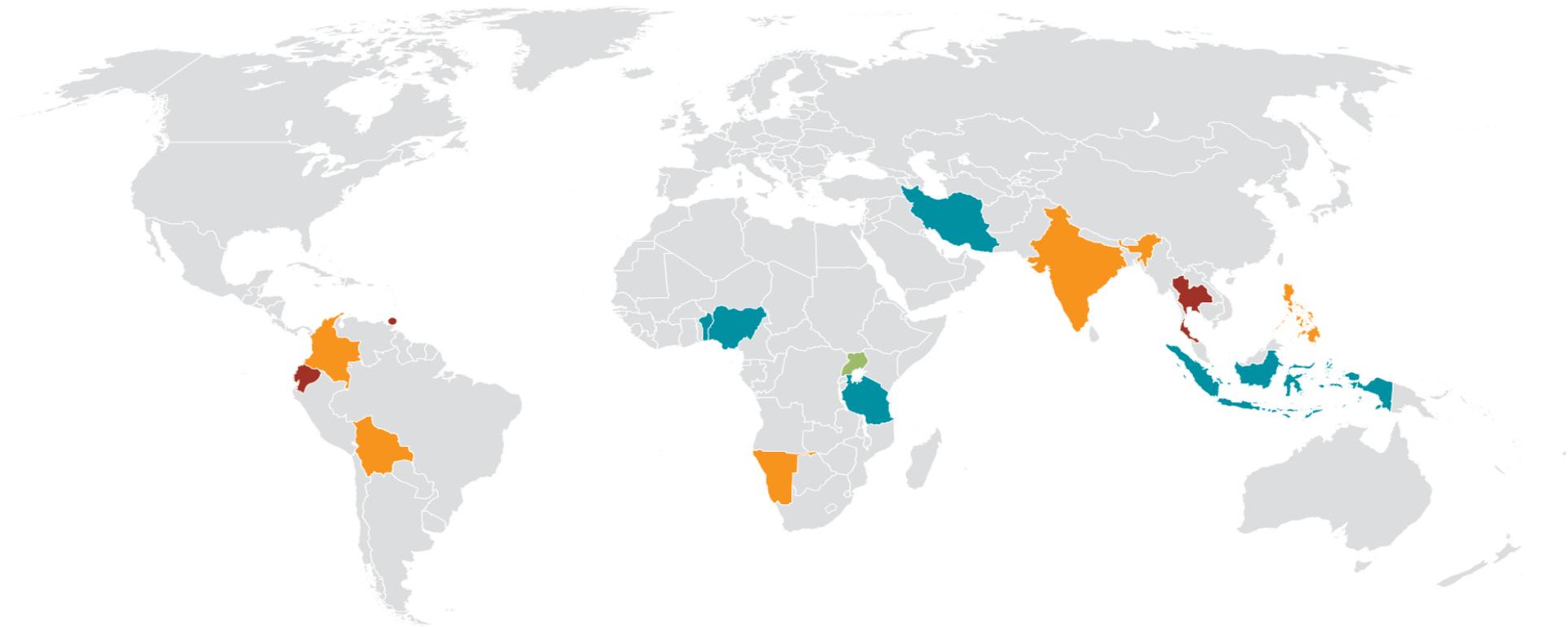
