



## Midterm Status Report 2002 and Application for Continuation in 2003

For research projects financed by grants from  
The Directorate for Food, Fisheries and Agro Business  
under the Danish Ministry of Food, Agriculture and Fisheries

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### 1. Research program

Research in organic farming 2000-2005 (DARCOF II)

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### 2. Project title and number

Organic Agriculture in Social Entirety - Principles versus Practices (OASE)  
**DARCOF project no.: III.9**

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### 3. Head of project

Jan Holm Ingemann, Ph.D., Head of Department  
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### 4. Participating institutes

Aalborg University (AAU), Department of Economics, Politics and Public Administration  
Technical University of Denmark (DTU), IPL/Innovation and Sustainability  
(Besides, several institutes by way of the Delhi-panel re paragraph 5)

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## 5. Other project staff

### **Research group (WP1A, WP2A, WP3)**

Pia Johansen, project assistant

Saki Ichihara, research assistant

Chris Kjeldsen, PhD scholar (person-months await negotiations with DARCOF)

Ole Horn Rasmussen, research assistant

### **Partners attached to the research group (WP1A, WP2A, WP3) ('Delphi-panel')**

Hugo Alrøe, Postdoctoral Scientist, Danish Research Centre for Organic Farming

Finn Arler, Associate Professor, Dept. of Planning and Development, Aalborg University

Erik Christensen, Associate Professor, Dept. of Economics, Politics and Public Administration, Aalborg University

Jens Christensen, Associate Professor, Dept. of Development and Planning, Aalborg University

Carsten Daugbjerg, Associate Professor, Dept. of Political Science, Aarhus University

Claus Heinberg, Associate Professor, Dept. of Environment, Technology and Social Studies, Roskilde University

Bent Hindrup Andersen, Researcher, Danish Institute of Agricultural Science (DIAS), Research Centre Bygholm

Jesper Holm, Associate professor, Dept. of Environment, Technology and Social Studies, Roskilde University

Andrew Jamison, Professor, Dept. of Development and Planning, Aalborg University

Pernille Kaltoft, Senior Scientist, Dept. of Systems Analysis, National Environmental Research Institute

Jakob Magid, Associate Professor, Dept. of Agricultural Sciences, Laboratory of Plant Nutrition, Royal Veterinary and Agricultural University

Mette Meldgaard, Policy analyst, The National Association for Organic Farming

Niels Heine Kristensen, Associate Professor, Dept. of Technology and Society, Danish Technical University

Jeppe Læssøe, Senior Scientist, Department of Policy Analysis, National Environmental Research Institute

Eskild Holm Nielsen, Associate Professor, Dept. of Development and Planning, Aalborg University

Egon Noe, Researcher, Dept. Agricultural Systems, Danish Institute of Agricultural Science (DIAS), Research Centre Foulum

Jesper Rasmussen, Associate Professor, Dept. of Agricultural Science, The Royal Veterinary and Agricultural University

Arne Remmen Associate Professor, Dept. of Development and Planning, Aalborg University

Bodil Søgaard Associate Professor, Dept. of Agricultural Sciences, Organic Farming Unit, The Royal Veterinary and Agricultural University

Hanne Tanvig, Head of Centre, Danish Centre for Rural Research and Development

### **Research group (WP1B, WP2B, Danish Technical University (DTU))**

Niels Heine Kristensen, Associate Professor, PhD (responsible for WP1B & WP2B)

Thorkild Nielsen, Assistant Professor

Maria Bruselius, Research Assistant

NN, Research Assistant

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## 6. Project period (month, year)

Start of project: May 2002

End of project: January 2005

## 7. Midterm description of the project, its results and progress, and application for continuation in 2003

### A. Project summary

The basic principles and the actual evolution of organic agricultural practices in Denmark form the research field of this project. The point of departure stems from two provisionally established facts; (1) organic agriculture is stated as a comprehensive notion considering both man, society, and nature that is wholly juxtaposed to conventional/industrial segregated agriculture; (2) the trajectory of organic agriculture actually observed in the last decade indicates that, in many ways, organic agriculture has had a tendency to mimic conventional agriculture. Thus, the *first objective* is to explain the apparent mismatch between stated principles and the observed trajectory. This objective will basically be achieved by answering whether or not the causes can be traced to inadequate principles and/or to social constraints. The *second objective* is to suggest where and how solutions to dissolve the current mismatch can be found. The fulfilment of the latter objective depends upon the results of the first. *Further* it is our *third objective* to conduce to the evolution of comprehensive approaches enabling in-depth multidisciplinary analysis of complex problems.

