

Minutes of the 1st Working Group Meeting in Freiburg im Breisgau, 20/21 March 2000

Place: Tagungshotel Kolping, Karlstr. 7, Freiburg, Germany
Time: Monday, 20 March 14.00 – 18.00, Tuesday, 21 March 2000, 9.10 – 12.30
Participants: Heiner Schanz (Netherlands; Chair of WG1), Heikki Pajuoja (Finland; Vice-Chair of COST-E19), Johan Barstad (Norway), Kurt Bisang (Switzerland), Gerard Buttoud (France), Peter Elsasser (Germany), Olav Gisle-rud (Norway), Josef Hackl (Austria), Frank Hofmann (Germany), Karl Hogl (Austria), Pentti Hyttinen (Scientific Committee), Junichi Iwamoto (Japan), Stefanie Linser (Germany; Observer), Noel Lust (Belgium), Georgios Malamidis (Greece), Peter Mayer (Austria), Ulrike Menges (Germany; Observer), Hugh Miller (U.K.), Ine Neven (Netherlands), Mi-chael Pregernig (Austria), Jürgen Pretzsch (Germany), Simon Pryor (U.K.), Margaret Shannon (USA), Jose-Maria Solano (Spain), Ilpo Tik-kanen (Finland), Dimitrios Trakolis (Greece), Lorenzo Venzi (Italy)

Session I - Monday, 20 March 2000, 14.00 – 18.00

Minute-taker: Mr. Bisang

Opening

The newly appointed Vice Chairman of the COST Action E19, Mr. Pajuoja is welcoming the participants.

The chairman of WG1, Mr. Schanz is opening the first working group meeting. The proposed agenda is approved. The adaption of a work plan for WG1 is defined as the main aim for the working group meeting. This includes a presentation of the planned/ongoing projects in the respective signatory countries in relation to the topic of WG1. It is stressed out in the beginning by the chairman that the outcome of the COST-Action will highly depend on the contributions of the different participants and their commitment.

The rationale, research questions and problems of WG1 are briefly recalled. In his introductory presentation Mr. Schanz points out two main problems in the work of the WG1: There are two main problems in fulfilling this task:

- The first one is the lack of a commonly recognised and operational definition of national forest programmes (NFP). Within the IPF process NFPs have been described rather vaguely as 'a generic expression for a wide range of approaches to the process of planning, programming, and implementing forest activities in countries'. Furthermore the concept of NFPs is still being deliberated at various levels, and the actors who are involved or are potentially affected are apt to have very tactical viewpoints on these issues. This problem is shared by Working Group (WG) 2 of the COST-Action E 19.
- The second problem has to do with their characteristics: NFPs have been characterised in more detail through the provision of basic principles or elements in different initiatives and processes, such as for example in the FAO publication entitled 'Basic Principles and Operational Guidelines' or within the IPF-process (specific elements and principles or key elements). These characterizing elements, however, do not contain identical formulations and neither does the number of given characteristics correspond between the different processes. As with the concept of NFPs itself, the formulation of these characteristics is also rather vague.

In order to overcome the difficulties associated with the lack of a common understanding of NFPs and to avoid fruitless discussions on definitions the chairman suggests that instead the underlying rationality of NFPs, namely that of policy planning, forms the basis and reference for the work programme of WG1. This suggestion is based on the fact that however vague the principles and elements of the NFP concept may be in international deliberations, they are essentially based on the theoretical characteristics of policy planning. Deeper insights into the policy making process have thereby resulted in a shift from the old paradigms in policy planning prevalent in the 60's and 70's to the modern paradigms of policy coordination. In principle, therefore, the underlying rationales of NFPs seem not only able to help bridging the problem of a missing joint definition but additionally to allow for insights from contemporary political science in the process of analysis.