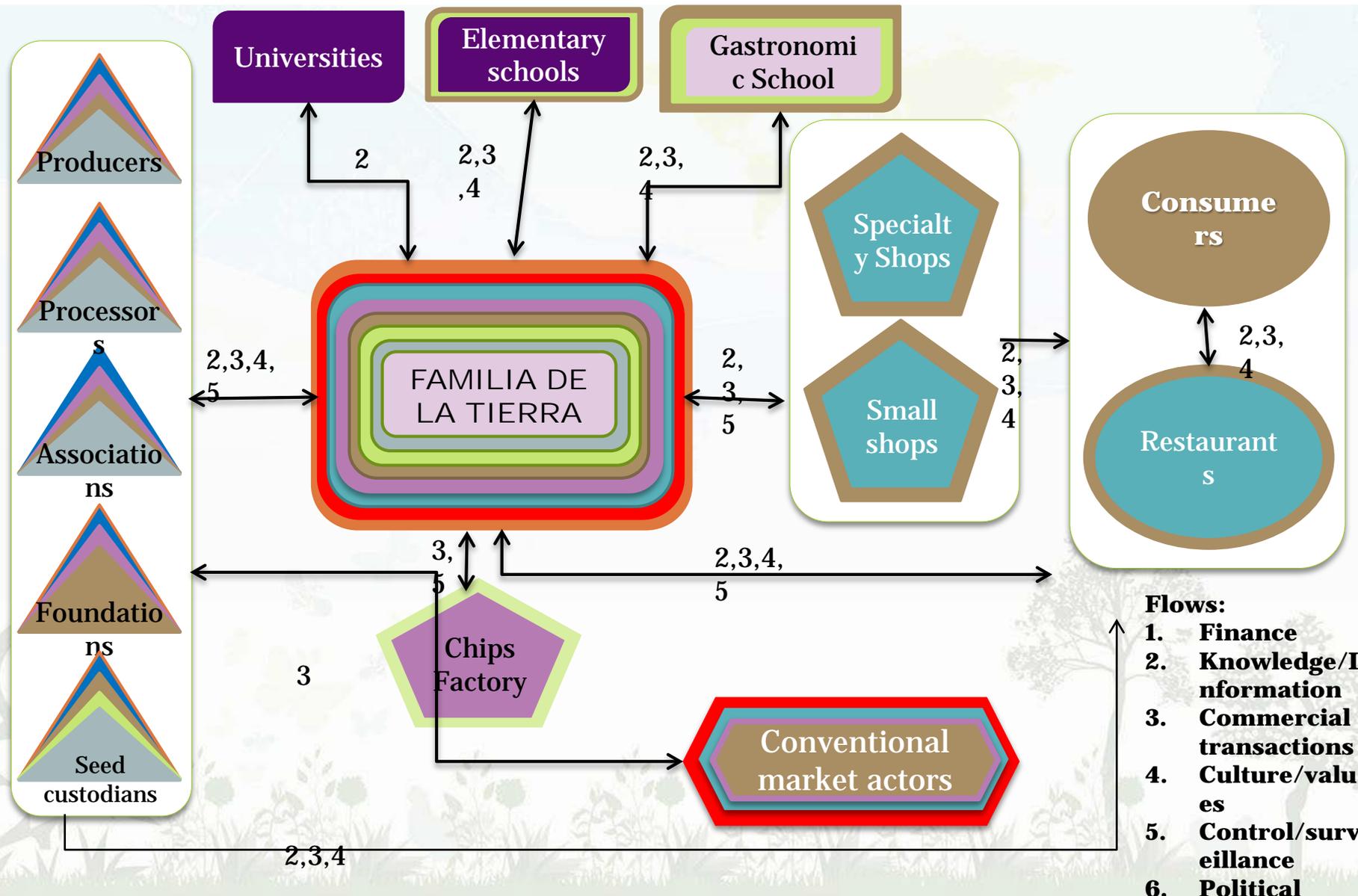


