

Minutes of the third Working Group Meeting of Working Group 1 in Aberdeen / Scotland, 29-31 March 2001

- Place: University of Aberdeen, Kings College
- Participants: Marie Appelstrand (Sweden), Johan Barstad (Norway), Tove Boon (Denmark), Gérard Buttoud (France), Gloria Domínguez (Spain), Donatas Dudutis (Lithuania), Peter Elsasser (Germany), Olav Gislerud (Norway), Josef Hackl (Austria), Frank Hofmann (Germany), Karl Hogl (Austria), Lena Hytonen (Finland), Noel Lust (Belgium), Ueli Mauderli (Switzerland), Hugh Miller (U.K.), Ine Neven (Netherlands), Pedro Ochoa de Carvalho (Portugal), Piotr Paschalis (Poland), Michael Pregernig (Austria), Jürgen Pretzsch (Germany), Tim Richardson (U.K.), Antonio Morcillo San Juan (Spain), Margaret Shannon (USA), Ilpo Tikkanen (Finland), Evelien Verbij (Netherlands)
- Time: Thursday, 29 March 14:00 – 18:00
Friday, 30 March 9:00 – 13:00
Saturday, 31 March 9:00 – 16:00
- Minutes by: Frank Hofmann (Thursday)
Margaret Shannon (Friday)
Peter Elsasser (Saturday)

Agenda

Thursday, 28 March

1. Opening and adoption of the agenda
2. Report on the co-ordination of the working programmes of WG1 & WG2
3. Reflections on the plenary presentations of the invited speakers – adaptation of the list of keywords (moderated by I. Neven)
4. Presentations of research papers
5. Discussion and drafting of a list of propositions (moderated by I. Neven)

Friday, 30 March

6. Presentations on experiences with participatory approaches
7. Discussion and continued drafting of a list of propositions (moderated by I. Neven)

Saturday, 31 March

8. Summary discussion (moderated by I. Neven) – the NFP/policy planning perspective (H. Schanz)
9. Continuation summary discussion (moderated by I. Neven) – Preparation of a final list of propositions
10. Products and deliverables of the working group
11. Preparation of the next working group meeting
12. Other topics
13. Closing

Thursday, 28 March

1. Opening and adoption of the agenda

I. Neven welcomes the participants and opens the third meeting of WG1. She excuses H. Schanz, the chairman of WG1, who unfortunately cannot take part in the Aberdeen meeting. I. Neven is underlining the opportunity to have five meetings of the working group during the next two and a half days and she encourages the participants to contribute to vivid discussions.

On behalf of H. Schanz she suggests to elect K. Hogl and M. Pregernig as interim chairmen for the WG sessions in Aberdeen. The members of WG1 agree to that. It is decided that M. Pregernig will chair item 1 to 7 of the agenda, K. Hogl will chair the rest of the items on the agenda. Discussions on presentations, keywords and propositions will be facilitated by I. Neven, supported by E. Verbij.

M. Pregernig presents the preliminary agenda for the meeting. The agenda is adopted without further comments by the members of the Working Group.

2. Report on the co-ordination of the working programmes of WG1 & WG2

M. Pregernig gives a short introduction into the problem of co-ordinating the work of WG1 and WG2. He mainly refers to the "reflection paper" (Hogl, K. & Pregernig, M.: 2000) which was sent to all participants of the COST Action in the run-up to the Aberdeen meeting. The main problem in the co-ordination of the two Working Groups is the mismatch in the sequence of topics to be dealt with in the current and the upcoming meetings:

- WG1 is looking at the 4 *conceptual essentials* of NFPs, i. e. participatory approaches, collaborative approaches, intersectoral approaches and procedural approaches. Each meeting is dedicated to one essential.
- In contrast to that, WG2 will examine the influence of the so-called "*external factors*" (e.g., land tenure, legal regulations, financial incentives, political culture or institutional aspects), one by one, on all the conceptual essentials. This time WG2 is dealing with the influence of legal regulations on participation, collaboration, intersectoral coordination and procedural aspects.

