

**FEDERAL AND STATE AGENCIES AND PROGRAMS
FOCUSED ON NONFEDERAL FORESTS
IN THE UNITED STATES:
AN ASSESSMENT OF INTERGOVERNMENTAL
ROLES AND RESPONSIBILITIES**

by

Paul V. Ellefson, Calder M. Hibbard and Michael A. Kilgore

June 2003

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ABSTRACT

Summary

The appropriate jurisdiction of various levels of government has historically been a fundamental issue in American politics. In many respects, nonfederal forests and the correctness of governments to be charged with their stewardship has been an integral part of broader attempts to define the responsibilities of the nation's many levels of government. The context for such concerns has been varying perspectives on how to exercise federalism as a political system. Subsequent to the establishment of various national systems (for example, the National Forest System), federal interest in nonfederal forests focused on protecting them from fire, overcutting, and the application of inappropriate forestry practices. Since then, the federal role has evolved to concern over broader environmental conditions involving nonfederal forests in general. Although the subject is of continuing and often intense concern, there has yet to crystalize a comprehensive and widely agreed to view of exactly what constitutes appropriate federal roles in the use, management and protection of nonfederal forests.

- **Federalism Offers Many Approaches.** Federalism as a political system can embrace a variety of ways to formalize state-federal intergovernmental relationships, including an emphasis on federal control and mandated state responses (top-down), mutual state-federal dependence and sharing of program administration (donor-recipient), state initiated actions to which federal agencies respond with resources (jurisdiction-based), and joint action involving multiple levels of government and nongovernmental organizations (network-based). Judging the appropriateness of different approaches is often more an exercise in politics than in careful analysis.

- **Standards of Appropriate Roles are Diverse.** Benchmarks for judging potential federal roles (and accompanying programs) range from the all-inclusive to the pragmatically narrow and specific. Commonly suggested are that intergovernmental roles and actions should (for example) promote government capacity and foster stable partnerships, encourage autonomy and allow for flexibility, promote problem solving and be responsive to community needs, encourage experimentation and increase investment efficiencies, honor political cultures and traditions and promote trust and respect, and address regional externalities and foster a willingness to abandon inappropriate roles and ineffective programs. Mutual trust between governments is an especially important benchmark.

- **Laws, Directives and Plans Guide Adoption of Federal Role.** Federal law, agency directives and strategic plans are filled with statements describing federal roles in nonfederal forests and replete with assignment of desired programs for accomplishing such roles. In reality, however, deciphering in a comprehensive sense, the federal role in nonfederal forests remains difficult. The number of statements alluding to a federal role is sizeable, the scope of any one statement is typically very broad (promote environmental quality, conserve resources for future generations), the statements suggesting a federal role are often all-embracing (promote timber and wildlife and range and water and . . .), and federal roles and programmatic ways of

accomplishing such roles are usually set forth as one in the same, with frequent emphasis on the “how” of accomplishing a federal role and less on defining the exact nature of the role to be accomplished.

• **Policies and Programs Carried Out are Expressions of Federal Roles.** Policies and programs implemented by federal agencies are expressions of the federal role in nonfederal forests. Of 187 federal programs assessed in 2002, nearly three quarters were implemented by the U. S. Department of Agriculture (46 percent) and the U. S. Environmental Protection Agency (26 percent). Most common were programs involving research and development, resource conservation, and education and information. As for the manner in which federal programs link with state governments, the approaches are quite diverse most common of which are project grants, direct payments and formula grants, and dissemination of technical information to state governments. Diversity in federal agency programs is challenged by equal if not greater organizational and program diversity at the state government level, namely nearly 1,500 state government agencies implementing programs that affect nonfederal forests. Such diversity acknowledges the diversity of resource, social and political conditions that exist within states. However, it also suggests an enormous administrative challenge to effectively match and subsequently coordinate federal and state agencies seeking to further the appropriate use, management and protection of nonfederal forests.

• **Favored Federal Roles Involve Finances, Technical Advice and Coordination.** A 2001 nationwide survey of state foresters (49 state foresters responding) and federal agency executives (25 executives) in the State and Private Forestry unit of the USDA-Forest Service suggests (in the aggregate) that federal roles involving nonfederal forests should focus primarily on providing states with financial assistance, furnishing them with leading-edge technical advice, and promoting opportunities for coordination between states across a larger multi-state region (see table end of abstract). Only very limited support is expressed for federal involvement with the client groups of state programs (federal convening of clients of state implemented programs and federal attempts to facilitate resolution of conflict among such clients). Decisions to exercise federal participation should be determined by (a) directives or mandates contained in federal laws or rules, (b) reality that only via a federal presence can certain national or regional goals be accomplished, and (c) the existence of federal financial resources without which the federal role cannot be accomplished.