Figure 1: Location and typology



Multi-actor innovation platforms (IPs)		Participatory guarantee systems (PGS)		Community-supported agriculture (CSA)	
Benin	The Songhai Model of integrated production	Bolivia (Plurinational State of)	Ecological fairs in La Paz, Cochabamba and Tarija	Ecuador	Reinforcing Local Systems of Healthy Food of Sierra Centro
Indonesia	<i>Partisipasi Inovasi Petani</i> (PIP) project: A participatory model for promoting farmer-driven innovation	Colombia	<i>Familia de la Tierra</i> PGS	Thailand	Moral Rice Programme, Dharma Garden Temple
Islamic Republic of Iran	Using Farmer Field Schools on Integrated Pest Management to support sustainable production and marketing	India	PGS and Smallholder Markets: Idea of Trust and Short Market Chains	Trinidad and Tobago	The Brasso Seco Paria Community Make Agrotourism their Business
Nigeria	Impact Assessment of Community-Based Farming Schemes in Enhancing Sustainable Agriculture	Namibia	The Namibian Organic Associations' Participatory Guarantee System		
Uganda	Role of Cooperatives in Linking Sustainable Agricultural Practices with Markets (KACE)	Philippines	The Innovative Institutional Approach: Quezon Participatory Guarantee System		
United Republic of Tanzania	Sustainable Agricultural Practices by Smallholder Tea Farmers	Uganda	Facilitating Social Networks through FreshVeggies PGS		

PRODUCER	AGGREGATOR/WHOLESALE	DISTRIBUTOR	PROCESSOR	CONSUMER	SERVICE PROVIDER	INPUT PROVIDER	FINANCE PROVIDER	INSPIRATIONAL LEADER	SOCIO-CULTURAL	INFRASTRUCTURAL	INSTITUTIONAL	ORGANIZATIONAL
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- Producers
- Processors
- Associations
- Foundations
- Seed custodians