The timetable below shows the mismatch in the sequence of topics:

	Working Group 1	Working Group 2
• Spain (autumn 2000)	Policy Planning	Political and social context
• Scotland (spring 2001):	Participatory approaches	Influence of legal regulations
• Norway (autumn 2001):	Collaborative approaches (negotiation, communication)	Financial framework and incentives
• Finland (spring 2002):	Inter-sectoral approaches	Advocacy coalitions, institutional aspects
• Portugal (autumn 2002):	Procedural approaches (iterative, adaptive, learning)	Multilevel governance, land tenure
• Austria (spring 2003):	Synthesis	Synthesis

With that, WG2 necessarily will have to deal with some conceptual essentials before WG1 will be able to provide the respective results. Therefore it seems necessary that WG2 develops ways to deal with the conceptual essentials as soon as possible. There are several possible solutions to this problem:

- It is planned to prepare so-called "background papers" which provide a kind of "typologies" of the core essentials. These background papers are necessary especially for the work of WG2. But also WG1 should take the discussion on the background papers into account in the course of its examinations. If WG1 does not do so, the two Working Groups will finally not be able to combine their results at the best possible rate and fail to take full advantage of each other's work.
- In addition, the Working Group meetings should be followed by a panel-session of both working groups at the end of each meeting. Such panel-sessions would provide the opportunity to report about and discuss the WG-result.

The group underlines the need for "feed back discussions" among the members of both Working Groups. It is stressed that better co-ordination can contribute to common perceptions/understanding of different topics or concepts. That would be an important prerequisite for the success of the overall Action.

It is welcomed that already in Aberdeen a joint plenary session will conclude the E19 meeting. It is agreed that the main results of the WG1 sessions, i.e. a summary report, should be presented to the plenary by K. Høgl.

3. Reflections on the presentations by the invited speakers in the plenary session – adaptation of the list of keywords

After a short reflection of the presentations given in the plenary session, I. Neven briefly explains how to structure the work of WG1 for the following two and a half days. In doing so she stresses in particular that the main goal for the Aberdeen meeting is to elaborate a list of (non-normative) *propositions* and (normative) *statements* based on the presentations of *theory-oriented research papers* and *experience reports* given by members of the Working Group on Thursday and Friday.

4. Presentation of research papers

The following presentations are meant to provide the group with an additional theoretical background in order to facilitate the future discussions of WG 1 (the papers to the presentations will be included in the proceedings prepared by Hugh Miller):

- 1) Tove Boon (Denmark): "Governing forestry by means of participation?!"
- 2) Lena Hytonen (Finland): "Participatory planning tools in forestry decision-making – results of a literature review"
- 3) Peter Elsasser (Germany): "Negotiation rules within participatory processes and their possible influence on the content of a NFP"

Discussion:

In a short discussion following Ms. Boon's presentation it is mentioned that in "real life" (when we do make forest policy...) all four proposed categories/types of regulations (i.e., bureaucracy, market, community, governance; see paper of T. Boon) do exist at the same time. Furthermore it might be interesting to find out what category/type of regulation is prevailing in what country. It is also stressed that in field-work different

instruments are needed depending on the model one chooses. With that, scientists have to define their roles in advance: Do they only want to analyse or do they want to give advice to policy makers?

In the discussion following Ms. Hytonen's presentation it is pointed out that bureaucracies can not only loose power, as is often feared, but can also gain something in a participatory process. Furthermore the problem of "public information" is discussed: broad information is provided via media but mass media are usually not very much interested in forests and forestry; so the question is how can the public be better informed about a NFP-process which is taking place in a country? In this context it is underlined that participatory approaches can also foster political commitment for implementation. Finally the important issue of "the role of knowledge" of different actors in a participatory process is shortly discussed.

J. Pretzsch asks why the Finnish bureaucracy has been prepared to get into participatory processes when elaborating the NFP. From the analysis it seems that the main pressure was exerted by ENGOs and the Forest Based Industries (FBI). It was mentioned that the example of Finland shows that the main outcomes of NFP processes can be legitimacy and political commitment, mutual information on values and preferences of interested actors, and the availability of additional knowledge and expertise. Furthermore, I. Tikkanen emphasises that one has to take into account at which phase of the policy process participatory approaches are introduced: when defining the goals, when deciding on the means, or not until the stage of implementation and monitoring.

In the discussion following Mr. Elsasser's presentation the question is raised who the interested parties in a NFP-process are and who should finally participate. The opinion is expressed that it cannot be the main goal of a NFP to sit together with as many actors as possible. Another aspect in this context is the question whether it can make sense to exclude conflicting parties from a NFP as they are the ones you have to compromise with. Finally some members of the group had the feeling that it was better to exclude actors with no mandate from a NFP than to have "empty" or "trivial" outcomes.

During the discussions J. Pretzsch stresses that NFP processes can have quite different goals and effects in different countries, e.g. in the German case it might have primarily strengthened the forest sector's identity, whereas in the Finnish case the sector was already strong enough to benefit from the NFP process in terms of gaining additional resources.

