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Beyond Certification: A Typology of Instruments of Private and Community-Based Sustainability Governance in Agri-Food Value Chains

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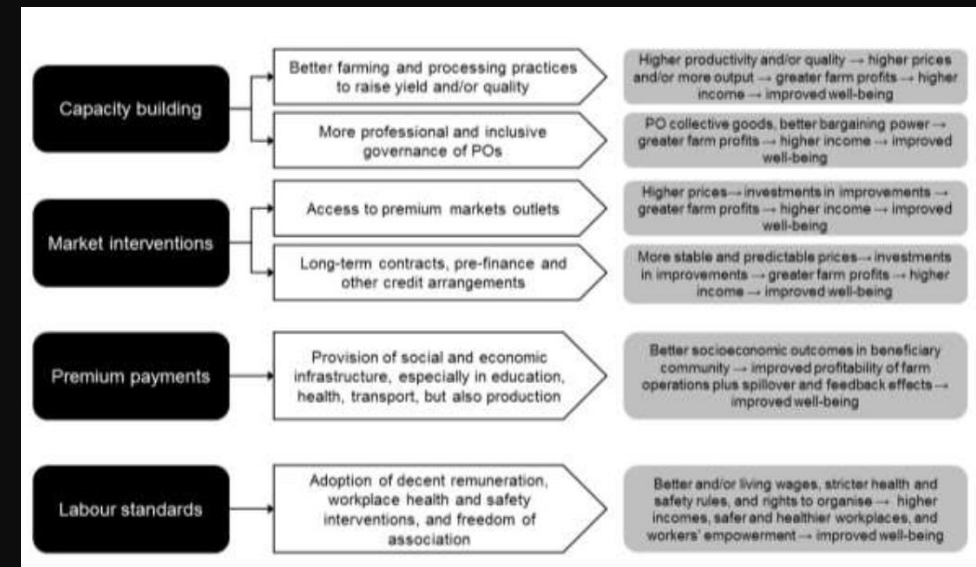


Introduction

- Certification of voluntary sustainability standards = **main strategy** to enhance well-being in agri-food value chains (e.g. Dietz et al. 2021)
- **Limited, sometimes even adverse effects** and failure to include producers in governance make us wonder:
what alternative or complementary strategies do actors pursue?
- Growing institutional diversity of sustainability governance requires **mapping and disentangling of instruments**, e.g. on price, ownership, voice, support activities, ... and **underlying theories of change**
→ Use empirical data on practices in Peruvian coffee and cacao value chains to **build a typology of sustainability governance strategies** “beyond certification”

Strategies, instruments, theories of change

- CS have begun articulating **theories of change** = “interventions” with “impact pathways”, mapped by Oya et al. (2018)
- Also other governance actors devise **instruments** based on one or multiple implicit or explicit TOCs:
 - a desired **impact** or goal
 - **instrument(s)** aimed to achieve that impact
 - the **causal links or impact pathways** which assume outputs, outcomes, mechanisms
- The use of (additional) instruments and TOCs may reveal **alternative and/or complementary strategies** “beyond certification”



Data and methods

- **Survey with n=77 actors** in Peruvian coffee and cacao sectors capturing diversity in value chain activities, ownership, size, markets, services
- Snowball identification of **most common & unique models**
- **Ongoing process:** complete data collection in CH and data analysis
- Two-fold method of analysis
 - Identification of **recurring patterns or combinations of instruments** using Formal Concept Analysis (FCA, Ganter & Wille 1996)
 - Coding of **elements of theories of change** using qualitative content analysis (QCA, using *maxQDA*)