• **Favored Federal-State Linkage is Direct Provision of Financial Support.** Federal provision of direct financial support to state governments is viewed as the most important formal administrative linkage between federal and state governments. All other possible arrangements are far behind in preference, including federal agency lending of personnel and equipment to states, state-federal co-management of forest land, equipment and facilities, and federal agency offices to which states could establish matching counterpart offices. Especially suspect is any linkage wherein a federal agency gives direction or mandates to which a state must respond. Favored linkages are those in which (a) federal agencies impose few if any restrictions, (b) arrangement is clearly the most effective way (or only way) of linking state-federal interests, and

(c) where there exists a long-term federal commitment to the arrangement (especially by leadership within the agency). Least important decision rules are the existence of federal agency staffing (size and competency) and the dictates of national centers of political power (interest group influence).

• **State-Federal Working Relationships are Functioning Well.** State foresters and agency executives combined consider state-federal working relationships to be functioning very or moderately well and that current federal roles and linkages are promoting cooperation between state and federal governments on matters involving nonfederal forests. Federal involvement is viewed as stimulating state adoption of new programs and as adding important elements to existing state policies and programs. A nearly equal portion of the combined respondents were also of the opinion that federal involvement has led to more state attention to nonfederal forests. When posed with a specific set of desired outcomes (for example, establishing adequate funding, encouraging innovation, engaging client groups), the combined responses were modestly affirmative that such were being accomplished, although very few on average suggested they were being accomplished in a very effective manner. Major deterrents to the accomplishment of desired outcomes are inadequate resources, cumbersome administrative procedures, and lack of a shared state-federal vision for nonfederal forests.

Observations

Assessment of federal-state roles and responsibilities in nonfederal forests is a challenging task that cannot always be fully dealt with, even with the application of rigorous procedures and investment of ample resources. However successful this assessment is ultimately viewed, the results seem to point to a number of conditions that are worthy of special recognition. Consider the following.

• Selection of federal roles (and accompanying programs) is often a highly charged political activity that occurs with the context of continuing national debate over the appropriate roles of various levels of government generally. It is within this political environment that is placed myriad issues concerning which governments should promote sustainable use, management and protection of nonfederal forests.

• Continuing debate over federal roles (and accompanying programs) in nonfederal forests is a reality to be acknowledged and one which is to be expected in a pluralistic political system. Give the social and historical diversity of the nation, and segments thereof, the divisiveness that may at times occur over the appropriateness of certain federal roles will not go away.

• Federal agency involvement in nonfederal forests is extensive; there are many, many federal agencies and programs that are engaged in a host of activities that affect the use, management and protection of nonfederal forests. Conversely, the diverse federal presence is challenged by equal if not greater organizational and program diversity between state and local

units of government. The interface between state and federal agencies seeking to promote their respective roles in nonfederal forests is literally a sea churning with complexity.

- Agency promotion of federal and state roles in nonfederal forests can lead to inter- and intra-governmental conflict and inefficiency, although, when properly coordinated, focused agency actions can also lead to very significant and quite progressive consequences.

- Some levels of government (and certain government entities) are more effective than others; they are simply better positioned to accomplish desired consequences for nonfederal forests. National governments may have better access to financial resources and may be better positioned to promote solutions to broad multi-state issues, while state governments may be more adept at experimenting with different approaches to problems and more understanding of local conditions around which successful program implementation can be developed.

- State-federal working relations involving nonfederal forests appear to be functioning quite well. However, such relations could be made more effective if there were access to additional resources (fiscal and professional), reductions in cumbersome administrative procedures, and greater mutual understanding of (and commitment to) a shared state-federal vision for nonfederal forests.

Summary of State Forester and Federal Agency Executive Perceptions of Especially Important Federal Roles and Federal-State Administrative Linkages Involving Nonfederal Forests. 2001.

