

# **Minutes of the 2nd Meeting of Working Group 2**

**EUITF School, Forest Faculty  
Universidad Politecnica de Madrid  
Madrid, Spain**

**20 October 2000 at 15:00 – 19:00**

## **1. Welcome to participants**

Professor Willi Zimmermann, the leader of working group 2 of the COST Action E19, opens the meeting and welcomes especially the new participants, who give a short introduction on his/her background. The list of participants of WG2 is presented in Annex 1.

## **2. Adoption of the agenda**

The agenda of the meeting has been approved. The presentation of the items in these minutes follow the agenda items.

## **3. Approval of the minutes of the Freiburg Meeting**

Mr. Sangster presents modifications to point 4 (research projects of United Kingdom) in written form, as follows:

The first two sentences of United Kingdom are replaced with: Mr. Sangster states that an NFP is in process, building on the Forestry Strategy 1995 at the national level. The UK Government has published a strategy for sustainable development that includes a commitment to make a statement on UK forestry policy. He mentions the following three topics, which could be interesting for the COST Action E19:

With this modifications the minutes of the Freiburg Meeting has been approved.

#### **4. Ongoing research projects closely related to NFPs: Changes since the Freiburg meeting**

**Germany** (Mr. Reining): The University of Freiburg contributes to the NFP process in Germany in a scientific way.

**Finland:** Mr. Hänninen presents 3 new research projects. One deals with regional networks in the context of SFM, but its funding is open. One tries to clarify the social sustainability of forestry and one is looking at participatory processes in regional forest programmes and their link to the Finnish National Forest Programme.

**Lithuania** (Ms. Mizaraite): One project is in planning stage.

**Hungary:** Mr. Meszaros announces projects which are waiting for funding.

**Portugal** (Mr. Carvalho Mendes): A lot of projects are already on the homepage of COST E19. For him the project on the evaluation of financial incentives on forests in Europe seems to be the most relevant one (in co-ordination with EFI).

**United Kingdom:** Mr. Sangster mentions the following five research projects: One is about double-counting in forestry, one is about the relationship of urban society to forests in Wales, one deals with the forestry regulation and planning system, one with the institutional change in Wales and one is looking at theoretical bases for participation in respect to the British society.

**Italy** (Mr. Carbone): There is an ongoing analysis of the basic (statistical) information for regional forest programmes.

**Czech Republic** (Mr. Kraus): An NFP was developed in 1993, but not approved. Now there is a new draft.

**Spain** (Mr. Rojas-Briales): The most important projects in the context of NFPs are shared with other countries.

Mr. Zimmermann reminds the participants, that it is one of the tasks of the Memorandum of Understanding to contribute to this COST Action with research projects. That's why ongoing research projects will stay on the agenda.

Mr. Saastamoinen and Mr. Rojas-Briales emphasise difficulties in defining, what is closely related to NFPs. Mr. Glück recommends, that each country should make the decision. Mr. Liss points out, that research projects should also reflect the intersectoral approach of NFPs and, therefore, relevant projects of other sectors should be included.

## **5. Country reports on NFP-processes: Discussion of Terms of References**

Mr. Zimmermann presents his suggestion of the terms of reference for country reports on NFP-processes (Annex 2). Due to weak ideas on what an NFP is, terms of reference should be helpful in describing, if and why a country has an NFP, RFPs or elements of them. And so these country reports on NFP-processes are a means to come to impeding and supportive factors.

Mr. Saastamoinen points out, that the implementation process of the NFP is a major issue in Finland. Thus, it should be included in the terms of reference.

Mr. Rojas-Briales says, that in 2-level countries the terms of reference should be adapted or simplified for the regional level. He also argues for adding the historical experience of a country to the terms of reference.

Mr. Humphreys argues for a division of point 9 and 10 of the terms of reference into (a) impeding and supportive factors that have been overcome and why and (b) impeding and supportive factors that have not been overcome and why.

Mr. Glück argues, that also WG1 should be included in the country reports on NFP processes. He pleads for a long-term project, where a separate working group should define special terms of reference, which would result in a high-level scientific publication on country reports on NFP processes. Mr. Humphreys would be prepared to chair this working group.

Mr. Zimmermann says, that both approaches on country reports are possible and both create valuable information for this COST Action. The first intention for the short-term approach is to come to a more common comprehension of NFPs.

Mr. Mayer says, that the basic elements of NFPs are important for the terms of reference, but are still vague (WG1 is working on a more scientific definition). This votes for a long-term approach. Together with Mr. Liss he argues for including all international agreed basic elements.