In order to overcome the difficulties with the manifold and vague characterisations of NFPs Mr. Schanz furthermore points out that a working agreement concerning characteristic elements needs to be sought. The elements as described in the IPF process [specific elements (UN-CSD-IPF 1997, § 3) and principles or key elements (UN-CSD-IPF 1997, §10)] seem thereby to provide an excellent starting basis, as they do not only reflect the input of the FAO basic principles and guidelines, but are the most comprehensive set. They also stayed relatively constant over a longer period of deliberations and

have also been taken up by the IFF process. To keep the working load manageable and in order to ensure the achievement of the MoU-objectives for WG 1 Mr. Schanz suggests that working programme of WG1 concentrates on the four core elements, as identified in the Freiburg-seminar as well as in the Tulln-workshop of the Ministerial conference on the the Protection of Forests in Europe, namely:

- Participatory mechanisms
- Conflict resolution schemes
- Intersectoral approaches
- Iterative processes

These elements could than also be the main subjects of the different COST meetings in 2001 and 2002. The meeting in October 2000 can serve to discuss in depth why the procedural elements are important and what impacts they probably have for policy planning.

As a basis for the co-operation in WG1, Mr. Schanz would like to give "homework"-questions to allow for a comparative perspective between the different countries within WG 1. Dissemination and publication arrangements are briefly discussed. It is suggested that the results would be incorporated in the proceedings as well as all presented papers. Minutes should be made available on the COST-E19 internet homepage.

Discussion

Mr. Buttoud points out that it will not be enough just to summarize the forest programs in different countries and to show what they have in common. Far more important will be the establishment of a national forest program based on scientifically sound theories and methodologies. In his view we should not describe the already existing practices in the respective countries, but add a theoretical dimension to the discussions

Mr. Pretzsch is wondering about the empirical bases of the proposed working programm and, based on his experiences in Germany and overseas, expresses his fear of resting in an ivory tower.

Mr. Barstad mentions that the literature on political planning can be easily incorporated in the proposed work plan. Nevertheless he also points out that the working programme should be also based on empirical evidence in praxis.

Mr. Solano states that it is very difficult and maybe not necessary to make a plan who would work for all of the countries in the European Countries. He therefore argues to keep the subject wider.

Mr. Elsasser responds on it by pointing out that with the description in the IPF-/IFF-deliberations we have a blueprint which keeps the subject already wide open..

Mr. Gislerud asks if it wouldn't be better to summarize what already exists in the different countries.

Mr. Schanz responds that the proposed working plan does not excluded such a comparison and that this could be one of the first "homework"-activities for the Spain session.

Mr. Lust states that the secondary objectives should be underlined with the primary objectives.

Mr. Mayer argues that there should be also some time for other elements beside the four proposed core elements. It is important to carefully look at the links between the different elements. Furthermore, the group should aim at scientific insights - it should not be the goal to develop a blueprint for national forest programs.

Ms. Neven points out that one should not be to afraid of using the proposed core elements for structuring the WG1 working programme, as they also reflect insights from empirical research on public policy.

Mr. Pryor agrees that the core elements are interesting, but one should additionally incorporate the aspect of quantification given the relevance of quantitative aspects to policy makers.

Mr. Tikkanen points out that the procedural aspects are interesting and important, and that there are already other organizations working on quantifiable aspects like indicators for sustainable forest management. From his point of view the success factor for implementation form another important subject.

Mr. Hackl thinks that it would be good to concentrate on aspects of evaluation and the success-factors for forest policy plans, as many countries already started establishing national forest programs.

Mr. Solano states that policy-makers want to know from the scientific community, which are the question one has to addresses in forest policy and what are the most common answers.

The chairman concludes that there seems to be a consensus to focus the working programme more on theoretical questions than on descriptions of what is already there. Nevertheless throughout the working programme it should always be tried to establish a link to the existing experiences in the various countries. A comparison of what is already

there can also give insights into questions of implementation, which are the task of WG 2. A further conclusion is the wish to open the subject of the working plan more than the four proposed core elements are expressing it now.