Characteristic	State Forester-Agency Executive Combined Perceptions	State Forester Perceptions	Agency Executive Perceptions
Federal Roles & Responsibilities	<p><i>Role:</i> provide financial resources, furnish technical assistance, and promote coordination among states.</p> <p><i>Selection Criteria:</i> legal requirement, unique and effective federal position, and available federal finances.</p>	<p><i>Role:</i> provide financial resources, furnish technical assistance, and monitor condition of forest resources.</p> <p><i>Selection Criteria:</i> legal requirement, unique and effective federal position, and available federal finances.</p>	<p><i>Role:</i> promote coordination among states, furnish technical assistance, and encourage innovation in goals and programs.</p> <p><i>Selection Criteria:</i> legal requirement, unique and effective federal position, federal agency leadership commitment, and strong stakeholder support.</p>
Federal Program & Administrative Linkages to States	<p><i>Linkage:</i> financial support, lend technical personnel, and equipment, participate in development of state goals and programs.</p> <p><i>Selection Criteria:</i> few federal administrative restrictions, only way of accomplishing desired ends, existence of federal agency leadership commitment.</p>	<p><i>Linkage:</i> financial support, and lend technical personnel and equipment.</p> <p><i>Selection Criteria:</i> few federal administrative restrictions, available federal finances, existence of federal agency leadership commitment.</p>	<p><i>Linkage:</i> financial support, presence on state committees, lend equipment and technical personnel, participate in development of state goals and programs.</p> <p><i>Selection Criteria:</i> only way of accomplishing desired ends, existence of federal agency leadership commitment, and few federal administrative restrictions.</p>
Effectiveness of Current Roles and Linkages	<p><i>Overall:</i> moderate to very well.</p> <p><i>Especially Effective:</i> acquiring program resources, and encouraging program innovation.</p> <p><i>Deterrents:</i> inadequate program resources, cumbersome administrative procedures, absence of state-federal vision for nonfederal forests.</p>	<p><i>Overall:</i> moderate to very well.</p> <p><i>Especially Effective:</i> acquiring program resources, and encouraging program innovation.</p> <p><i>Deterrents:</i> inadequate program resources, cumbersome administrative procedures, absence of state-federal vision for nonfederal forests.</p>	<p><i>Overall:</i> moderate to very well.</p> <p><i>Especially Effective:</i> acquiring program resources, and engaging citizens and client groups.</p> <p><i>Deterrents:</i> inadequate program resources, lack of state-federal agency trust, absence of state-federal vision for nonfederal forests.</p>

FEDERAL AND STATE AGENCIES AND PROGRAMS FOCUSED ON NONFEDERAL FORESTS IN THE UNITED STATES: AN ASSESSMENT OF INTERGOVERNMENTAL ROLES AND RESPONSIBILITIES

Paul V. Ellefson, Calder M. Hibbard and Michael A. Kilgore

INTRODUCTION

The forestry community has a rich history of federal-state program linkages, especially in the areas of fire control, extension-education, and technical and financial assistance focused on nonfederal forests. These links have taken many forms (for example, fiscal, regulatory, organizational, geographic) and have been exercised in various manners (for example, technical advice, financial grants, convening groups, conducting research, institution building). In many respects, the historic linkage between federal and state governments has been one of shared decision-making, especially as such involves the lead forestry agencies of state governments (Dana and Fairfax 1980, Koontz 2002). Of concern to each level of government has been the achievement of respective national and state interests in the use, management and protection of nonfederal forests.

Seeking to achieve important national interests in forests, the federal government has in recent years seen fit to engage a wider array of state organizations (for example, pollution control agencies, fish and game departments) and in some cases has virtually bypassed state government all together (for example, endangered species management, nonpoint source pollutant management). These circumstances, combined with continuing interest in devolving to states many federal forestry responsibilities, raise concerns about the nature and effectiveness of current intergovernmental linkages involving forest resource matters. For example, what is the nature of the existing intergovernmental landscape and how effective are existing linkages? And what are appropriate federal roles in state matters involving nonfederal forests and how should these roles be organizationally and programmatically expressed?

The many issues and concerns associated with intergovernmental relations involving forests prompted an assessment of current conditions and a search for better ways of linking federal agency interests to the national interest in nonfederal forests. This assessment's objectives were to:

- Identify federal roles in state forest resource matters involving nonfederal forests.
- Identify federal intergovernmental program links used to accomplish federal roles involving nonfederal forests.
- Assess the effectiveness of federal-state intergovernmental program links used to accomplish federal roles involving nonfederal forests.
- Suggest potential ways of improving the effectiveness of federal-state intergovernmental program links in matters involving nonfederal forests.