Universities

Elementary schools

Gastronomic School

FAMILIA DE LA TIERRA

- Specialty Shops
- Small shops

- Consumers
- Restaurants

Chips Factory

Conventional market actors

2

2,3,4

2,3,4

2,3,4,5

2,3,5

2,3,4

2,3,4

3,5

2,3,4,5

3

2,3,4

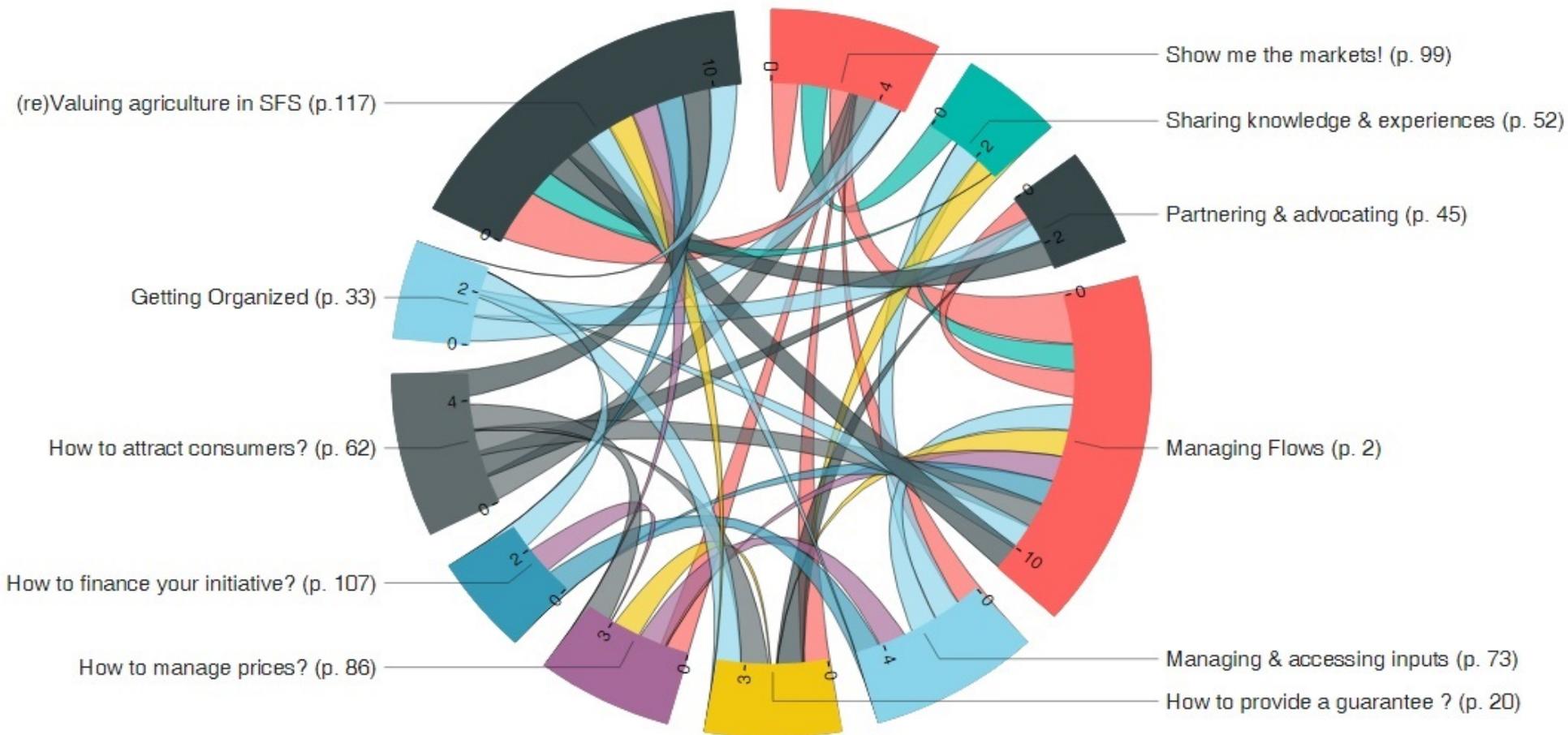
DIVERSITY OF INTERMEDIARY MARKET MAKING ACTIVITIES

ARTICIPATION IN MARKET EXCHANGES

	LOW	HIGH
LOW	<p>Information-rich market networks</p> <ul style="list-style-type: none"> • The main intermediary function is to share information between market actors (quality control system), but no market exchange • Low product diversification • Fewer market channels <p>• Bolivia, Namibia</p>	<p>Diversified market networks</p> <ul style="list-style-type: none"> • Multi-functional intermediary provides services that add value among market actors (some trading) but does not run the consumer market • Low product diversification • More market channels <p>• Uganda, Brazil, Colombia, Kazakhstan</p>
HIGH	<p>Interactive market networks</p> <ul style="list-style-type: none"> • The main intermediary function is facilitate the market exchange • High product diversification • Fewer market channels <p>• Ecuador, France, Mozambique</p>	<p>Socio-cultural market networks</p> <ul style="list-style-type: none"> • Multi-functional (market, knowledge, education, services. etc.) intermediaries who own/run their own markets • High product diversification • More market channels

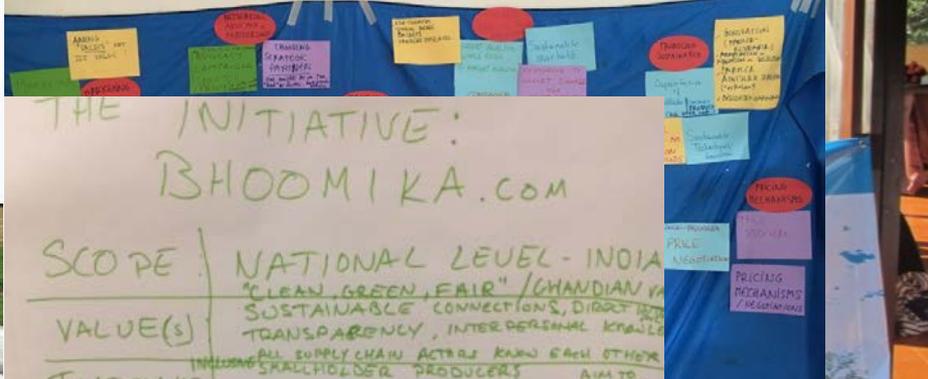
Intermediating 'transitions in the making'

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Co-constructing a Guide for Intermediaries

- Spring 2015 – Dgroups discussion
- Researcher-Practitioner Workshops
 - June 2015: Bogotá, Colombia
 - July 2016: Chang Mai, Thailand
 - November 2017: New Delhi, India