Overview on NFP-related research projects in respective signatory countries

The discussion is followed by a presentation of research projects in the respective signatory countries related to the topic of WG1. Directly related projects are thereby:

- *Austria: Austria's National Forest Programme* (Mr. Voitleithner, presentation: Mr. Pregernig) This project wants to contribute an operational definition of "sustainable forest management" and of basic principles underlying NFPs. Therefore, the existing sustainability program of Austrian forest policy will be compared to these basic principles. A further research question is how the basic principles found are structuring the relations between the different political actors and the content of SFM.
- *Switzerland: National Forest Programs: Requirements of Contents and Procedure exemplified for Switzerland* (Mr. Zimmermann, presentation: Mr. Bisang). More or less the same like the COST-Action E19, but for Switzerland only. The rationale is to develop guidelines for the formulation and implementation of a NFP in Switzerland. Taking the literature on environmental planning into account, some possible contents and procedures of a NFP will be formulated. A comparison of these points to the existing Swiss forest policy will reveal lacking points. Talking to federal, cantonal and local policy-makers, the needs for and possible ways of introducing these elements will be clarified.
- *Germany: Implementation of international forest policy treaties in a federal context* (Mr. Volz, presentation: Mr. Hofmann) The main focuses are on implementation and the multi-level-aspect. Research will be done on how different actors view their role in implementation and the question, if federalism rather is an advantage or disadvantage for the implementation. In Germany, one of the problems of federalism is that the Länder are often governed by the political party that is not in power on the federal level.
- Another related project is looking at federal state forest programs in Germany (presentation: Mr. Elsasser)
- *The Netherlands: Intersectoral co-ordination and multifunctional forestry* (presentation: Mr. Schanz) The project focusses on mechanisms, procedural requirements and institutional arrangements in the intersectoral coordination of forest policy issue. Special attention is given to aspects of policy planning within the context of the development of the new Dutch Nature Policy Programme.

In a second round a more general overview on *developments in research and politics* related to the task of the WG1, which could serve as a bases for the working programme are presented

- In Germany (presentation: Mr. Pretzsch), a lot of studies are done about the nations in transition, but also sectorial studies for developing countries like India or Thailand. Mr. Pretzsch is thereby mainly interested in methodological questions.
- The USA (presentation: Ms. Shannon) have introduced forest programs with more or less the same criteria as they are now discussed within the IPF/IFF-context. Mrs. Shannon's main interest lies in the participatory mechanisms.
- In the U.K. (presentation: Mr. Miller) quite some research is done on state forest policy. Particular emphasis is given to the cultural and social aspects of forest policy and forestry, and participation, but also to forest economics like the development of small and medium enterprises or of timber trade with countries in transition. From the NFP-point-of-view, the research about biodiversity and re-naturalization of old timber areas could be of interest.
- Japan (presentation: Mr. Iwamoto) already has a traditionally oriented forest program and there seem to be no intentions to change that. This might be due to weak non-governmental organizations and a strong bureaucracy.
- In the Netherlands (presentation: Ms. Neven), quite some research is done in relation to the topic of WG1, e.g., on policy instruments, policy-networks, community forestry, urban forestry, social and economical equilibrium of forest use, and conflict management. It is also pointed out to possible contributions from scientists out of the general scientific disciplines.
- Spain (presentation: Mr. Solano) has just finished a national forest program which could serve as an excellent input into the work of WG1.
- Mr. Tikkannen in his function of with World Bank, points out that the bank has done a lot of relevant research, for example on forestry markets, resource use of indigenous people, corruption or forest conservation.
- Norway (presentation: Mr. Gislerud and Mr. Barstad) has several relevant projects. One ongoing study deals with the impacts of changes in main frame conditions on the Norwegian forest sector. Another study deals with institutional changes in the Murmansk region. Other studies are done on regional and local level, for example about participation, competence building, intersectoral strategies and rural development.