The project will be accomplished by means of a research group in dialogue with key actors and informants, a multidisciplinary Delphi-panel, and international experts, while communication primarily will take place by means of publications and a closing seminar. The research group is responsible for descriptions, formulation of conceptual frameworks and analyses; in addition the group will function as administrator for the Delphi-panel. The latter will be involved both *ad hoc* to enlighten and inform the individual members of the research group in the ongoing processes and progress made and as a whole to ensure consistent and coherent descriptions, conceptions, and suggestions. The international seminars will be used to provide suggestions and assessments to ensure adequate quality in the process and deliverables.

The project is designed to facilitate a cognitive process where resolved questions and emergent issues deserved of further inquiry are interacting. The objectives and methodological frames are determined as indicated above while the descriptions of the two facts and the conceptual frameworks are the primary guidelines to be initially determined. They are initially *determined* because the project needs a conceptual basis for and descriptions of the problem to begin the process of inquiry. They are determined *initially* to enable an *open* search for a consistent and coherent recognition of the problem by means of the interplay between the research group, the Delphi-panel, informants, and international experts. Through this interplay the initial description and conceptual frameworks might turn up as inadequate and then be revised or supplemented according to current results.

The present description contains two interacting lines to the target. One as described above (WP1A, WP2A, and WP3) with organic agriculture as the starting point and another more focused on dialogue on the organic food industry (WP1B and WP2B). To facilitate the analysis of mismatches in the organic food-processing sector suitable methodological and substantial reflections will be a separate task in WP1B and WP2B.

**Table A.1: Work package list (from application)**

No.	Work package title	Participants*	Budget (1.000 DKK)	Start	End	Deliverable no(s):
1 A	Principles versus practices – history, position, dialogue	<u>AAU</u>	426	May. 2002	Aug. 2003	1,2,3,4,5,6

1 B	Principles versus practices – organic food sector	<u>DTU</u>	90	Aug. 2002	Feb. 2003	7
2 A	Basic explanations – history, position, dialogue	<u>AAU</u>	899	Jul. 2002	Aug. 2004	8,9,6,10, 11,12
2 B	Basic explanations – organic food sector	<u>DTU</u>	360	Feb. 2003	June. 2004	13,14
3	Basic solutions – history, position, potentials, dialogue	<u>AAU</u>	224	July 2003	Jan. 2005	15,16

- Responsible participants are underlined

Statement of budget is without own share of expenses: WP1A, WP2A, and WP3: DKr. 958,000; WP1B and WP2B: DKr. 249,550. Start and end are adjusted according to original application due to a delay in DARCOF procedures.

### Objectives and expected achievements

The project have two focuses where the major objective will be obtained through the multidisciplinary part (WP1A, WP2A, WP3) using a modified Delphi-method as a crucial methodological tool. But as the other part (WP1B, WP2B) will focus on the organic food processing sector – which till now have had minor research interest – that part will also make use of other dialogue methods as described in the end of the present section.

#### Organic agriculture – history, position, potentials, dialogue (WP1A, WP2A, WP3)

The *first objective* is to explain the apparent mismatch between principles and actual trajectory as indicated in section A. This objective will basically be achieved by answering whether the causes should be traced in inadequate principles and/or in societal/social constraints. The *second objective* is then to suggest where and how solutions to dissolve the current mismatch can be found. The fulfilment of the latter objective depends upon the results of the first. Further it is our *third objective* to conduce to the development of comprehensive approaches enabling in-depth multidisciplinary analysis of complex problems

The achievements are related to the objectives and reflected in the research process by revealing *history*, *position*, and *potentials* facilitated and communicated by means of *dialogue* aiming at consensus. The start of the research process is to establish fact 1 (organic agriculture as comprehensive notion) and fact 2 (tendency to mimic conventional agriculture), i.e., *history* and *position*, and to compare the two to determine to what degree the interim conclusion (mismatch) holds true. From the final conclusion we will raise the first research question related to the *first objective*. Based on the interim conclusion the research question is framed as below:

#### Initial research question 1

*Is the apparent mismatch between principles and practices caused by inadequate principles or by societal/social constraints?*

The question is based on two initial hypotheses:

#### Initial hypotheses

*(i) The principles have been formulated as antithesis in a specific historical context no longer of topical relevance*

*(ii) Organic agriculture has during its evolution in the recent couple of decades been locked in and caught in a social trap by general structures and institutions in society*