Regarding the way science approaches the concept of participation in the NFP context it is feared that we have drawn from the wrong literature: It is said that elaborating a NFP is more like writing a constitution. But the current literature on participation mostly deals with problem-solving settings.

5. Discussion and drafting of a list of propositions

The group continues to discuss the presentations. The following contributions are made:

It is necessary to take into consideration country-specific traditions and other variables (e.g. forest cover) before giving advice on how to establish a NFP in a certain country.

It is possible that there exist different levels within a country where a NFP (or a RFP, respectively) could be established (especially in countries with a federal system).

A participatory process can serve as an "identity process", meaning that once there are a lot of actors "in the boat" it becomes possible to create more political power.

We have to ask ourselves critically if case-studies in single countries do make sense as there exists a great variety of forest-traditions or different constitutional elements in the countries.

Before discussing single issues of a NFP we have to define within what framework this should happen (finally meaning a concrete definition of NFPs).

Friday, 29 March

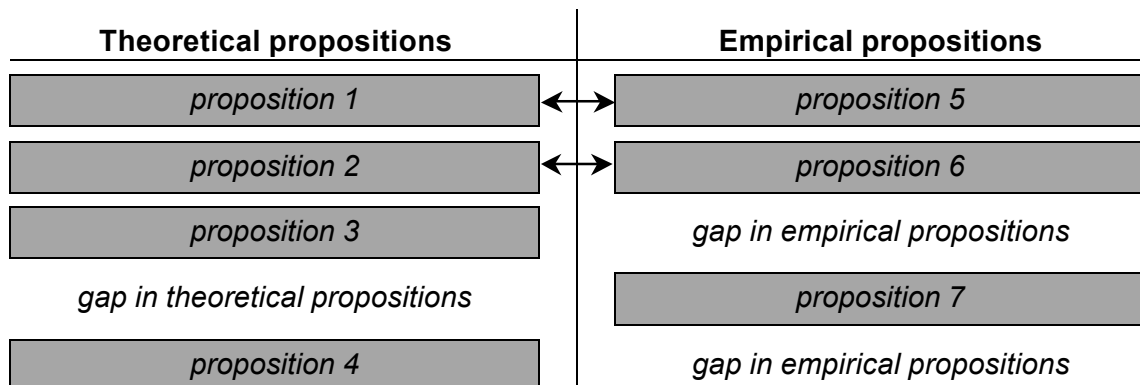
In the discussion of the first day, the group could not come to a mutual agreement on what is meant by "propositions" and what the difference between "theoretical propositions" and "empirical propositions" is. To clarify the concept and the rational of the approach, M. Pregernig points out that the COST Action has two main groups of addressees:

- (1) the scientific community
- (2) the political community

Correspondingly, two types of products have to be delivered:

- (1) for the scientific community
 - "bold" hypotheses
 - interesting research questions
 - gaps in the current state of knowledge
- (2) for the political community
 - decision-support, e.g. by means of propositions based on theory and/or empirical evidence

The following figure is meant to describe the rational. "Theoretical propositions" are deduced from theory-oriented research papers or from the theoretical background of the WG members, empirical propositions stem primarily from the experience reports.



There are phenomena for which theoretical as well as empirical proposition can be found. In many cases a suitable theory to explain empirical observations may be unknown, in others we won't have empirical propositions which support theoretical ones. The comparison of the two columns will reveal gaps, i.e. open research questions "on both sides".

6. Presentations on experiences with participatory approaches

In six presentations, national experiences with participatory approaches in relation to forest policy planning are presented:

- (1) Gloria Domínguez (Spain): More than ten years of participatory processes in national forest planning in Spain: An overview
- (2) Evelien Verbij (Netherlands): Participation in forestry in the Netherlands
- (3) Noel Lust (Belgium): Experiences with participatory approaches in the forestry field in Flanders
- (4) Frank Hofmann (Germany): Experiences from the German NFP process
- (5) Johan Barstad (Norway): Experiences with the Voluntary Approach Planning Model in Norway
- (6) Hugh Miller (Scotland): Experiences with participatory approaches in Scotland

Discussion:

G. Domínguez stresses, that the Spanish forest authority has no tradition in participation. In that context it is also pointed out that public participation works better if the public authority does not call directly for participation but a more neutral moderator initiates and structures the process. The Spanish case is used to exemplify that: It suggests that if public authorities call for participation of actors and lead the process itself, then the process will be more or less dominated by power relations among the actors. On the other hand, if more or less neutral consultants have the mandate to set up and lead the process, it will be more open and the different actors will take more equal positions in it.