- France (presentation: Mr. Buttoud) has a national forest program since this year, but it's relevance is heavily questioned by the damages of the storm "Lothar". There is a project to study the consequences of storms for the national program. Another project looks for the mountain forestry. A third one is about the lessons learned from bad planning in developing countries.
- In Belgium (presentation: Mr. Lust) the word of national forest program is hardly known, the IPF elements neither. Nevertheless there is not a lot of interest in this kind of research. There is a first draft for a long-term forestry plan from 1993, which never entered the political discussion. A second draft about SFM was presented in 1997, which was more elaborated and taken more seriously. But there was no money giving for an implementation of any measures proposed. The attitudes of private forest owners are also under study.
- Italy (presentation: Mr. Venzi): As policy development and implementation for agriculture and forestry has been decentralized, there is no more national ministry in charge. Usually, forestry is a part of the environmental office which takes little concern for forestry. In terms of research, so far little interest has been shown in socio-economic issues.
- In Greece (presentation: Mr. Trakolis) there are no ongoing research projects which are specially related to national forest programs, although policy planning is an important issue, foremost on regional and local level.
- The related research projects in Austria (presentation: Mr. Hognl and Mr. Hackl) are foremost focussing on institutional and organizational aspects. There is a ongoing project about the evaluation of forest policy in Austria by using the pan-european criteria and indicators of sustainable forest management. A second one is about the evaluation of sustainable forest management policy in Austria. Furthermore the strategy for biodiversity is evaluated.

In his concluding remarks the chairman points out that the number of directly topic-related research projects are rather limited, whereas a large number of projects do exist which in one way or another have certain links to the topic of WG1. This must be interpreted as a difficulty concerning the successful fulfillment of the WG1-objectives, which has to be taken adequately into account when adapting the working programme. Mr. Pajuojä closes the first session.

Session II - Tuesday, 21 March 2000, 09.10 – 12.30

Minute-taker: Mr. Pregernig

Introduction

The chairman opens the second session with a summary of the discussion of the first session on Monday, 20 March 2000:

Summary of discussion

- WG should provide theoretical insights, thereby contributing to discussion not only comparing existing experiences, but take a step forward through developing methods
- 4 core elements suitable to give structure to work plan
 - interpretation of other elements
 - stay more open / flexible
- Fear: loosing / missing empirical basis

Summary of project presentations

- only a few directly related projects, mainly within the scope of the whole Action
- several related projects, however not specially related to IPF elements
- Questions:
 - incorporating insights from general disciplines
 - how to deal with insights / empirical basis outside Europe

Discussion of the Work Plan

Principles and elements of NFPs

Mr. Lust points out that the principles and elements of NFPs are still unclear (e. g. the principles and elements given in the proceedings of the Tulln workshop do not correspond with those in the Memorandum of Understanding). The Working Group has to come to a decision about which principles and elements we are speaking about.

Mr. Elsasser replies that the terms used in the international process are often very vague. But this does not matter as long as the Working Group manages to agree on the core elements for its work.

Mr. Solana emphasises that the elements of an NFP do not have to be the same in all countries because there are national differences.

Mr. Pretzsch recommends not to spend too much time on definitions. On these conceptual question we must get support or input from outside.

Mr. Lust stresses that we cannot start this Action before knowing what elements are meant. In the Memorandum of Understanding more and other elements are mentioned.

Mr. Schanz replies that the Memorandum of Understanding was written in a phase (about 1997) when the development of NFPs was still unclear. Already Egestad (in the proceeding to the Freiburg conference in 1998) emphasised that there is a host of different elements and principles characterising an NFP.

The Working Group agrees upon taking the results of the Freiburg conference as a basis for its work.

Four "core elements"

Mr. Schanz points out that the 4 "core elements" (as they are mentioned in the preliminary Work Plan) must not be mixed up with the principles and elements as they are stated for example in the IPF and IFF documents but they are to be understood as "fields to look at".

Mr. Buttoud expresses the opinion that the 4 core elements refer to the theory of communicative action. One has to keep in mind that this theoretical approach does not fit into a rational choice framework and with that neither in the aspect of policy planing. With this inherent contradiction the Memorandum of Understanding cannot be fulfilled.