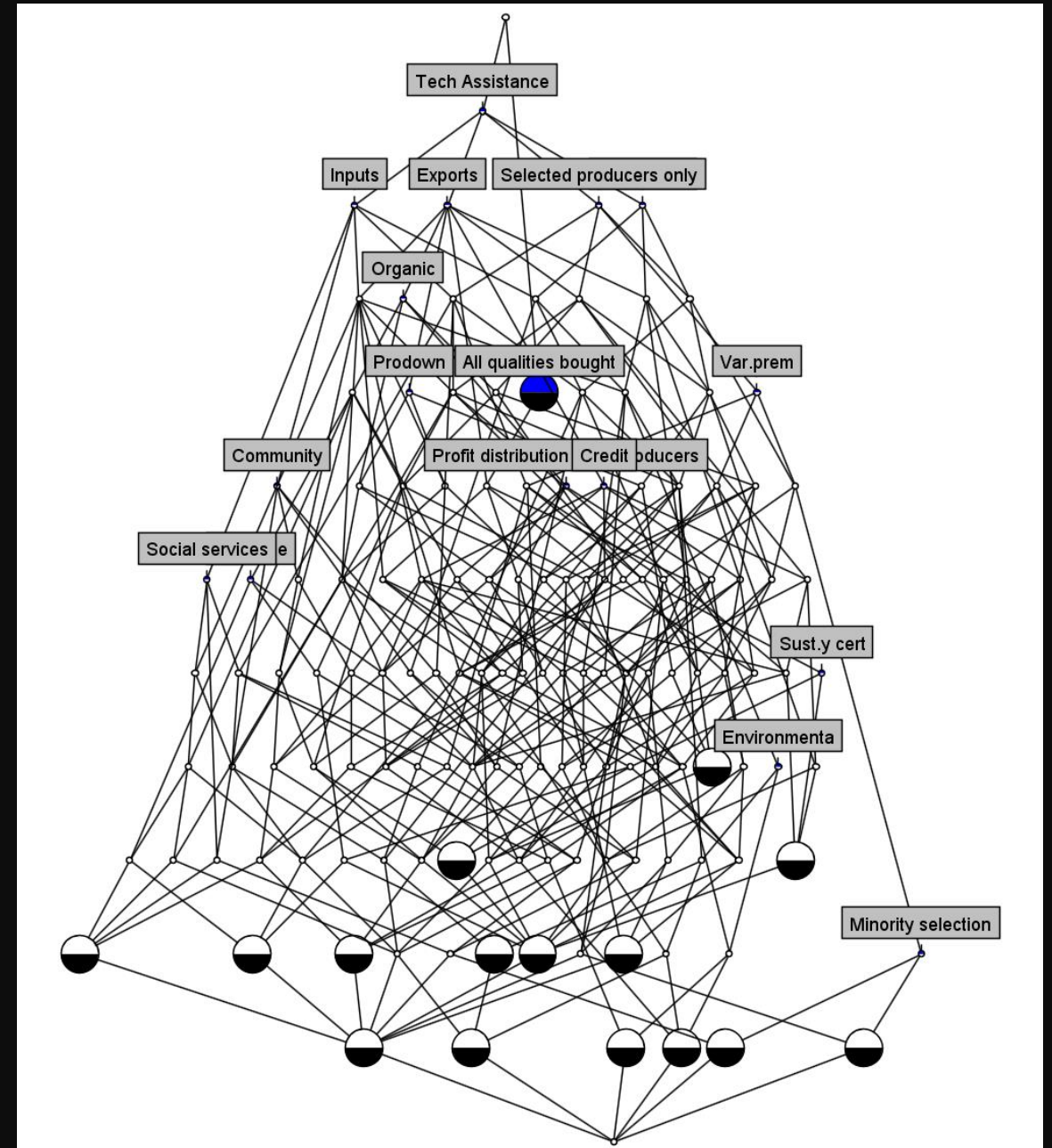
Formal Concept Analysis (FCA)

- Preliminary analysis of 20 cases: Producer organizations; intermediaries; exporters; manufacturers; producers with regard to 20 attributes (instruments, certifications)
 - Producer-owned; producer-governed; profit distribution
 - Fixed; variables sustainability premium; quality premium; all qualities bought
 - Exports; produces derivatives