THE INITIATIVE:
 BHOOMIKA.COM

SCOPE	NATIONAL LEVEL - INDIA
VALUE(S)	"CLEAN, GREEN, FAIR" / CHANDIAN IN SUSTAINABLE CONNECTIONS, DIRECT TRADE, TRANSPARENCY, INTERPERSONAL KNOWLEDGE
TIME FRAME	1 YEAR OLD, 3 YEAR PROJECT, INITIAL GOAL: ALL SUPPLY CHAIN ACTORS KNOW EACH OTHER, SMALLHOLDER PRODUCERS AIM TO SET UP 2 (Farm/Market) CHAIN
SOCIAL	1) HUGE CONSUMER DEMAND FOR "SUSTAINABLE" FOOD 2) MARGINALISED SMALL HOLDERS WITHOUT ANY HELP "NO ESCAPE FROM GREEN REVOLUTION" 3) RURAL - URBAN MIGRATION
ECONOMIC	1) LACK OF TRANSPARENCY 2) TRUE COST OF FOOD IS NOT RECOGNIZED 3) PROFITABILITY INAPPROPRIATE LIVELIHOODS FOR THE SMALLSCALE FARMERS 4) URBAN MARKETS DOMINATED BY SUPERMARKETS, LET MARKETS RURAL MARKETS DEPENDENT ON GOVERNMENT RATION SYSTEM
St: & Tah	1) MODERN RETAIL 2) SOCIAL MEDIA 3) SHARED MARKETS 4) TRANSITIONING FROM TRADITIONAL TO MODERN RETAILERS



Knowledge Intermediation

How food system actors gain access to and communicate knowledge about sustainable production, distribution and consumption.

- **Key intermediaries:**
 - Producers, Researchers, Extensionists, NGOs, Service providers – but also Chefs and Consumers
- **Objects of intermediation:**
 - Interdependencies among humans, plants, animals, insects, parasites, microbia, soil, water, air, etc.
 - Accessing sustainable inputs
- **Approaches:**
 - Experiential learning
 - Farmer-led experimentation
 - Field visits



Regulatory Intermediation

The use of standards by diverse actors to clarify what the sustainable practices are, who can provide assurance, how to communicate

- **Key intermediaries:**
 - Producers, Consumers, Public Officials, Researchers, Private and Social Enterprises, NGOs, Service Providers – everyone in the food system
- **Objects of intermediation:**
 - Locally adapted concepts of sustainability
 - Credible, but low cost and flexible standards
- **Approaches:**
 - Participatory Guarantee Systems
 - Multi-level governance



Infrastructural Intermediation

Negotiation of those elements that tie the system together (e.g., inputs, logistics and finance)

- **Key intermediaries:**
 - Civil Servants, Social Enterprises, Traders, Processors, Transporters – and of course Producers and Consumers
- **Objects of intermediation:**
 - Time and Timing
 - Physical Infrastructure
 - New business models
- **Approaches:**
 - Social innovations
 - Box-schemes
 - Public procurement
 - Farmers' markets
 - Small-scale agriculture service companies
 - Collective transport