The assessment concentrated on federal and state programs focused on nonfederal forests and was directed primarily at major units of state, federal, and tribal governments. A special focus was given to (a) lead state forestry agencies (office of the state forester) and (b) national and regional offices of State and Private Forestry, USDA-Forest Service (program managers). Other units of state, federal and tribal governments were given modest attention depending on the extent to which their program responsibilities were significant to the use, management and protection of nonfederal forests. Geographic regions used throughout the assessment are defined as *North*: CT, DL, IL, IN, IA, ME, MD, MA, MI, MN, MO, NH, NJ, NY, OH, PA, RI, VT, WV, WI; *South*: AL, AR, FL, GA, KT, LA, MS, NC, OK, SC, TN, TX, VA; and *West*: AK, AZ, CA, CO, HI, ID, KS, MT, NB, NV, NM, ND, OR, SD, UT, WA, WY.

FEDERALISM AS A CONCEPTUAL FRAMEWORK FOR DEFINITION OF ROLES AND RESPONSIBILITIES GENERALLY

Historic Context of Federalism

A widely recognized feature of American government is the federal system (or federalism). Federalism provides for independently operating national and state governments, each of which commands the loyalties of the same individuals as citizens of a state and of the nation. The primary rationale for establishing the federal system was to prevent concentration of power in a national government. Viewed as protectors of individual liberties, states were set forth as counterweights against the occurrence of a potentially strong central power. The results of federalism as an approach to government in America has been the formation of an impressive number and variety of complex government entities.¹ Of appreciable concern over the years has been the relationship between these entities, especially concern over which policies and programs are appropriate to which levels of government. In 1908, Woodrow Wilson wrote “. . . a cardinal question of our times involves the relation of states and the federal government.” In the view of many, attempts to define relations between national, state and local governments has been the single most persistent source of political conflict in America.

The framers of the U. S. Constitution sought a way to combine governments into a structure that would minimize “instability, injustice, and confusion,” in the words of James Madison (Rossiter 1961). They made a concerted effort to define which levels of government had—and did not have—which powers. For example, the U.S. Constitution specifically granted the national government the power to coin money, conduct foreign relations, regulate commerce among states and to provide for an army and navy, whereas state governments were given the power to establish local units of government, regulate commerce within a state, conduct elections, and to take measures for public health, safety and morals. Both levels of government

¹ In 1997, 87,453 government units existed in the United States in 1997 (one federal, 50 states, 87,453 local [county, municipal, township, school district and special district]). Of these units, 6,983 had special responsibilities for natural resources (U.S. Census Bureau 1999).

were granted the power to tax, borrow money, establish courts, spend money for the general welfare and take private property for public purposes (with just compensation).

The U.S. Constitution, however, is nearly silent on some very important issues. For example, how far can state and federal policymakers stretch the constitutionally established boundaries of government power and which level of government is to prevail when state and federal policies and programs collide? To some, the Tenth Amendment to the Constitution clearly provides the answer, namely “. . . powers not delegated to the United States by the Constitution, nor prohibited by it to the states, are reserved to the states respectively, or to the people.” To others, the supremacy clause of the Constitution (Article VI) suggests otherwise, namely “. . . the laws of the United States which shall be made in pursuance (of the Constitution) . . . shall be the supreme law of the land.” Over time, however, the American system of federalism seems to have evolved into a cooperative partnership of federal, state and local governments, a partnership based on the implicit premise that virtually all functions of government are to be shared in some way by virtually all levels of government (Diamond 1993).

Conceptual Approaches to Federalism

The relationship between levels of government in the United States is defined as a system of federalism, namely “a sort of association or league of sovereign states . . . with separate, self-sustaining centers of power and prestige” (Diamond 1993). More pointedly, federalism is generally viewed as a system of government in which power is divided between higher and lower levels of government in such a way that both levels have a significant amount of separate and autonomous responsibility for the social and economic welfare of those living within their respective jurisdictions. Within such a context, the responsibilities of subnational governments include recruitment of their own political and administrative leaders, power to tax their citizens, inclination to provide whatever services citizens demand — all of which is carried out in the context of legally prescribed autonomy (for example, a constitution) (Peterson 1981). The importance of intergovernmental relations was recognized in 1959 with the Congressional establishment of the Advisory Commission on Intergovernmental Relations (Advisory Commission on Intergovernmental Relations 2003).