With reference to experiences in the Netherlands, where participation projects started at the management level, some of the group members underline that a NFP won't be accepted at the national level if it is not accepted at the local level first. At the same time, it is stressed that participation at the local level is not the same as participation at the national level because both the problem structure (managerial vs. strategic) as well as the involved stakeholders ("concerned" citizens vs. organised interest groups) are different.

N. Lust is asked why he restricted his presentation on participatory approaches on Flanders. He replies that there is no NFP in Belgium yet but there are two regional plans. In this context he stresses that the forestry sector has a quite different position when comparing the two Belgian regions and asks what this might mean with regard to participation in the course of regional forest programmes.

The discussions on the UK case (H. Miller) shows that there can be a tradition for broad and intensive consultations with interest group representatives, but often the main problems emerge when trying to get less empowered local people into participatory processes.

7. Discussion and continued drafting of a list of propositions (moderated by I. Neven)

The group begins to discuss some of the propositions derived from the theoretical presentations and the experience reports. The first proposition discussed comes from the paper of P. Elsasser and reads as follows:

"Probability of failure increases and probability of consensus decreases with growing number of participants with different interests (because the probability of veto positions increases)."

I. Neven asks the Working Group members to identify the key variables in this proposition and to find appropriate definitions. The first key term is "consensus". After some discussions, it becomes clear that the term "consensus" can mean quite different things depending on the underlying theoretical framework: Before the background of a game-theoretical approach "consensus" simply means the "lack of opposition or contradiction"; before the background of Habermas' theory of communicative action "consensus" also requires a minimum degree of equality (concerning access to information, resources, decision-making procedures etc.) and is thus synonymous with "informed consent".

Saturday, 31 March

K. Hogl reminds the members of the Working Group of the planned "national-reports" publication which will be edited by D. Humprheys. He encourages the members to contribute to this volume. Of course, whether one contributes to it is, however, up to each member individually. The chairman informs the groups that D. Humpreys will show up during the morning session to explain his plans in more detail and to ask for collaborators.

8. Summary discussion (in smaller groups and in plenary, moderated by I. Neven) – the NFP/policy planning perspective

Firstly, K. Hogl emphasises that the group mustn't lose sight of the action's context in its further discussions. Our subject is not "participatory approaches in forestry" in general but "participatory approaches in the NFP-context". This implies in particular to consider potential linkages to all the other essentials/elements of NFPs and to refer to the concepts of modern policy planning.

I. Neven reports to the WG that on Friday evening a group of six WG1 members (G. Domínguez, F. Hofmann, K. Hogl, I. Neven, M. Pregernig, E. Verbij) was trying to derive a list of propositions from the papers of invited speakers to the plenary session as well as from the research papers and the experience reports which were presented to WG1. To allow more effective discussions in the following WG session these propositions have been assorted to six thematic clusters:

- Cluster 1: Actors (Who? What mandate? Resources?)
- Cluster 2: Structural and procedural requirements (Moderation, rules ...)
- Cluster 3: Institutionalisation
- Cluster 4: Administrative level (national – regional – local)
- Cluster 5: Degrees of participation (manipulation – informing – consultation – partnership – delegated power citizen control)
- Cluster 6: Learning

The members of WG1 are asked to split up into four sub-working groups of about four to six persons according to their interest and background, one dealing with "actors", one with "structural and procedural requirements", one with "institutionalization" and "administrative level", and one with "degrees of partnership" and "learning". Every group member is provided with print-outs of the propositions (for the original lists of propositions see the Appendix).

The sub-groups are asked to make the propositions more clear and more precise. To do so, they can reformulate them, define the key words included in the propositions, and remove or add propositions to the list. Finally, after about an hour, one speaker from each sub-working group presents the results to the WG plenary.

9. Continuation summary discussion (in smaller groups and in plenary, moderated by I. Neven) – Preparation of a final list of propositions

The results of the sub-working groups were written down on transparencies. The following enumeration is based on them. Furthermore, the groups are asked to choose propositions which they want to be presented to the joint plenary of WG1 and WG2. These propositions are printed in italics.

Cluster 1: Actors

(Who? What mandate? Resources?)

