

博士論文審査結果報告
Report on Ph.D. / Doctoral Dissertation Defense

National Graduate Institute for Policy Studies (GRIPS)

政策研究大学院大学

Professor INTARAKUMNERD Patarapong

委員会を代表し、以下のとおり博士論文審査に合格したことを報告します。

On behalf of the Doctoral Dissertation Review Committee, I would like to report the pass result of the Doctoral Dissertation Defense as follows.

プログラム名 Program	科学技術イノベーション政策プログラム Science, Technology and Innovation Policy Program	
学位申請者氏名 (ID) Ph.D. Candidate (ID)	Go Kevin Christopher Liao (DOC18153)	
Dissertation Title 論文タイトル (タイトル和訳)	Fostering Further Participation in Agri-Food Business Global Value Chains: A Multiple Case-Study on Intermediary Roles and Capabilities in the Philippine Rice and Mango Industries 農産物ビジネスのグローバル・バリューチェーンへのさらなる参加を促進：フィリピンの米とマンゴー産業における仲介者の役割と能力に関する複数の事例研究	
学位名 Degree Title	博士 (公共政策分析) Ph.D. in Public Policy	
論文提出日/ Submission Date of the Draft Dissertation	2022年3月22日/ March 22, 2022	
論文発表・審査会開催日/ Date of the Defense and the Doctoral Dissertation Review Committee	2022年5月13日/ May 13, 2022	
論文最終版提出日/ Submission Date of the Final Dissertation	2022年5月23日/ May 23, 2022	
審査委員会/ Doctoral Dissertation Review Committee	主査 Main referee	INTARAKUMNERD Patarapong
	審査委員 Referee	飯塚 倫子 IIZUKA Michiko
	審査委員 Referee	藤田 麻衣 日本貿易振興機構(JETRO) アジア経済研究所 FUJITA Mai Institute of Developing Economies Japan External Trade Organization (JETRO-IDE)
	審査委員 (博士課程委員会) Referee (Doctoral Programs Committee)	CHEY Hyoung-kyu

※ タイトルが英文の場合、文部科学省に報告するため、和訳を付してください。Please add a Japanese title that will be reported to MEXT.

1. Summary of Defense and Evaluation

Developing countries are facing the problems of how to gainful inclusion, further participation and upgrading in global value chains. In order to do so, they need to develop their innovation systems. Nonetheless, the process is not automatic and can be cumbersome. The so-called intermediaries are needed. There are organizations that go-between for two or more parties to aid in the innovation and upgrading process, create long-lasting relationships, and help overcome barriers to innovation and upgrading. Though there were previous studies on intermediaries, a literature gap remains in understanding how they perform roles and build key-capabilities, under the co-evolution of innovation systems and global value chains. The thesis tries to fill in the gap by studying the roles and capabilities of intermediaries in helping micro-, small-, and medium- enterprises (MSMEs) in agri-food business (AFB) industries in the Philippines to access, future participate and upgrade in global value chains. Rice and mangoes industries are selected as they represent domestic market-oriented and export market-oriented respectively. The study also asks three questions that also form the three independent variables assessed in the dissertation:

1. How do differences in organization type affect the roles and key-capabilities of intermediaries?
2. How do differences in value chain segment support affect the roles and key-capabilities of intermediaries?
3. How do differences in their partners' primary market orientation (export- or domestic-market) affect the roles and key-capabilities of intermediaries?

Multiple case study method was deployed. The data collection methods used were semi-structured interviews, focus group discussions, researcher observations, and secondary desk research. The candidate initially conducted a pilot interview with 11 industry experts from November 2019 to January 2020 to better understand both industries and select possible innovation intermediary participants. The data gathering proper was done from March 2020 to November 2021. A total of 43 interviews and two focus group discussions were conducted under different modes.

