

# Why, What & How

CTA – COS-SIS Expert Consultation on Innovation Systems:  
Towards More Effective Theories of Change

4-6 February 2013, CTA, Wageningen

Research Associate Support Team

(Janice Jiggins, George Essegby, Laurens Klerkx, Annemarie van  
Paassen, Rhiannon Pyburn, Rigobert Tossou)

# The programme boundary

- *Efforts to create new opportunities for small farmers are constrained by institutions at higher levels and scales than the individual farm*
- Intentional action to remove, by-pass or moderate the constraints (systemic change)
- Oil palm (seed system; artisanal processing) crop-livestock integration, water management (inland valleys; Office du Niger), cocoa, shea nut, cotton

# The research boundaries

- Theory-led
- Modified Causal Process  
Tracing, applied by the RAs to the work of 8 Concertation & Innovation Groups (CIGs)
- Thematic studies on commensurable elements across the 8 domains
- Scoping & Diagnostic studies
- Additional thematic studies
- Field studies by Ph.D. students
- Studies commissioned by or carried out by the CIGs
- CIGs' institutional experiments

Periodic reflexive information analysis with domain specialists: local, national, regional, international workshops

# Theoretical boundaries

- *Governance*: responding to policymakers' desire to know *what works*?
- Difficulties of operationalising the statistical 'gold standard'
- 'arriving at localized and informed solutions to specific constraints and needs' (Grindle, 2011)
- Requires attention to process and causal attribution

## (continued)

- *Innovation Systems* (Geels 2002, 2004)
  - Radical novelties in niches
  - Socio-technical regimes
  - Socio-technical landscapes
- The innovation question: how & under what conditions do radical novelties become stabilised in socio-technical regimes?
- Modifications of the original scheme

## (continued)

- *The 'new institutionalism'*: how asymmetrical power, path dependencies, multiple interactions across time & space, specific contexts & histories shape the way that individuals & collectivities mobilise resources & interests in pursuit of their purposes
- 3 contributions: historical, rational choice, sociological

# How: theory-led

- Causal Process Tracing: within-case analysis that allows reasonable attribution of observed changes and their effects
- Declaration in advance of at least 2 explanatory theories
- Capacity for real-time observation & data registration
- Strengths & limitations

# Cross-case comparisons of ‘regularities’

- Thematic ‘building blocks’:
  - Role of innovation champions (within/external to CIGs)
  - External & contextual influences on functioning & forms of CIGs
  - Internal CIG dynamics (leaderships, memberships, task performance etc)
  - Interactions among ‘innovation platforms’
  - Inter-organisational & inter-personal power; exercise of power
  - Facilitation



# And

- Studies of:
  - Contributions of PMTs, national & regional coordinators to change in curricula, and change in research organisations' capacities to conduct this kind of experiential learning, action researching etc
  - Contributions of farmers and farmer organisations to the CIG's work and domain innovation (cocoa, Ghana)

# Some examples of how: first steps

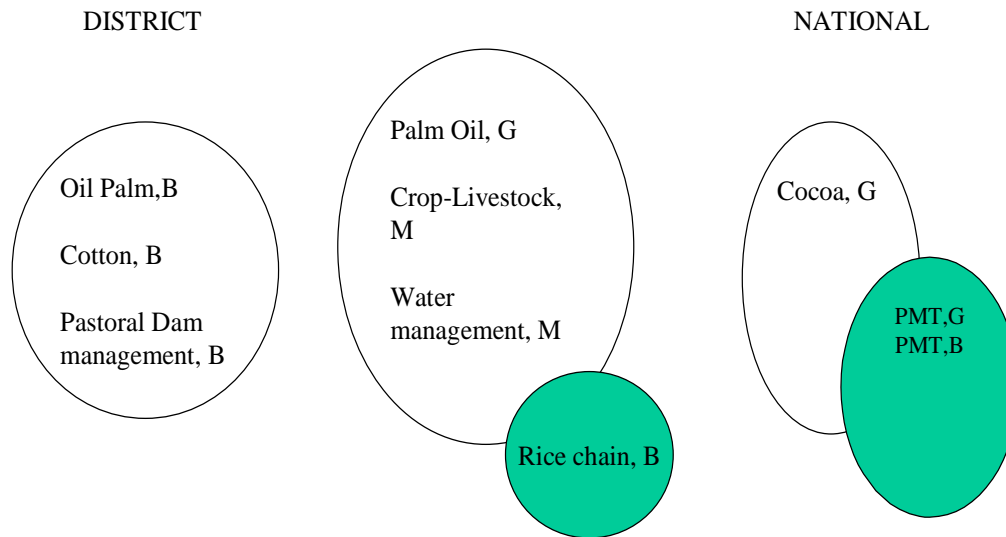
- Systematic institutional analysis: which institutions sustain 'problem situation'; which institutions to change if other outcomes desired; actions that might achieve this
- Systematic analysis of what actions taken, by whom, & how, to effect the prioritised institutional changes, and immediate effects
- Actor linkage diagrams
- Facilitation diaries
- Narratives

# Becoming more ambitious as experience matured

Ex: What institutional elements are the CIGs trying to change? [June 2012]