Consumption Intermediation

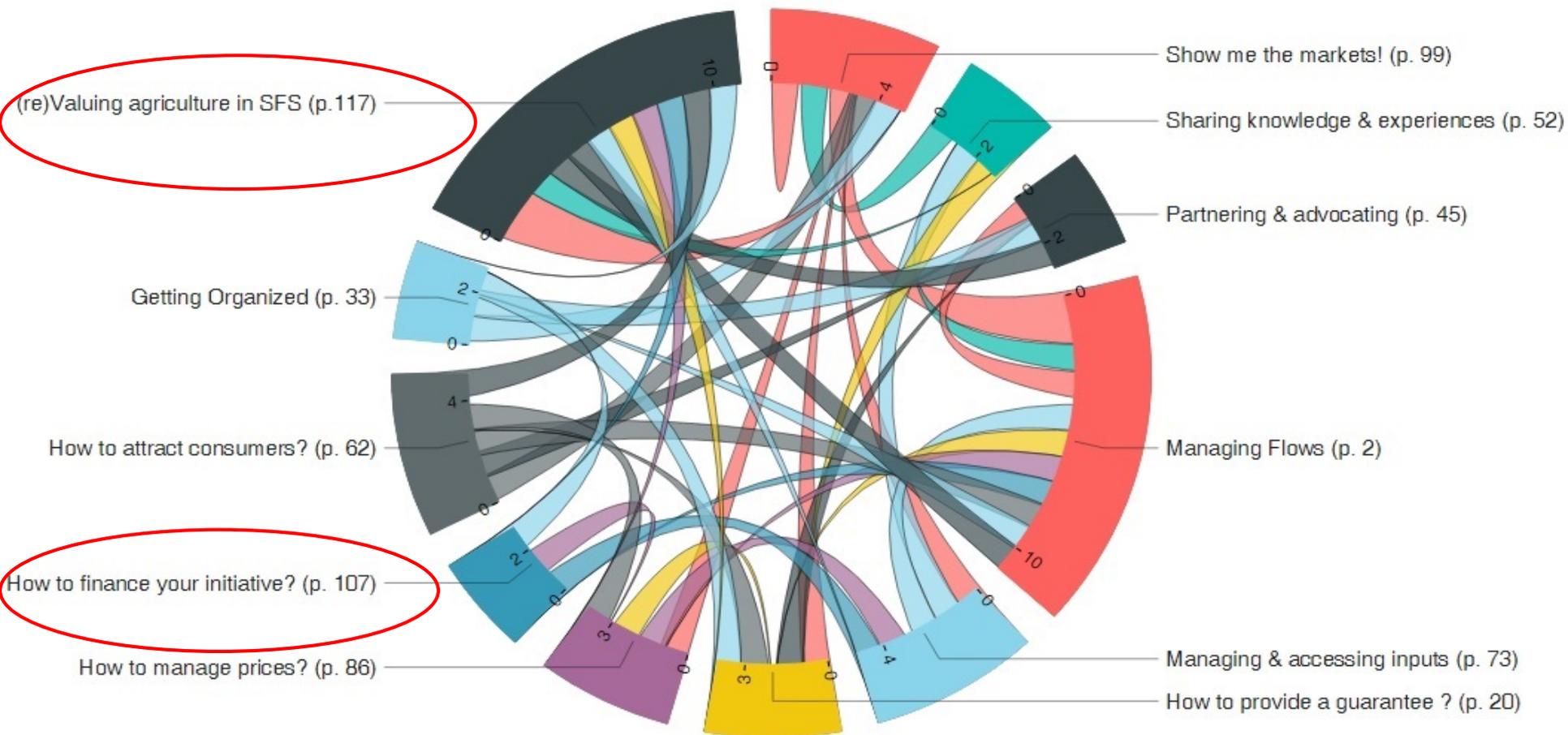
Institutional and practice elements of how food is accessed and consumed

- **Key intermediaries:**
 - Consumers, Restaurants, Chefs, Schools, Processors – but also Producers
- **Objects of intermediation:**
 - Integrating consumer demand with production planning
 - Consumer organizing
- **Approaches:**
 - **Experiential Learning**
 - Taste tests
 - Product placement
 - Field visits



Intermediating 'transitions in the making'

TABLE OF CONTENTS | BY ENTRY POINT AND WHERE TO NEXT



Conclusions

- Intermediation – governs ‘transitions in the making’ by (re)aligning actors and (re)writing rules
 - **Autonomy and flexibility are core values**
- ‘Interested’ actors – what interests are important for ‘market’ intermediaries ?
- Moving forward: following ‘tests’ of the guide (India, Senegal) and observing how ‘intermediaries’ translate their activities into guidance