When the first question has been answered we will raise the second reflecting the *second objective* and revealing *potentials* based on history and position. Based on the initial research question 1 the second question is framed as below:

### Initial research question 2

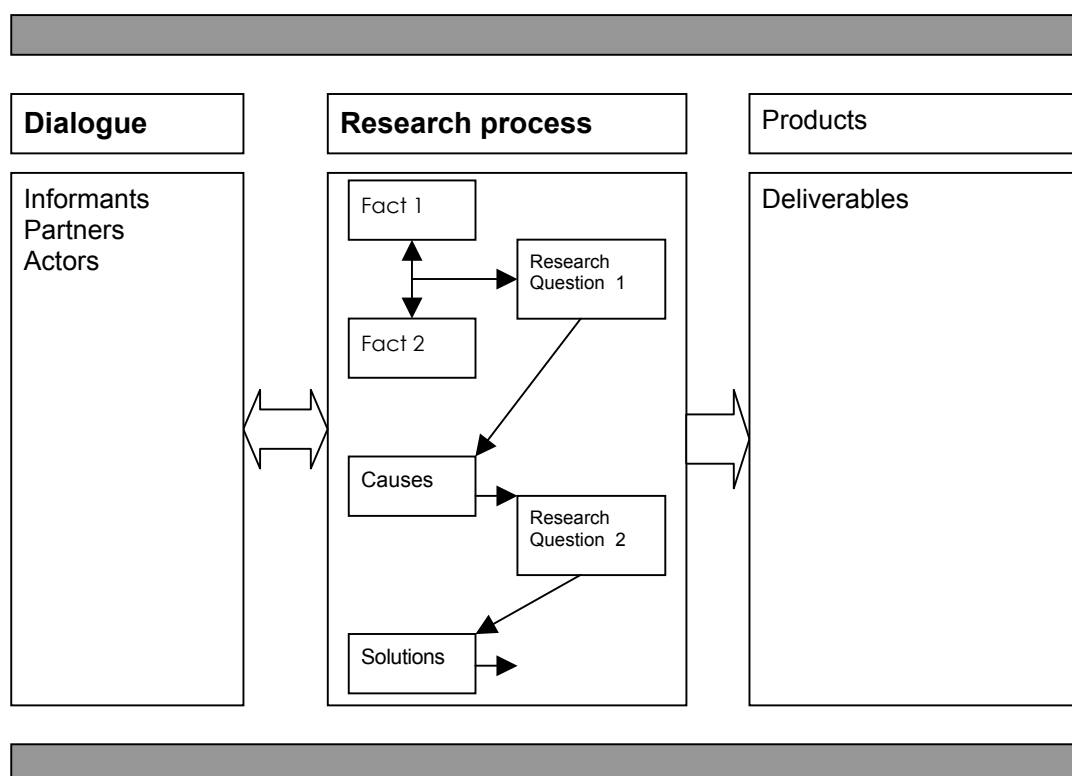
*How can the apparent mismatch be dissolved; i.e., by revision of principles and/or by societal/social changes?*

Both research questions will be answered in general and in abstraction in search for the basics.

The *third objective* will be achieved on two levels. (i) We will contribute to the development of conceptual frameworks to enable comprehensive understanding of the present research field involving social, natural-technical, agricultural sciences, and humanities. (ii) We will engage multidisciplinary competencies from the sciences mentioned in the current research process by means of a Delphi-panel.

The design is made to facilitate dialogue and interaction between the research group, the Delphi-panel, workshops including central actors, and international workshops in the process from fact 1 and 2 to research questions, conclusions, and solutions illustrated below.

### Main stages in the project



The process will be guided by means of the following scheduled major steps:

- 1) Description and documentation of fact 1 and 2. Comparison of the two. Preparation of final conception of research question 1. Accomplished by the research group, involving the Delphi-panel *ad hoc* and a workshop where central actors from the agro-complex and NGO's are represented. Published in 3 working papers plus a working paper with special emphasis on organic food sector.