Mr. Liss says, that point 4 (action plan) can be added to point 8 and funds to implement the NFP also should be included there.

Another suggestion is to extend point 2 with the sub-point: Driving forces of the NFP-process.

Mr. Berge suggests that instead of country reports we should discuss on the basis of a questionnaire on the state of the art of NFPs in the different countries.

After some more comments, all members of WG2 agree in writing country surveys on NFP-processes in their respective country until the next meeting in Scotland. This screening of WG2 member countries is based on the revised terms of reference and the description should comprise about 5 pages for each country.

Mr. Zimmermann and Mrs. Vakrou will develop the terms of reference further. To support them, contributions and comments by other WG2 members are welcome. Mr. Zimmermann is prepared to present a summary of the country reports at the next WG2 meeting.

## **6. Consequences of the Spain Seminar for WG2**

Mrs. Kissling-Näf presents variables for the analysis of NFPs, a framework, hypotheses and a list of impeding and supportive factors for the formulation and implementation of NFPs, which are based on the scientific contributions of the Madrid seminar (Annex 3).

Mr. Carvalho Mendes distinguishes among 3 types of NFPs as regards their amount of non-linearity:

- a long list of fixed targets and policy instruments (fixed NFPs)
- space beside policy instruments for participation (flexible NFPs)
- targets are set along the process (open NFPs)

A possible impeding factor for an NFP process is a too high magnitude of policy change.

During the discussion it worked out, that there were different concepts about the work programme of WG2. In particular, there is no common understanding about the distinction between symbolic and substantive NFPs. Furthermore, it became obvious that the work programmes of WG1 and WG2 have to be better coordinated in order to fulfil the Memorandum of Understanding.

## **7. Preparation of the Scotland Meeting**

Mr. Zimmermann and Mr. Sangster describe the next meeting in Aberdeen, Scotland (28 - 30 March 2001), which will consist of one day excursion, half a day plenary session with invited speakers and one and a half day working group sessions.

Provisional topics are:

- Country surveys on NFP-processes with focus on supportive and impeding factors
- Influence of legal regulations

Mr. Rojas-Briales says, that based on the experience with the Madrid seminar, more involvement of the local organisation into the agenda planning would be advisable.

## **8. Other topics**

Mrs. Vakrou says, that it is important to have more contact with WG1, because there is a lack of common interpretations of some definitions.

Mr. Glück says, that a literature study based on the replies to task 5 (key literature on NFPs) would be very valuable for this Action and asks Mr. Voitleithner to consider this task.

## **9. Closing**

Mr. Zimmermann thanks the participants for their interest and closes the meeting.

Vienna/Zurich, 30 October 2000

Willi Zimmermann

Leader of WG2

Johannes Voitleithner

Minutes checker

## **LIST OF ANNEXES:**

1. List of participants in WG2
2. Proposal for Terms of References for country reports on NFP-processes
3. Impeding and supporting factors of NFPs – first lessons from the Seminar in Madrid for Working Group 2 (Ingrid Kissling-Näf)

## ANNEX 1: List of participants in WG2

|     | <b>NAME</b>             | <b>COUNTRY</b> | <b>e-mail address</b>                 |
|-----|-------------------------|----------------|---------------------------------------|
| 1.  | GLUECK Peter            | Austria        | glueck@edv1.boku.ac.at                |
| 2.  | MAYER Peter             | Austria        | peter.mayer@lu-vienna.at              |
| 3.  | VOITLEITHNER Johannes   | Austria        | voit@edv1.boku.ac.at                  |
| 4.  | KRAUS Milos             | Czech Republic | Kraus@uhul.cz                         |
| 5.  | HÄNNINEN Harri          | Finland        | harri.hanninen@metla.fi               |
| 6.  | SAASTAMOINEN Olli       | Finland        | olli.saastamoinen@forest.joensuu.fi   |
| 7.  | CHEVALIER Bernard       | France         | bernard.chevalier@agriculture.gouv.fr |
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| 9.  | LISS Bernd-Markus       | Germany        | bernd_liss@compuserve.com             |
| 10. | REINING Felix           | Germany        | reining@bwlmr.bwl.de                  |
| 11. | PAPAGEORGIU Kostas      | Greece         | arsis@otenet.gr                       |
| 12. | VAKROU Alexandra        | Greece         | alexandra.vakrou@cec.eu.int           |
| 13. | MESZAROS Karoly         | Hungary        | uzemtan@efe.hu                        |
| 14. | CARBONE Francesco       | Italy          | fcarbone@unitus.it                    |
| 15. | MIZARAITE Diana         | Lithuania      | ekonsk@mi.lt                          |
| 16. | BERGE Erling            | Norway         | Erling.Berge@sv.ntnu.no               |
| 17. | CARVALHO MENDES Americo | Portugal       | americo@porto.ucp.pt                  |
| 18. | ROJAS-BRIALES Eduardo   | Spain          | erojas@forestal.net                   |
| 19. | KISSLING-NÄF Ingrid     | Switzerland    | kissling@fowi.ethz.ch                 |
| 20. | ZIMMERMANN Willi        | Switzerland    | willi.zimmermann@fowi.ethz.ch         |
| 21. | HUMPHREYS David         | U.K.           | d.r.humphreys@open.ac.uk              |
| 22. | SANGSTER Marcus         | U.K.           | marcus.sangster@forestry.gov.uk       |