Over the years, federalism has evolved from a system of dual federalism (state and national governments each remaining supreme in their own spheres) to cooperative federalism wherein power and policy responsibility are shared. In such a cooperative context, federalism seeks to take advantage of the best that state and local governments have to offer, namely states recognized as often having greater knowledge of localized conditions (for example, local political landscape) and problems (for example, diversity in forest resources), while the federal government is viewed as having substantial resources, expertise, information and authority to deal with interstate (trans-boundary) problems. Cooperative federalism also seeks to capture the potential of states as laboratories of democracy where new policies and programs can be freely tested (Nice 1987).

Examination of federalism has given rise to an extensive body of literature devoted to intergovernmental relations, namely how the many and varied American governments deal with each other and what their relative roles, responsibilities, and levels of influence are and should be. The result of these inquiries has led to various conceptual approaches for describing relationships between governments in a system of federalism. Consider the following (Gordon 1992, Nice 1987, Wright 1988 and 1993) (Figure 1).

Competitive Models

Competitive models of federalism describe intergovernmental relations as a system in which governments compete for power (one level gaining only at the expense of another) (Figure 1). For example, *nation-centered federalism* views the federal government as the dominant force, presuming that such government has a broader perception of issues and that states are poorly equipped to deal with difficult problems. Embraced by the approach is an extensive national government activity, occurring because of a fear that leaving problems to states will result in inaction or confusing, ineffective and uncoordinated state responses. In contrast, *state-centered federalism* views state governments as the dominant force, suggesting the dangers of concentrating excessive power in a national government. States governments are viewed as closer to the citizens, more able to adapt to their needs, and more willing to experiment with different policies and programs. *Dual federalism* as a competitive model suggests that each level of government is supreme within its sphere of responsibility. From such a perspective, neither level is dominant and neither level interferes in the affairs of the other. Great emphasis is placed on balance in government level responsibilities, the national government provides broad and nationally coherent policies while states provide the policy and program flexibility that nation-center federalism cannot. Dual federalism as a concept ignores the difficulty of drawing boundaries between national and state functions and ignores the reality that cooperation between levels of government may be more effective than either level acting alone.

Interdependent Models

In contrast to competitive concepts of intergovernmental relations, interdependent models focus on the overall gains that can occur through the sharing of power and responsibility (Figure 1). For example, *cooperative federalism* emphasizes the value of cooperation among government levels, suggesting that joint efforts produce better results. Because no level of government is viewed as having a monopoly on creative ideas for policies and programs, cooperative strategy among governments allows the best ideas to come to the forefront regardless of the level from which they originated. Cooperative federalism ignores, however, that cooperation among governments does not occur automatically and that how such is to be brought about (if it fails to occur) can be a major intergovernmental challenge. *Mutual-reliance federalism* suggests that governments must work together since their fate in addressing an issue is so shared that the failure of one level of government leads to a demise in the ability of the other level to address an issue. Mutual-reliance federalism presumes agreement on which issues to address and how the burdens of addressing the priority issue are to be divided.