- 2) Compilation of conceptual frameworks. Accomplished by the research group, involving the Delphi-panel *ad hoc*. Published in a working paper.
- 3) Delphi-panel and international experts called in to assess consistency and coherence of the results from step 1 and 2, besides opening discussion of step 5. Proceedings will be published.
- 4) Adjustments/revision of results from step 1 and 2 based on 3. Accomplished by the research group, involving the Delphi-panel *ad hoc*. Published in a report, an article for an international journal, and an article for a popular national journal.
- 5) Research to uncover basic causes based on 4 and on workshops involving a panel of central actors representing the agro-complex, consumers, administrators, and politicians. Accomplished by the research group, involving the Delphi-panel *ad hoc*. Published in a working paper.
- 6) Delphi-panel and international experts called in to assess consistency and coherence of results from step 5 compared to the steps 1 and 2, besides opening discussion of step 8. Proceedings will be published. International seminar with special emphasis on organic food sector. Proceedings and an article will be published.
- 7) Adjustments/revision of results from step 5 based on step 6. Accomplished by the research group, involving the Delphi-panel *ad hoc*. Published in an article for an international journal and an article for a popular national journal.
- 8) Analysis of potentials based on the results from step 7. Accomplished by the research group, involving the Delphi-panel *ad hoc*. Published in a working paper.
- 9) Closing seminar (open to all interested experts and actors) involving the Delphi-panel. Proceedings will be published.

### **The dialogue on the organic food industry (WP1B and WP2B)**

Another part of the research project is specifically aiming at identifying mismatches in the organic food industry – and in the food chain from producer to consumer.

The issue of processing, distribution and handling organic products is becoming more important as market is growing. But as this is still a very new area there are only a few experts in this field. But because of this growing importance - when analysing mismatches in the organic sector - this food circle will be included in the study, by supplementary methods and by involving representatives from companies, consultancies, certifying bodies, authorities, etc.

By the engagement of competencies for this area (organic food industry), the design of the Delphi study will be ensured skilled input covering the organic food sector.

Organising separate dialogue workshops and seminars specifically aimed at the organic food sector will address the dialogue directly to this sector. The combination of this more sector oriented perspective with the Delphi studies more trajectorial perspective will offer a very strong analysis of the mismatches in the organic food chain. As the research group at DTU already have a well-developed network with major actors in the organic food sector (authorities, companies, associations), this network will form the basis for the dialogue workshops and the subsequent seminars.

## C. Midterm results and progress

### C.1 Description (summary) of main results and conclusions

No main results or conclusions yet where only milestone 1 is accomplished.

### C.2 Fulfilment of deliverables and milestones

*Please note that the statements below include a general time lag according to original application due to a delay in DARCOF procedures.*

*(To be completed for each work package)*

WP number and title	Time schedule according to application	Deviations, if any*
1 A, Principles versus practices – history, position, dialogue		
Deliverables		
1 Working paper on fact 1	Sept 2002	
2 Working paper on fact 2	Sept 2002	
3 Working paper on comparison between fact 1 and 2	Dec 2002	
4 Article for international journal	July 2003	
5 Popular article for national journal	July 2003	
6 Proceedings from seminar I	July 2003	
Milestones		
1 Workshop I	Sept 2002	
2 Research question 1 formulated, preliminary	Jan 2003	
3 Seminar I (shared with WP2A)	Feb 2003	
4 Revision and adjustments accomplished	July 2003	

*\* Deviations are to be further discussed in D*

WP number and title	Time schedule according to application	Deviations, if any*
1B, Principles versus practices – organic food sector		
Deliverables		
7 Working paper on key-informants assessment	Feb 2003	
Milestones		
M 5 Seminar with organic food sector	Mar 2003	
M 6 Working paper accomplished	Apr 2003	

*\* Deviations are to be further discussed in D*

WP number and title	Time schedule according to application	Deviations, if any*
2A, Basic explanations – history, position, dialogue		
Deliverables		
6 Proceedings from seminar I (shared with WP1)	July 2003	
8 Working paper on conceptual compilation	Feb 2003	
9 Working paper on uncovered causes	Feb 2004	
10 Proceedings from seminar II	July 2004	
11 Article for international journal	July 2004	
12 Popular article for national journal	July 2004	
Milestones		
7 Presentation of compilation at seminar I (shared with WP1)	Feb 2003	
8 Workshop II on basic causes	Sept 2003	
9 Preliminary formulation of research question 2	Dec 2003	
10 Seminar II, including opening discussion on WP 3	Mar 2004	

11 Revision and adjustments (including research question 2 and submission of proceedings) accomplished	July 2004	
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*\* Deviations are to be further discussed in D*

WP number and title	Time schedule according to application	Deviations, if any*
2 B, Basic explanations – organic food sector		
Deliverables		
D 13 Proceedings from International Seminar	May 2004	
D 14 Article for International journal	June 2004	
Milestones		
M 12 Dialogue workshop	Mar 2004	
M 13 International seminar	Apr 2004	

*\* Deviations are to be further discussed in D*

WP number and title	Time schedule according to application	Deviations, if any*
3, Basic solutions – history, position, potentials, dialogue		
Deliverables		
15 Working paper on potentials and solutions	Dec 2004	
16 Proceedings from closing seminar, including assessment of methods	Jan 2005	
Milestones		
14 Closing seminar	Dec 2004	
15 Proceedings published	Jan 2005	

*\* Deviations are to be further discussed in D*

#### **D. Description of deviations and subsequent adjustments of plans**

Deviations are till now only caused by a general delay in DARCOF procedures, which implied a general five-month time lag according to our original application.