Rules	Norms	Socio-technologies	Practices	Incentives	Relationships	Rules of interpretation & knowledge development
<i>Legitimation</i>	<i>Legitimation</i>	<i>Material structures</i>	<i>Material structures</i>	<i>Material structures</i>	Significance, sense-making	<i>Significance, sense-making</i>
Palm oil, G Cotton, B Cocoa, G Oil palm, B Crop-Livestock, M Water management, M Rice chain, B Pastoral dams, B*  PMT, G*	Cotton, B Rice chain, B Pastoral dams, B Oil Palm, B  PMT, G	Oil palm, B Cotton, B Water management, M* Crop-Livestock, M*	Palm oil, G* Oil palm, B* Cotton, B* Cocoa, G Pastoral dams, B Crop-Livestock, M Rice chain, B*	Cocoa, G*	Cotton, B Water management, M Pastoral dams, B  PMT, G PMT, B	Cocoa, G Rice chain, B Crop-Livestock, M  PMT, G* PMT, B

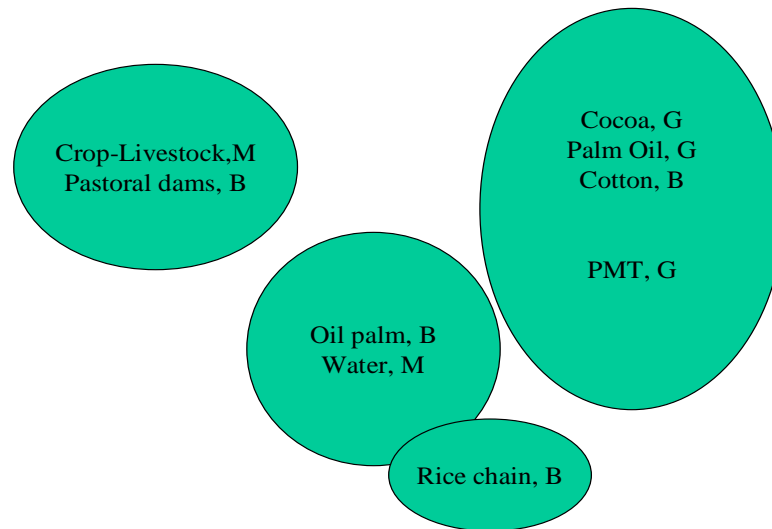
**Ex:Positioning CIGs in the Hierarchy of Governance [June 2012]**



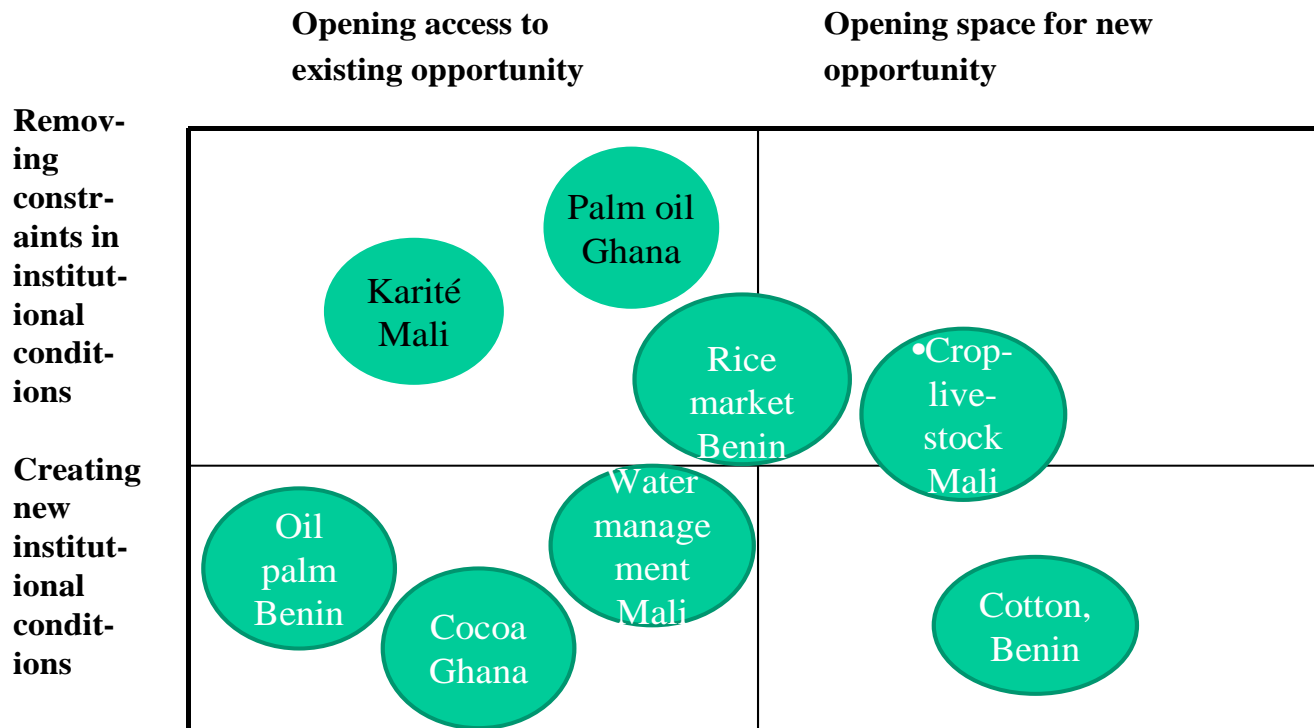
## Ex: Positioning the CIGS in the Innovation Space [June 2012]

Niche

Regime



# Ex: Positioning the CIGs; opportunity/institutional change [Oct 2012]



# Synthesis

- Our ambition!
- Systematic review:
  - Cross-case within country
  - Cross-case, all 3 countries
  - Programme-level
- How? Your suggestions are needed!