- *Negotiations in the course of a NFP process will fail when the participating actors do not have a clear mandate by the organizations they are representing.*
- *A NFP will only be accepted by the participants and only be successful when there is a clear commitment towards this process by the political decision makers.*
- *A participation process will fail if the actors which are involved in the implementation process have not been involved in the previous process stages as well.*
- *"Protest groups" may not join cooperative NFP processes because this could alienate these organisations' members.*
- *When an independent third party is in charge of a participation process there will be more stakeholders integrated into the process.*
- *Probability of failure increases with growing number of participants with different interests (because the probability of veto positions increases; game theory).*
- *Bureaucracies tend to oppose negotiation-types of participation in favour of consultation / information-types of participation.*
- *In NFP processes it is difficult to involve interests which are not organized. This is especially a problem for the involvement of local interests and knowledge.*

Cluster 2: Structural and procedural requirements

(Moderation, rules ...)

The sub-working group argues that before talking about structural and procedural requirements of a NFP process the type of process has to be identified! 3 types of co-ordination processes can be distinguished:

- a) *No co-ordination:* The leading authority gets input from the relevant stakeholders and incorporates these inputs into the final document.

- b) *Negative co-ordination ("Spanish model")*: The leading authority "negotiates" with the relevant stakeholders one-by-one; co-ordination between the stakeholders is thus not possible.
- c) *Positive co-ordination ("German model")*: All the relevant stakeholders take part in the negotiations at the same time ("round table").

<i>Proposition</i>	<i>relevant for type</i>
<ul style="list-style-type: none"> • <i>The NFP process will be accepted more broadly by the actors, when there is an independent/non-biased moderation / co-ordination of the process (Hofmann).</i> 	co-ordination: b moderation: c
<ul style="list-style-type: none"> • <i>Actors will only be satisfied with the process if they see their own propositions considered / reflected in the results (e.g. paper, programme)</i> 	b + c
<ul style="list-style-type: none"> • <i>Actors will step out of the NFP process when there's no clear code of conduct of how to deal with minority-votes (Hofmann).</i> 	code of conduct: b + c minority votes: c
<ul style="list-style-type: none"> • <i>Missing or "liberal" negotiation rules lead to trivial results (no goals, no measures, no financial commitment, no time-frame ...) (Elsasser).</i> 	b+ c
<ul style="list-style-type: none"> • <i>Too large working groups can be a hindrance to the moderation process (Hofmann).</i> 	c
<ul style="list-style-type: none"> • <i>Pre-prepared input (e.g. basic papers) delivered by one (powerful) actor makes open, visionary discussion harder (Hofmann).</i> 	b + c
<ul style="list-style-type: none"> • <i>Early participation (when more options are still open) enhances the influence on decision-making (Appelstrand).</i> 	b + c
<ul style="list-style-type: none"> • <i>If the code of conduct is not developed within the group it will not be accepted by actors.</i> 	b
<ul style="list-style-type: none"> • <i>In societies with a strong authoritative tradition a NFP process is only likely to be started if the forest authority takes the initiative.</i> 	b + c

Cluster 3: Institutionalisation

- *The initiation of a participation process requires an adequate internal organisation of the stakeholders. More permanent institutionalisation of social organisation and decision-making can only be a group-defined process.*
- *Once a participation process is institutionalised it will become a social fact (Lust).*
- *Once participation becomes a social fact it will be institutionalised (Neven).*
- *The NFP will only have a long-term impact and lead to changes in forest policy when it contains clear directives for action (aims – measures - time-frame – resources).*

Cluster 4: Administrative level
(national – regional – local)

- *Different levels have different rules of procedure and different goals. That requires institutionalised information mechanisms between the various levels.*
- To have a functional NFP, it has to be accepted by the public/the authorities at the local/regional level (where the implementation takes place) (Barstad).

Cluster 5: Degrees of participation
(manipulation, informing, consultation, partnership, delegated power/citizen control)

The members of the sub-working group presented the following preamble to set the context for their proposition:

Forests are so important on a national scale policy level that participation is not only welcome but necessary as a chance for people that participate to be informed and convinced that it is a long-term process and the main goals are only achieved at different levels of planning if participation is involved.

By way of introduction, it is emphasised that there is a tight connection between the degree of participation on the one hand and the level of organisation of actors on the other hand: When people get involved into participatory planning processes they frequently start to "organise" themselves. At the same time, a higher level of organisation can make participation processes more efficient ("evolutionary model of participation", see Figure). The way the degree of participation and the level of organisation of actors are linked up, of course, also depends on the nature of the issue under discussion.