The findings are as follows: similar organization types perform brokerage, consultancy, mediation, and resource provision in many similar ways, with several differences influenced by five factors: mandate and policy, partner requirements, export consideration, intermediation experiences, and crises and learning events. In value chains, more roles are performed in the input- and knowledge-heavy segments of input supply, milling for rice, post-harvest for mangoes, and the fresh and processed product split segments, but consultancy and mediation are predominantly performed throughout both value chains. For market orientation, public sector intermediaries in both industries need and are expected to perform all four roles, especially brokerage and resource provision, but the private sector may be better suited in performing consultancy and mediation of markets. Knowledge-building and management capabilities are foundational in all three assessed variables, and that external networking and internal communication capabilities are more applied and built as the intermediaries perform their roles. Moreover, taking an export- or globally-oriented mindset generates more marked variations in key-capability-building mechanisms when considering differing market orientations.

2. Dissertation overview and summary of the presentation.

Following this introductory chapter, Chapter 2 presents a review of related literature on global value chains and innovation systems and how these two systems relate to one another to create their co-evolutionary relationship. Then, a comprehensive discussion on innovation intermediaries is offered, focusing on their different organization types, role performance, and key-capability building mechanisms. Chapter 3 houses the research methodology of the dissertation. Chapter 4 provides the broader context for agriculture, Agri-food business, and innovation system of the Philippines.

Chapters 5 and 6 are the individual case study reports on intermediaries in the Philippine rice and mango industries. Chapter 7 presents the cross-case analysis, which begins with a comparison of the issues, policy responses, and value chains of the two industries. The analysis proper is set in a way to answer the three sub-questions posed in this study. Finally, Chapter 8 offers the main conclusions, theoretical contributions, and policy implications of this study.

This study contributes significantly to integrating the innovation intermediary concept and phenomenon into the Global Value Chain and Innovation System co-evolutionary relationship by applying and assessing the effects of organization type, value chain segment support, and market orientation differences on intermediary roles and key-capabilities. For roles, the study finds five factors that influence their performance and it proposes a novel way of assessing intermediation roles in value chains. Moreover, it observes that public and private sector intermediaries have certain to play in their industries but also finds that there appears to be an overreliance on the public sector in the two cases studied. For key-capabilities, the study finds that four factors influence the building and application of these, with the export- or globally-oriented mindset generating more marked variations in key-capability-building mechanisms between market orientations. Finally, it finds evidence to distinguish human resource development as the fifth key-capability, and motivation as the third underlying capability.

3. Evaluation Notes from the Doctoral Dissertation Review Committee (including changes required to the dissertation by the referees)

The examination went well. The dissertation received the score 5. The candidate did not receive any major comments which required substantial revisions. The comments can be grouped into three issues:

1. The thesis should clearly state its key and concise message from the beginning to allow readers to understand the thrust of the thesis easier.
2. The study claims several theoretical contributions. It should concentrate only one or two.
3. There are some points which need to be clarified.
 - The study used the words ‘innovation enabling organization’ and ‘innovation intermediaries’ interchangeably. It made readers confused.
 - Roles of intermediaries in the literature are beyond brokering and mediating. It includes consultancy and resource providing. This is difference from common understanding and need to be emphasized.
 - The co-evolution between global value chains and innovation systems were somehow written but it should be highlighted at the beginning case studies of the two sectors (rice and mangoes).

The candidates responded relatively well and satisfactorily explained to referees how he would conduct revisions.

4. Confirmation by the Main Referee that changes have been done to the satisfaction of the referees and final recommendations

About one week after the defense, the candidate submitted the revised manuscript to the main advisor along with a note that described changes in response to the comments and questions at the defense. The main adviser checked the revised version, together with a plagiarism check, and found that the revisions were made appropriately. Still there are some minor issues. So the candidate was told to correct them. On May 23, 2022, the final version was submitted, and the main adviser found it satisfactory.

The doctoral dissertation review committee recommends that GRIPS award the degree of Ph.D. in Public Policy to Mr. Kevin Christopher L. Go.