## **ANNEX 2: NFPs - Country Reports: Terms of References - Proposal**

- 1) NFP as a political issue – official title of the process/institutional context
- 2) Initiator or causal event of the NFP-process
- 3) Leading authority and main actors
- 4) Action plan for NFP-elaboration
- 5) Involved partners inside and outside of the administration
- 6) Official documents and status of the NFP
- 7) Typical NFP-process elements:
  - participatory approaches
  - decentralistic/regional approaches
  - inter-sectoral approaches
  - iterative approaches
  - cooperation/capacity building
  - other procedural elements
- 8) Typical content or objectives oriented elements
  - documentation/situation analysis
  - concrete objectives formulation (SFM)
  - standards/long-term commitments
  - means or instruments
  - outputs
  - monitoring and evaluation steps
  - conflict resolutions schemes
  - other elements
- 9) Supporting factors for the NFP- process
- 10) Impeding factors against NFP-process
- 11) Further remarks

Willi Zimmermann, 4.10.2000

## **ANNEX 2: Impeding and supporting factors of NFPs – first lessons from the Seminar in Madrid for Working Group 2**

Ingrid Kissling-Näf

I was asked by Willi Zimmermann to summarise and assess the contributions of the conference in Madrid with regard to the topic working group 2 is struggling with (Impeding and supporting factors of NFPs).

In this context, several questions should be answered:

1. What are the relevant elements/variables for the analysis of NFPs?
2. How to design the framework for the analysis?
3. What are the central links between the different groups of variables?
4. Formulation of hypothesis on the basis of theory
5. What can be said about impeding and supporting factors of NFPs?

### ***Ad 1 and 2: identification of variables and framework***

In an international comparison the following variables have to be considered:

#### *Dependent variable:*

NFP, but what is meant by NFP?

- process (participatory, decentralised, intersectoral, iterative, capacity building etc.)
- or content as output of political activity (analysis of situation, standards, long-term commitments, means and objectives, monitoring, evaluation steps, etc.)
- or both

Can a typology of NFPs be established?

Effects can not be evaluated because implementation is lacking (in terms of sustainable forest management).

#### *Intermediate variable:*

actor and target groups involved in the process

*Independent variables:* classical variables of an international comparison such as