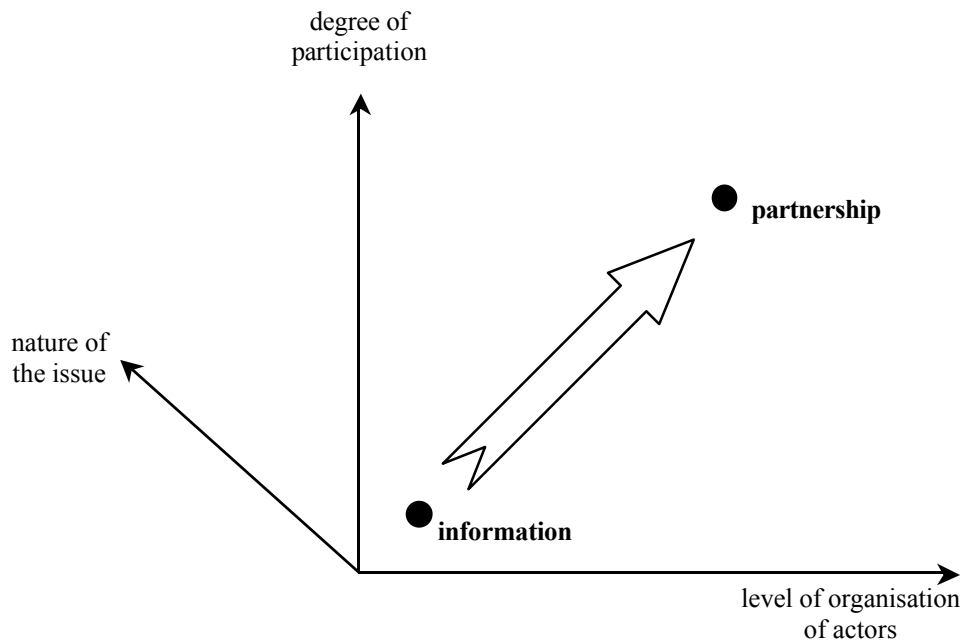


Figure: The evolutionary model of participation

Propositions:

- *All actors do not participate at the same level depending on the degree of organisation and the nature of the issues.*
- Active participation means a continuous relationship and a presence at each stage of development of a NFP.
- Participation enhances implementation (Appelstrand).
- Participation leads to identification with common goals (Appelstrand).
- The process is evolving and the degrees will change as the form of participation will change and evolve over time.
- The NFP should provide the framework to promote engagement of actors as a result of which actors will change (in organisation etc.).
- Participation is not to be considered as an instrumental tool. Participation provides an opportunity for engagement that creates accountability and reduces chances of manipulation.
- The extent of participation means that we look for "feedback" at each stage of the policy process.
- Participation allows to formulate and combine efforts for proper lobbying.
- Partnership may be a central result of the participatory process and should be more clearly defined.

Cluster 6: Learning

- *Learning brings common understanding through active participation and means that actors change their behaviour, values and attitudes.*
- To improve the NFP process and to be able to assess its effects a defined system of monitoring, evaluation and feed-back in the process is needed (Pretzsch).
- Participation can solve the problem of the process of 'alienating' between people and their natural resources that is happening in urbanised countries (Miller).

10. Products and deliverables of the working group

The chairman asks the group how to proceed with regard to the survey on "policy that works" which was proposed by S. Prior who also volunteered to do the survey at the Freiburg meeting. So far, nothing has been done on this matter. Since a lot of the matters that could have been covered by this initiative will be captured by the country reports to the volume edited by D. Humpreys as well as by the experience papers presented at the working groups sessions, the group agrees to remove this item from its agenda. If the initiative is taken up again by someone, the group will reconsider this proposal.

Furthermore, those who contribute papers to the COST Action should consider to have them finally published in scientific journals. This too could and should be a notable output of the overall Action.

Proceedings of the Aberdeen meeting will be published on CD-ROM by Hugh Miller. The CD is not meant to be a formal "publication" and should therefore not cause any conflicts with possible publications elsewhere. Authors of papers presented to the Working Group or to the plenary session are asked to send their papers (or the respective overheads) in electronic form to Hugh Miller within the next two months (i.e.

before June 1st, 2001; address: University of Aberdeen, Department of Forestry, MacRobert Building, 581 King Street, Aberdeen AB24 5UA, UK, E-mail: h.g.miller@abdn.ac.uk).

Furthermore country case studies/experience reports will be published in the book on national reports planned by D. Humphreys and his task force (see David's "Proposal for a Framework for National Reporting" presented at the Aberdeen meeting) and in W. Zimmermann's survey on NFPs in different countries.