Mr. Tikkanen qualifies this opinion by pointing out that the old and the new paradigm of policy planing must not be seen as mutually exclusive. A rational planing approach has to be kept in mind even if we are referring to the new paradigm.

Mr. Schanz explains that the rationality behind the 4 core elements is one of the points which will have to be discussed in the Spain meeting.

The term "old vs. new paradigm" is not useful because the old is not gone. The differentiation is thus only used as an analytical frame of reference.

All 4 core elements will be discussed with reference to the policy planing approach.

Mr. Lust states that there is some overlapping and interaction between the first three elements (participation, conflict resolution, intersectoral approach).

Mr. Buttoud replies that there is no risk of overlapping. For example, "conflict resolution" is very concrete and technical; only "participation" is a bit problematic because the term is still so inconcrete.

Mr. Mayer points out that there is no clear conceptual understanding of NFPs. This can also be seen as a kind of chance for this COST Action in the sense that "we can do something different".

"Participation" seems to be the most critical thing. It doesn't make sense to discuss this topic in only one session; with that we lose the connections to the other elements.

The other principles and elements (e. g. those mentioned in the IPF/IFF documents) should not be forgotten.

Mr. Hogl proposes to change the formulation "Interrelations with *other core elements*" in the provisional Work Plan into "Interrelations with *all other elements*".

Mr. Barstadt stresses that participation is a very complex theme with a lot of theoretical implications. It could make sense to replace the term "participatory *mechanisms*" (which is a quite narrow concept) with the term "participatory *approaches*".

Mr. Schanz states that the 4 core elements can be seen as "conceptual essentials". It will be our task to reflect these essentials before the background of the principles and elements as they are defined in the political process.

Mr. Pretzsch thinks that the aspect of vertical integration (or multilevel government) is still missing in the work plan. Mr. Schanz replies that multilevel government is dealt with in Working Group 2. In Working Group 1 aspects of multilevel governance will nevertheless underlay all 4 essentials.

Mr. Pryor thinks that vertical integration should be brought in. Private-public partnerships might also be of interest.

Mr. Hackl stresses that communication aspects are still missing.

Sequential order of 4 "essentials"

Mr. Schanz points out that deciding on the question when to discuss which essential we should keep in mind the Seminars (when external speakers can be invited).

The theoretical basis for our work (which is the rationale of policy planning in a modern understanding) has to be clarified in the beginning (Spain meeting).

Mr. Buttoud asks if there isn't a discrepancy when we decide to discuss the theoretical frame in Spain when at the same time the further structure of the Action is already fixed.

Mr. Pryor and Mr. Hackl propose to combine participation with conflict resolution schemes because there is a strong interdependence.

Mr. Buttoud points out that the aspect of "negotiation" is still missing. Participation is often only used as an alibi. By combining participation with conflict resolution schemes we could bring in negotiation.

Also Mr. Solano thinks that discussing the 4 elements separately does not make sense. We should discuss two elements at a time and therefore would have more time for implementation questions.

In subsequence of the discussions it is agreed not to talk about (core) elements any longer to structuring the work programme, but focusing on theoretical directions ("approaches") in relation to policy planning instead. This avoids the risk of narrowing down the discussions in the upcoming meetings on isolated NFP-elements as described in the IPF-/IFF-process. It furthermore allows to incorporate scientific insights from other fields, thereby contributing to the agreed aim of the WG1, namely providing theoretical insights, and not only comparing existing experiences, in the process of fulfilling the objectives of WG1 as stated in the MoU of the COST-Action E 19. Finally, the Work Plan for Working Group 1 is agreed as follows:

Aim: Providing theoretical insights, not only comparing existing experience	
Spain (Autumn 2000)	Policy planing, co-ordination, preparing theoretical / conceptual framework (Seminar)
Scotland (Spring 2001)	Participatory approaches
Norway (Autumn 2001)	Collaborative approaches: negotiation; communication
Finland (Spring 2002)	Intersectoral approaches (Seminar) ^{*)}
Portugal (Autumn 2002)	Procedural approaches: iterative; adaptive; learning (Seminar)
Austria (Spring 2003)	Synthesis

^{*)} ... still to be coordinated with Working Group 2

Invited speakers for Seminars

Mr. Schanz explains that every second meeting will be preceded by a seminar where key note speaker will be invited. But the seminars are organised together with Working Group 2; so coordination is necessary.