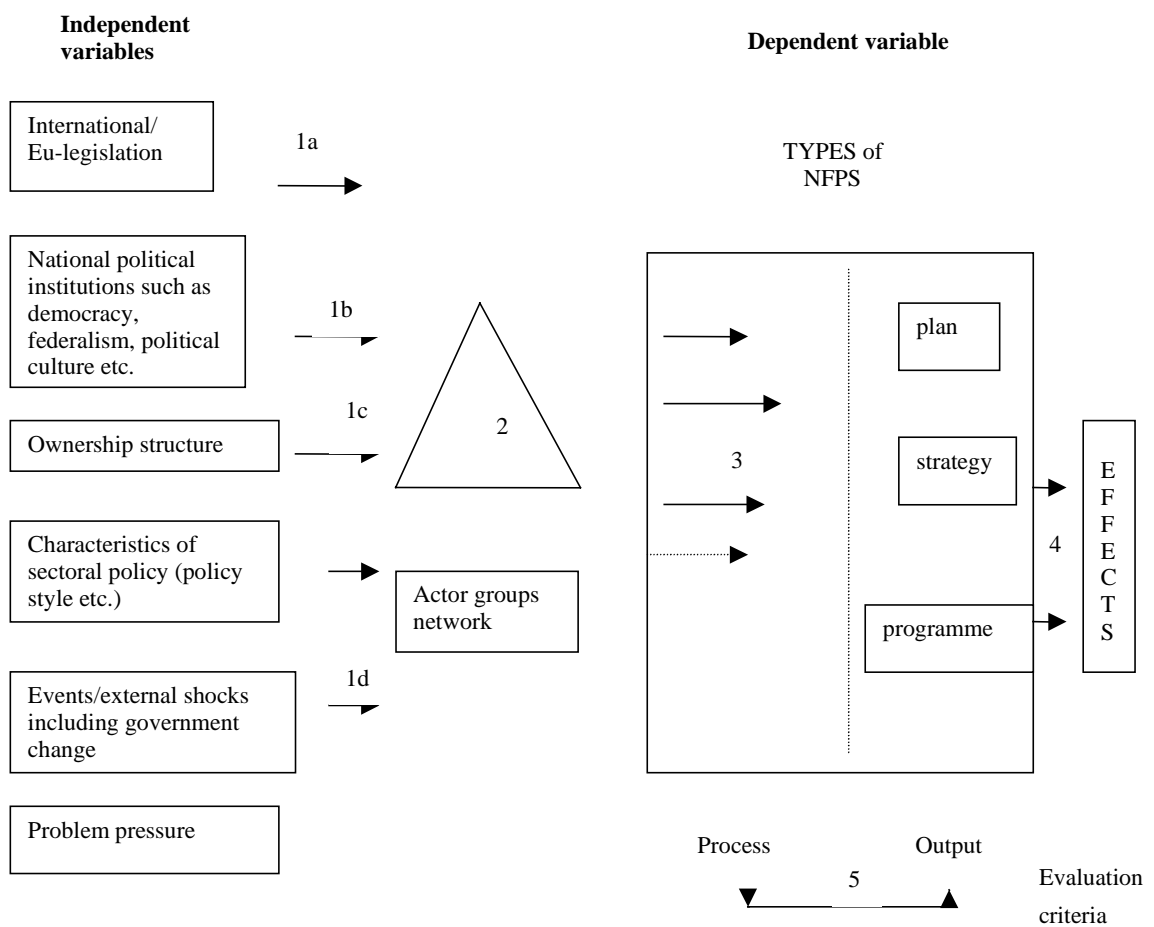
- International legislation/EU/international processes
- Political institutions
- Ownership structure
- Characteristics of sectoral policies
- Events and external shocks
- Problem pressure

**Ad 3 links**

Links and relations between key variables have not been illuminated during the conference in Madrid. Very few presentations provide evidence on factors influencing the process and establishment of NFPs

Central causal links:

- Type of NFP and related effects
- Interactions between process and content of NFP
- Effect of actor network on process and content of NFP
- Effect of independent variables on NFP product and process



**Fig. 1: Framework for international comparison of NFPs by Kissling-Näf**

**Ad 4 and 5: First attempt to formulate hypothesis on variables having an impeding or supporting effect on NFPs**

| <b>Hypothesis concerning links between dependent and independent variables<br/>(number refers to variable in framework, Fig. 1)</b> | <b>Supporting factor of NFP + ↑<br/>Impeding factor of NFP - ↓</b> |
|---|--|
| 1a Internationalisation leads to harmonisation of processes and products  | +  |
| 1b Consensualism leads to more participatory processes  |  |
| 1b Centralisation allows to fix clear aims and goals on a national level, decentralisation has the opposite effect                  | ?  |
| 1c Public ownership as legitimisation for public planning on a national level   | +  |
| 1d Opportunity window given e. g. by a change of government   | +  |
| 2 Existence of strong target groups   |  |
| 2 Issue network as vehicle allowing change  | +  |
| 2 Community network as a hindrance for establishment of a plan  | -  |
| 2 Asymmetric information of actors  | -  |
| 3 Deliberative process with stakeholders leads to applicable solutions  | +  |
| 3 Critical attention on how, what and where leads to better solution  | +  |
| 3 Taking into consideration social software leads to better resultants  | +  |

**Concluding remarks**

1. Definitions are very important especially what is a NFP
2. Until now we have for a comparison not enough empirical evidence
3. Conference Paper have very partially dealt with the central dimensions to be analysed
4. Outputs and outcomes are completely neglected and have to be analysed after implementation
5. Knowledge on the level of causal links unclear and from a theoretical point of view not yet fully analysed – list under point 4 has to be completed
6. Theoretical work and empirical data collecting should go hand in hand
7. Collecting empirical data for establishment of NFP typology necessary (cf. Terms of reference)

Ingrid Kissling-Näf, 21.11.2000