The idea of preparing a booklet comprising the propositions elaborated during the WG1-sessions (see above) is discussed. Such a publication could be one of the main products of WG1 at the end of the Action. K. Hogl emphasises that this would imply to prepare a list of propositions with regard to the respective core essential and its linkages to the other essentials at each meeting and to improve/extend/shorten this lists until the final meeting (in Vienna). Finally, this should provide valuable input for policy makers as well as for the scientific community.

In principle, this idea was broadly supported. During the discussion it was emphasised that in the end there should be no differentiation between products of WG1 and products of WG2. Rather all products of both WGs have to be seen and published as output of the overall COST Action. Keeping this aspect in mind, it is broadly accepted to go on elaborating propositions on the core essentials as well as their linkages in the NFP context. Whether and in which form the results of WG1 sessions should be published has to be decided at a later date, amongst other things, depending on their quality.

Some group members emphasise that discussions are only productive if the papers which are presented in the WG sessions are available in advance and if someone goes through these papers and tries to elaborate a common "structure". Such a "structure" could, then, be "filled up" by all the WG members so that, in the end, a kind of a "joint WG paper" would come out. This joint paper could contain short summaries of what has been said about – for example, participation – in science as well as literature, as well as updated links on the topic. Such a paper should not be seen as a final product, but rather as an invitation to all participants of the COST-Action to continuously contribute to it. It would provide a starting point or a kind of bibliography, which summarises information along key words.

For each conceptual essential (participatory approaches, collaborative approaches, intersectoral approaches and procedural approaches) one such "joint WG paper" could be worked out. For the topic "participation" the paper presented by T. Boon could give a basis for a common structure. T. Boon is prepared to elaborate such a structure (provided that 2 or 3 other persons are ready to assist her). She agrees to send out this structure via e-mail in the next few weeks.

11. Preparation for the next working group meeting in Oslo (September 13-15, 2001)

The chairman points out that according to the draft programme for the Oslo-meeting only about 4,5 hours are reserved for WG-sessions. He asks the organisers (O. Gislerud) to find ways to provide more time for WG sessions. This is strongly supported by the WG members.

Furthermore, K. Hogl asks the group members to propose some more invited speakers for the plenary sessions in Oslo within the next weeks, although a number of speakers have been already proposed by the group and invited by the organisers.

O. Gislerud explains that the contributions to the Oslo meeting will be published in EFI-proceedings. He points out that the usual review process will be applied.

With regard to the WG session in Oslo the chairman asks the Working Group members for contributions. He proposes to continue distinguishing between "research papers" and "experience reports", although in practice it has turned out that many papers are sort of a mix of both.

With regard to the moderation of the working group session the chairman asks the WG whether a moderation as it was done by I. Neven in Aberdeen should be considered for the Oslo meeting. I. Neven is prepared to take that job again, if asked by the chairman. In a short discussion it is pointed out that only about a third of the time that was spent for WG sessions in Aberdeen is planned for WG sessions in the draft programme for Oslo. The suitable mode of moderation will primarily depend on whether or not additional time can be arranged for WG sessions. The final decision should be taken, however, by the chairman.

J. Pretzsch reminds the group that there have been problems in bringing together theory and practice in the last two days. Providing a "structure" on the topic of the meeting in advance could help. The WG agrees that it would be wise to have some background papers prepared in advance of the next meeting to provide some common frame for the WG-discussions in Oslo. M. Shannon presents a sort of classification of the main aspects to be covered in the WG sessions in Oslo. The list is based on a www-enquiry on the topic of "collaborative approaches".

According to that structure, the following *papers on collaborative approaches* will be prepared for the Oslo meeting and mailed to the WG members in advance:

- Game theory and collaborative learning (I Neven)
- Methods and techniques for negotiation and their links to theory / Regulatory Negotiation (RegNeg) (G. Buttoud)
- Partnership / shared resources, shared organisation capacities (J. Barstad)
- Joint decision making with multiple actors (M. Shannon, J. Pretzsch)
- Multi-actor planning within multi-level governance (K. Hogl)

Furthermore, hints on literature on collaborative approaches are welcome. They should be sent to M. Shannon (mshannon@buffalo.edu) and H. Schanz (heiner.schanz@bhhk.bosb.wau.nl) until the end of July.