#### **E. Project publications and other products**

1. Articles in international, scientific journals with review procedures
2. Papers presented at congresses, symposiums, etc.  
Pia Johansen and Saki Ichihara: Discussion Paper for "Changes in interpretation of basic principles" – Draft. Paper presented at IFOAM Congress, Victoria in August 2002.
3. Reports, articles in agricultural journals, etc.
4. Oral presentations, public meetings, field days, etc.  
Oral presentation at the IFOAM Congress re point E 2 above. Besides, field work at the same congress.  
Oral presentation at North Sea Commission, Business Development Group Meeting, August 2002.

**F. Scientific education**

Lecture at summer school course: “Research Methodologies in relation to Principles and Practice of Organic Agriculture” at Research School for Organic Agriculture and Food Systems, October 2002.

**G. National and international cooperation**

National and international colleagues have been called to pay attention to the OASE website at the address: <http://www.socsci.auc.dk/oase/>. National cooperation is further facilitated by means of workshop I (milestone 1). Further, OASE consider the possibility to participate in an international project based on OASE but by participation of partners from countries members of The North Sea Commission and partly funded by INTERREG.

**Critical reflection on the project**

As the project started in May it is impossible at the present stage to provide meaningful critical reflections.

## 8. Budget

### A. Account for any change in budgets

Changes only occur due to the general delay in DARCOF procedures as stated above.

### B. Budget for the whole project (1.000 DKK)

Total consumption of funds from DARCOF and expected consumption this year and coming years

Year:	Consumption before 2002	Expected consumption 2002	2003	2004	2005	Total
Man-months						
Scientific personnel		28	30.5	14	0.5	73
Technical personnel		1.4	5.9	1.9	0.5	9.7

Year:	Consumption before 2002	Expected consumption 2002	2003	2004	2005	Total
Salaries		443	608	315		1366
Scientific personnel						
Technical personnel						
Other operational costs		51	190	59		300
Equipment						
Others (please specify)						
Direct costs						
Indirect costs (20% of direct costs)		99	160	74		333
Total		593	958	448		1999

**Comments:**

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Statement of man-months includes own expenses while budget only states expected funding from DARCOF. Own expenses in monetary terms are: WP1A, WP2A, and WP3: DKr. 958,000; WP1B and WP2B: DKr. 249,550)

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## 9. Signatures and stamps

Name	Institute	Date	Signature
Head of project Jan Holm Ingemann	Aalborg University, Dept. of Economics, Poli- tics and Public Admini- stration	2002-09-30	

## Appendix I. Detailed budget

### A. Budget for each participating institute (1.000 DKr)

Name of Institute and department: Aalborg University, Department of Economics, Politics and Public Administration

Year:	Consumption before 2002	Expected consumption 2002	2003	2004	2005	Total
Man-months						
Scientific personnel		14	21.5	10	0.5	46
Technical personnel		1	5.3	1.5	0.5	8.3

Year:	Consumption before 2002	Expected consumption 2002	2003	2004	2005	Total
Salaries		375	459	247		1081
Scientific personnel						
Technical personnel						
Other operational costs		36	120	54		210
Equipment						
Others (please specify)						
Direct costs						
Indirect costs (20% of direct costs)		82	116	60		258
Total		493	695	361		1549

**Comments:**

Name of Institute and Department: Technical University of Denmark, IPL/Innovation and Sustainability,

Year:	Consumption before 2002	Expected consumption 2002	2003	2004	2005	Total
Man-months						
Scientific personnel		4	9	4		17
Technical personnel		0,4	0,6	0,4		1,4

Year:	Consumption before 2002	Expected consumption 2002	2003	2004	2005	Total
Salaries		68	149	68		285
Scientific personnel						
Technical personnel						
Other operational costs		15	70	5		90
Equipment						
Others (please specify)						
Direct costs						
Indirect costs (20% of direct costs)		17	44	14		75
Total		100	263	87		450

**Comments:**