	Prodown	Fairtrade	Organic	Sust.y cert	Var.prem	All qualitie...	Exports	Derivatives	Selected p...	Minority sel...	Profit distri...	Tech Assis...	Inputs	Credit	Social serv...	Environme...	Community
L...			×	×	×	×	×	×	×		×	×	×				
C...	×	×	×	×	×	×	×	×	×		×	×	×	×	×		×
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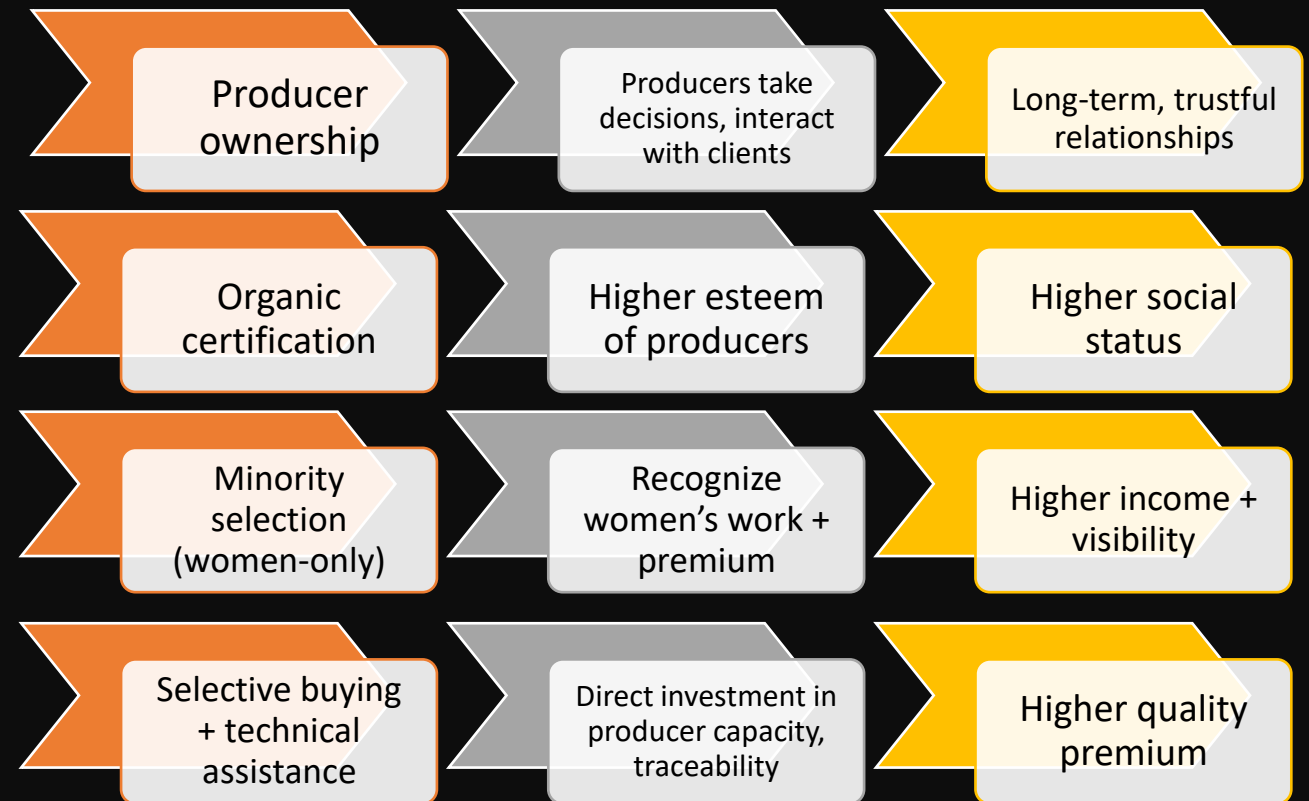
Preliminary Results FCA

- 140 concepts, 62 implications, e.g.,
 - Selected producers only → technical assistance
 - Producer-owned + exports + technical assistance + credit → Organic + profit distribution
- Analysis to be remade with all cases, elaborated codebook and appropriate clustering methods
- Need to combine FCA insights on instruments + combos with TOCs



Preliminary Results QCA

- Additional instruments and instrument combinations identified with corresponding TOCs
- More 'social' TOCs, effects that deviate from an economic understanding of desired impacts



Discussion

- Disentanglement of detailed instruments + combos as a **novel approach** to identify and compare strategies of value chain governance beyond certification (but do binary values do the job?)
- Coding of elements of theories of change allows to **fill single instruments and clusters with meaning** as perceived by implementing actors ...
- ... and to consider **differences in underlying goals and assumptions about mechanisms**, opening discourse for preferences of different actors with regard to goals, pathways
- Basis for process tracing when matched with outcomes and understand effects (2nd stage, 2023-24): **systematic comparison between certification and other strategies**

References

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Thank you

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