

COST ACTION E 19 – National Forest Programmes in a European context

Minutes of the 4th Working Group 2 Meeting in Oslo, Soria Moria, 13-15 September 2001

Place: Soria Moria, Oslo

Participants:

Austria: Peter Glueck, Helga Puelzl
Finland: Harri Hänninen, Pekka Ollonqvist, Olli Saastamoinen,
Germany: Felix Reining
Great Britain: David Humphreys, Marcus Sangster
Greece: Kostas Papageorgiou
Hungary: Karoly Meszaros, Attila Lengyel
Lithuania: Diana Mizaraitė
Norway: Berit Aasen, Erling Berge, Birger Solberg
Portugal: Inocencio Seita Coelho
Spain: Cristina Montiel
Sweden: Marie Appelstrand
Switzerland: Willi Zimmermann

Dates and Time:

Friday, 14 September, 19.00 - 20.00
Saturday, 15 September, 8.30 - 16.00

Agenda:

General Topic: Financial framework and incentives

Friday, 14 September

1. Opening and adoption of the agenda
2. Report of the WG 2 leader about WG programme

Saturday, 15 September

3. Reflections on plenary presentations of invited speakers
4. Presentations on experiences with financial framework and incentives
5. Discussion and preparation of theses list
6. Products and deliverables of WG2 for the joint WG 1+2 meeting
7. Preparation of the next WG2 meeting
8. Other topics
9. Closing

1. Opening and adoption of the agenda

Peter Glueck welcomed the participants and opened the 4th session of WG 2. He informed the participants about the absence of the Chair of WG 2, Americo Mendes, and, therefore, he chaired the meeting. Peter Glueck proposed to add the following items: 1a. Minutes of the 3rd Working Group Meeting; 1b. Election of the minutes checker; 4. Interim report on the shared cost project MULTIFOR.RD (Kostas Papageorgiou). The enlargement of the agenda has unanimously been approved.

1a. Minutes of the 3rd Working Group Meeting

The minutes of the 3rd Working Group Meeting were unanimously approved.

1b. Election of the minutes checker

Helga Puelzl declared her readiness to write the minutes which was gratefully accepted by the participants.

2. Report of the WG 2 leader about WG programme

Peter Glueck summarized the minutes of the Aberdeen meeting by referring to the background paper prepared by Karl Hogl and Michael Pregernig. The task of assessing supporting and impeding factors for the development of *substantive* NFPs (task 2 of the work programme) requires a 3-stage-approach as regards the policy cycle of NFPs.

As there is no politically agreed definition on substantive NFPs available, at *stage 1 (formulation process of NFPs)* a substantive NFP will be defined by its basic elements (e.g., participation, inter-sectoral coordination etc.). Then the question of supporting and impeding factors for the development of NFPs is turned to the question of supporting and impeding factors on the basic elements (i.e. participation, inter-sectoral coordination etc.). By splitting a NFP in its constituting elements, the definition problem is shifted from NFPs to the their basic elements. Thus, WG 2 needs operational definitions of the basic elements of the form: non-existent, existent (if possible, high and low degree). This information will be made available by background papers of the following colleagues of WG 1 and 2 by the end of 2001 and disseminated to all members of WG 2:

- participation and collaboration: Marie Appelstrand
- inter-sectoral coordination: Karl Hogl and Evelyne Verbij
- adaptive iterative planning: Johan Barstad
- conflict resolutions schemes: Margaret Shannon (maybe together with Gerard Buttoud)
- decentralisation: to be nominated by Heikki Pajuoja

At *stage 2 (output of the NFP formulation process)* NFPs are accepted by the Ministry of Forestry or the government of a country (e.g., Finland, Germany). At this stage, the substantiveness of NFPs can be assessed by the policy mix to

achieve sustainable forest management (SFM), the objective of NFPs; the criteria and indicators of SFM (more or less ambitious); and procedural and institutional aspects. The intended policy change depends on the level of SFM; at a low level of SFM any change towards SFM may appear more important than at a high level of SFM.

At *stage 3 (outcome of NFPs)* one might ask for the final result (outcome) of a NFP to achieve SFM. Not until this stage one can make assertions about the *significance of NFPs in comparison to other policy means* (task 1 of the work programme).