Mr. Mayer points out that it still has to be discussed if the invited speakers should be scientists or policy makers. One of the aims of this COST Action is to inform policy makers of the state of discussion in the scientific community. Hence a more direct link to policy makers would be needed.

Mr. Elsasser states that the Seminars should be well prepared, i. e. the papers should be disseminated in advance.

Mr. Tikkanen proposes to discuss the intersectoral aspects in Finland ... but with invited speakers.

Preparation of the Spain meeting

Spain meeting – order of events:

- NFPs in a comparative perspective ¹⁾
- SFM in a comparative perspective ²⁾
- ~ 5 keynote speakers on policy planing

~ 3 hours Working Group meeting

- theoretical basis through literature
- Terms of Reference for “process observation”
- Questions / homework?

¹⁾ ... country reports of the Freiburg seminar will be summarised (Schanz)

²⁾ ... nominations to the NFP homepage will be summarised (Glück)

Suggestions for theoretical inputs for the Spain Seminar

Mr. Elsasser thinks that possible theoretical inputs could come from decision theory, game theory and rational choice approaches.

Mr. Barstadt and Mr. Gislerud propose to invite speakers on “participation” to the Spain Seminar.

Mr. Solana points out that some European countries already have NFPs. We could learn from their experiences.

Mr. Hogl proposes to invite Prof. F. Scharpf (who is both an expert on policy sciences and game theory)

Mr. Solana wants to invite a representative of FAO.

Mr. Lust proposes to invite a person experienced with the IPF/IFF process.

Mr. Schanz states that the list of speakers can not be decided here and now. Based on the discussions and in coordination with Working Group 2 as well as the Action-chairman suggestions will be prepared. Participants will be invited to comment on this draft via email.

National experiences with 4 essentials

Mr. Schanz thinks that it might be interesting to know what is happening in different countries in respect to the 4 essentials/approaches? A questionnaire could be elaborated by one of the participants. This questionnaire should then be answered by all the countries.

Mr. Pryor volunteers to compile such a questionnaire concerning experiences in the area of the four essentials ("policy that works..") and to send it out to all Action members.

Compilation of basic literature on theoretical aspects

Mr. Schanz expresses the opinion that knowledge of the most relevant literature could facilitate our discussion on the theoretical background. We should compile basic literature on theoretical aspects to have a common basis of discussion. One open question is: How to make this literature available?

Mr. Hogl proposes to post the relevant titles on the NFP homepage.

Mr. Schanz thinks that the compilation of literature should be structured according to the topics on the Work Plan.

Mr. Hackl stresses that the literature should be split up into theoretical literature and literature dealing with practical experiences.

Mr. Mayer proposes to give not only the authors and titles but also short abstracts. Comments by other people should also be possible.

Mrs. Shannon proposes to organise a virtual discussion group (organised around the NFP homepage). In this discussion group mainly theoretical questions should be dealt with. This idea is supported by all members of WG1.

It is agreed to set up a virtual discussion forum for each of the five meeting topics. These for a will be supplemented by a literature database, which allows participants to submit

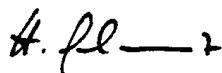
the their most relevant literature Ms. Shannon and Ms. Noven volunteered to host the first discussion forum on "keywords of a theoretical/conceptual framework". The chairman will contact the webmaster of the Action-homepage, Mr. Hanninen, concerning the technical details.

Other topics

No other topics.

Closing of the meeting

Mr. Schanz thanks the participants for their interest and closes the meeting. Mr. Pajuoja thanks the hosts of the meeting, Mr. Volz and Mr. Hofmann, for their excellent organisation.



Heiner Schanz
Chairman, Working Group1