M. Shannon will prepare a basic paper on "collaborative approaches" (comparable to the one to be prepared by T. Boon on participatory approaches, see above) and send it out to the WG members until the beginning of September at the latest. This paper should also provide a common background to the WG1-discussions in Oslo. M. Shannon volunteers to give a presentation on that paper then. The group agrees to invite her to do so. Whether this should be done in the plenary session or in the WG-session has to be decided by the organisers and the MC.

The following WG members agree to prepare experience reports on "collaborative approaches" for the WG meeting in Oslo:

- P. Paschalis (Poland)
- I. Tikkanen (Finland)
- J. Hackl (Austria)

- P. Carvalho (not definitely confirmed yet, Portugal)
- G. Domínguez (not definitely confirmed yet, Spain)

All contributors (research papers and experience reports) are invited to prepare "propositions" following the instructions given by I. Neven to the contributors in Aberdeen; these propositions should be compiled in advance of the meeting.

All papers prepared for the plenary sessions will be sent to the WG members in advance by O. Gislerud.

To gain time for WG meetings in Oslo, all input to the WG must be sent to the members in advance. Furthermore, it is proposed that on Saturday 15 September the Management Committee meeting originally scheduled for 14.00 should be delayed until 16.00 so that an additional WG meeting could take place from 14.00 to 16.00.

The group asks the chairman for even more time. A short session on Thursday would probably allow to structure the discussion for Saturday and to discuss the papers which will have been sent around in advance of the meeting.

12. Other topics

No other topics

13. Closing of the meeting

K. Hogl expresses his thanks to the organizers for the perfect set-up and their great hospitality, as well as to the participants for their interest and for stimulating and fruitful discussions and closes the meeting.

Ine Neven; Evelien Verbij
Facilitators

Karl Hogl; Michael Pregernig
Interim-Chairmen, Working Group 1

Peter Elsasser, Frank Hofmann, Margaret Shannon
Keepers of the minutes

Vienna, 7 May 2001

Appendix: Original list of propositions as basic input for the group work

Cluster 1: Actors

(Who? What mandate? Resources?)

- The NFP process will fail when the participating actors do not have a clear mandate by the organizations they are representing (Elsasser, Hofmann).
- Hierarchical organisations tend to excessively veto bargaining solutions (Elsasser).
- An effective participation process requires that the actors which are involved in the process of problem definition are involved in the implementation process as well (Dunn).
- A NFP will only be accepted by the actors and only be successful when it has a high level of political commitment (Hofmann).
- "Protest groups" will not join on NFP process because this would alienate this organisations' members (Elsasser).
- When an external consultant/moderator is in charge of a participation process there will be more stakeholders integrated into the process (Domínguez).
- Probability of failure increases with growing number of participants with different interests (because the probability of veto positions increases) (game theory; Elsasser).
- Lack of mandates of agents decreases the probability of agreement between the organisations (principals – agents – problem; Elsasser).
- Weberian-type bureaucracies tend to be opposed to negotiation-types of participation (Pretzsch).
- In NFP processes it is difficult to involve local communities because they are not associated at the national level (Dominguez).

Cluster 2: Structural and procedural requirements

(Moderation, rules ...)

- The NFP process will be accepted more broadly by the actors, when there is an independent/non-biased moderation of the process (Hofmann).
- Actors will step out of the NFP process when there's no clear *code of conduct* of how to deal with minority-votes (Hofmann).
- Missing or "liberal" negotiation rules lead to trivial results (Elsasser).
- Too large working groups can be a hindrance to the moderation process (Hofmann).
- Pre-prepared input (e.g. basic papers) delivered by one (powerful) actor makes open, visionary discussion harder (Hofmann).
- Early participation (when more options are still open) enhances the influence on decision-making (Appelstrand).

Cluster 3: Institutionalisation

- Once a participation process is institutionalised it will become a social fact (Lust).
- Once participation becomes a social fact it will be institutionalised (Neven).

- The NFP will only have a long-term impact and lead to changes in forest policy when it contains clear directives for action (aims – measures - time-frame).

Cluster 4: Administrative level
(national – regional – local)

- To have a functional NFP, it has to be accepted by the public/the authorities at the local/regional level (where the implementation takes place) (Barstad).

Cluster 5: Degrees of participation
(manipulation – informing – consultation – partnership – delegated power citizen control)

- Participation enhances implementation (Appelstrand).
- Participation leads to identification with common goals (Appelstrand).

Cluster 6: Learning

- To improve the NFP process and to be able to assess its effects a defined system of monitoring, evaluation and feed-back in the process is needed (Pretzsch).
- Participation can solve the problem of the process of 'alienating' between people and their natural resources that is happening in urbanised countries (Miller).