On the basis of these agreements, Peter Glueck endorsed the new proposal from Freiburg, presented by Felix Reining. Following the good example of WG 1 he proposed the preparation of theoretical as well as empirical papers (case studies) for each of the external factors and their supporting and impeding effects on NFPs. The case studies are thought to empirically scrutinise the propositions of the theoretical papers. The proposal was principally supported. However, two possible approaches for the preparation of the theoretical respectively empirical papers have been discussed: On the one hand some people would develop theoretical papers independently from those who prepare empirical papers, on the other hand theoretical and empirical papers would be developed in co-operation (“&” in Table 1). Both approaches have been welcomed.

Volunteers were asked to contribute to the six external factors by theoretical and empirical papers (Table 1). In order to keep the work load manageable, the members agreed to have an additional meeting in June 2002. It has been decided that the meeting would be held from 28 - 29 June 2002 in Sopron, Hungary, presuming the permission by the COST secretariat. It has been further decided that in every meeting two topics will be discussed (Table 1).

Dates and venues	External factors	Theoretical papers	Empirical papers (case studies)
Finland, March 2002	Financial incentives	Americo M.S. Carvalho Mendes	Marcus Sangster Birger Solberg Kostas Papageorgiou
	Institutional aspects	Erling Berge & Olli Saastamoinen	Inocencio Seita Coelho <i>(will name somebody)</i> Pekka Ollonqvist & Harri Hänninen Felix Reining
Hungary, 28th and 29th of June 2002	Land tenure	Attila Lengyel & Karoly Meszaros	& Berit Aasen & Cristina Montiel & Kostas Papageorgiou & Inocencio Seita Coelho
	Multi-level governance and advocacy coalitions	Berit Aasen	Karl Hognl (?) Marcus Sangster <i>(will also ask Steven Bass)</i>

Portugal autumn 2002	Political culture, social context	Erling Berge & Berit Aasen	Pekka Ollonqvist & Harri Hänninen Kostas Papageorgiou
	Legal regulations	Willi Zimmermann	Marie Appelstrand Attila Lengyel & Karoly Meszaros Diana Mizaraite Marcus Sangster Kostas Papageorgiou Johannes Voitleitner <i>and other volunteers</i>

Table 1: Division of labour

It has been discussed whether it would be feasible to have the theoretical papers before the empirical papers are concluded. As time constraints do not allow to proceed in that way, volunteers were asked to present their papers at latest three weeks before the next working group meeting in Finland. Volunteers that will present papers in the following two meetings are requested to present an outline of their papers by the end of February 2002. Both, papers and outlines can be put on the homepage. Please contact Mr. Hänninen email: harri.hanninen@metla.fi.

Once papers will be available prior to one of the next three WG 2 meetings, the participants agreed that the authors will be asked to give a 10 minutes oral presentation of their papers. The main propositions of both the theoretical and empirical papers will be derived by a moderator group. The WG will then split into sub-groups dealing with a well-defined series of propositions and reporting on their findings to the WG 2 plenum. David Humphreys offered to be part of the moderator group that will develop propositions.

3. Reflections on plenary presentations of invited speakers

The participants reflected on the influence of financial incentives that have an impact on nfps as regards the four elements.

It has been suggested to use economic instruments instead of financial instruments, as this presents a broader term of understanding.

4. Presentations on experiences with financial framework and incentives

No paper on financial incentives was available.

Kostas Papageorgiou gave an interim report on MULTIFOR.RD.

5. Discussion and preparation of theses list

At the example of economic instruments the participants debated the supporting and impeding influence on NFPs, following the three-stage approach. The discussion should instruct the authors of theoretical papers on how to proceed (Fig. 1).

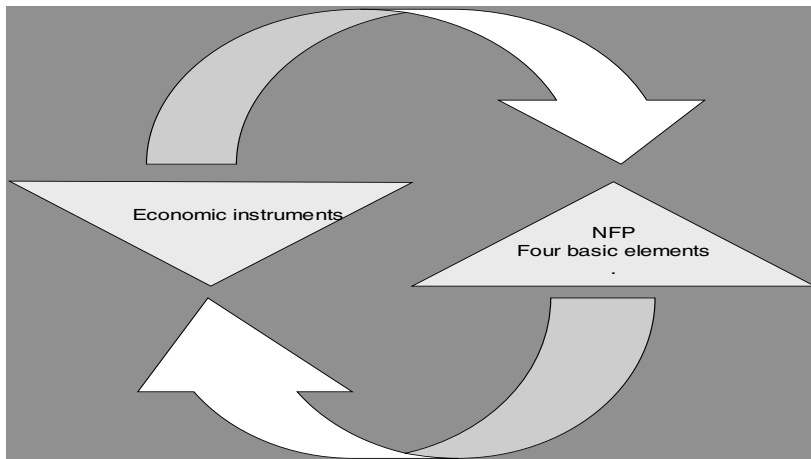


Fig. 1 Influence of financial incentive on nfps

At stage 1 (formulation process of NFPs), where most of the participating countries are to be located, the influence of economic instruments on the four basic elements of NFPs is to be investigated in theoretical terms. The following propositions were made:

- participation:

- a) Financial instruments influence transaction costs and thereby influence also participation.
- b) The acknowledgment of legitimate interests should take into account equity and justice issues with regards to the influence of economic instruments on participation.
- c) Incentives shouldn't be looked at as a premium for participation. A small amount of money should be paid by the participants, taking into account also that too many participants might postpone final results.
- d) Financial incentives can not be a guarantee for participation.

- adaptive iterative planning:

- a) Planning implies a definition of competences – Generally spoken there's a lack of knowledge about what will be approved by the parliament.
- b) Budget allocation will influence and conflict with long-term and short-term planning.
- c) The calculation of real incentives and compensation payment pose problems to the multi-level governance decision making system.
→ An example from Switzerland has been given.
- d) Learning means to capture gains from future practices.

- other basic elements:

Once a NFP has been formulated as in Finland or Germany (*stage 2*), the following propositions can be made:

- a) The four core elements are only procedural, while instruments are part of the content of nfps.
- b) Subsidies can be used, but it depends on the respective policy goals.

- c) Effects between economic policy and nfps should be taken into account. The economic policy will be restricted because of iterative planning.
- d) Introduction of change through NFPs, also the need for change comes from outside the forest sector. Ex: Hungary

At *stage 3 (outcome of NFPs)* when a NFP has been implemented (e.g., in Finland) there is the possibility to assess the policy change in terms of the degree of achievement of SFM. The following assertions were presented:

- a) yes, NFPs are used to produce changes
- b) no, nothing is changing
- c) make changes without NFPs

The empirical papers (case studies) could be dealt with in a similar way, but should primarily be empirically oriented. Using the individual country experiences as evidence. When both theoretical and empirical papers are discussed in one of the future meetings, they should stimulate each other and bring about consensual propositions.

6. Products and deliverables of WG2 for the joint WG 1+2 meeting

There was no time to discuss this item thoroughly. However, the recommendation of the evaluation team should be considered to spend more attention to the joint WG 1+2 meetings in the future.

7. Preparation of the next WG2 meeting

Marcus Sangster informed the participants that currently a group of researchers analyses the impact of CAP respectively forestry and rural development across seven European countries. He offered to invite a researcher. A possible topic for the speech could be "CAP supporting and impeding factors for sustainable forestry". He offered further to ask Steven Bass to contribute to the multi-level governance topic, which will be discussed in June 2002 in Hungary.

8. Other topics

Willi Zimmermann was asked to circulate his survey and to maybe put it on the web page. The papers dealing with legal aspects presented in Aberdeen will be published in a publication of the ETH Zurich.

9. Closing

Peter Glueck expressed his thanks to the organizers as well as to the participants for their pro-active co-operation and closed the meeting.

Peter Glueck
Vice-chairman of WG2

Helga Puelzl
Minutes-checker

Vienna, 25 September 2001

Country reports	
Country	Responsible
Austria	Johannes Voitleitner
Belgium	Noel Lust
Finland	Harri Hänninen, Pekka Ollonqvist, Olli Saastamoinen
France	G. Buttoud <i>will name somebody</i>
Germany	Pretzsch Jürgen, Peter Elsasser
Greece	Kostas Papageorgiou, Alexandra Vakrou
Hungary	Károly Mészáros, Attila Lengyel
Italy	Lorenzo Venzi
Lithuania	Diana Mizaraite <i>will name somebody</i>
Netherlands	Heiner Schanz
Norway	?
Poland	Piotr Paschalis
Portugal	Consult Américo M.S. Carvalho Mendes
Spain	Christina Montiel, Gloria Dominguez Torres
Sweden	Marie Appelstrand, Sven Svensson
Switzerland	Willi Zimmermann
United Kingdom	David Humphreys, Marcus Sangster