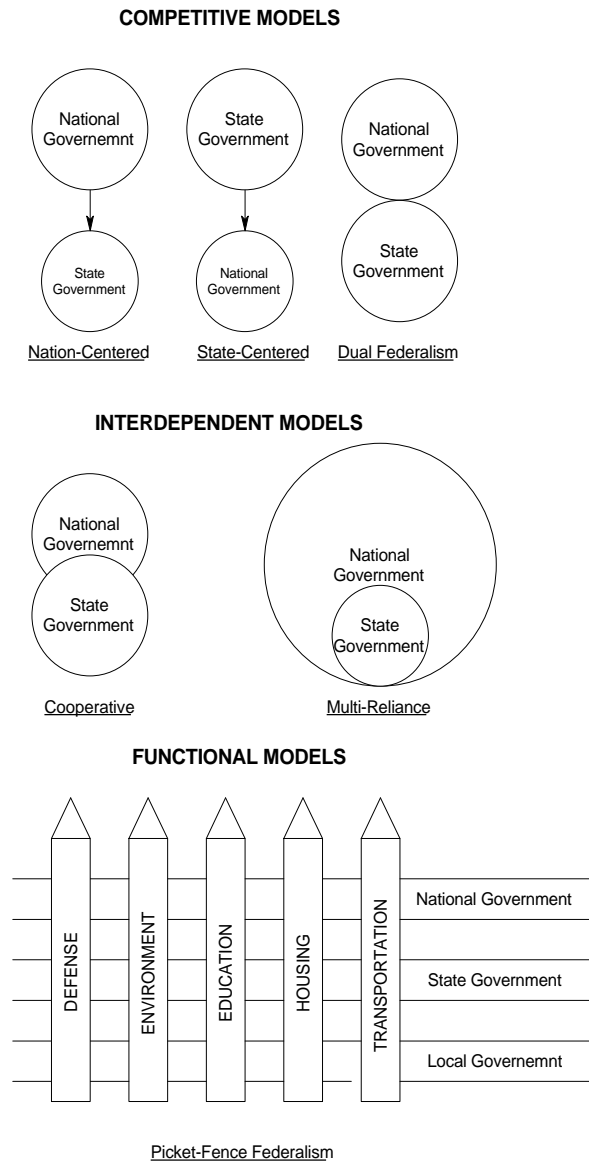


Figure 1. Conceptual Models of Federalism

Functional Models

Vertical divisions between governments are the focus of functional models of federalism, not the horizontal divisions commonly described between national, state and local governments (Figure 1). They point to the importance of specialized agencies and bureaucrats and their frequent resistance to outside influence. For example, *picket-fence federalism* focuses on functional bureaucracies within levels of government and the linkages occurring between the specialized programs within these bureaucracies at various levels of government. The vertical

bonds between governments are from one bureaucracy's program to another, not between abstract notions of national (president), state (governor) and local (mayor) levels of government (grants are provided by a particular level of government to a specific agency for specific purposes, not for general operation of another level of government). The model tends to exaggerate the extent of agreement occurring between specialized agencies at various government levels, and neglects the extensive diversity that often exists among specialized agencies across state governments. *Bamboo-fence federalism* recognizes the importance of both vertical and horizontal interrelationships in a federal system. Functionally specialized agencies are viewed as responsive to pressures exerted by national, state and local officials.

Intent of Federalism

Establishing formal program and administrative relationships between different levels of government is predicated on the assumption that accomplishment of a desired outcome is in the interest of one or more of the government levels involved (Denhardt 1991). For example, grants of money may be provided to other governments so as to ensure that some minimal level of service is provided across political jurisdictions or that especially serious problems (for example, crime and poverty) in one political jurisdiction are given special attention since they could adversely affect other governmental jurisdictions. Widespread negative externalities that go beyond an administering government's purview (for example, extensive air and water pollution) may also be a reason for intergovernmental actions, as may the need to foster innovation in policies and programs or to promote structural reform in the way particular level of government is organized (for example, establish a pollution control agency) or administered (for example, adopt a goal-oriented budgeting process). Interaction between governments of different levels may also be undertaken in order to sustain citizen involvement in a government's ability to deal with a social issue (for example, racial inequities), when (for whatever reason) such a government is unable to do so. The supposition being that local citizen participation and initiative is an important value to be promoted.

State governments can be the political jurisdiction by which the federal government promotes a variety of outcomes that are considered to be in the national interest. For example, the intent of federal action may be to establish minimum national standards (for example, workplace safety, public health) or to equalize the economic bases of states and their ability to raise revenue. Federal involvement may also be focused on improving the administration and performance of state government (for example, professionalizing state employees) or on improving the state ability to concentrate on especially serious problems deemed to be of national importance (for example, research on environmental problems). Stimulation of experimentation by state governments can also be the intent of federal involvement, experimentation that may lead to innovative programs that can be transferred to other jurisdictions. Federal use of states for accomplishing outcomes considered in the national interest can also involve federal requirements for accomplishing various social and political objectives (for example, affirmative action). The aforementioned are but a few of the purposes for which the national government engages states as institutional mechanisms for accomplishing the national interest.

Formal Expression of Federalism

As with intent, the formal program and administrative expressions of federalism are extremely diverse, although broad legal parameters often give it general direction (May and others 1996, Olson 2000, Scheberle 1997). For example, federal laws may initially preempt state authorities, only to have such authority delegated back to states when they have meet federally established standards (for example, state regulation of surface mining under federal agency oversight). If a state fails to meet federal performance requirements, control of a program is resumed by appropriate federal agencies. Federal laws may also require or direct states to perform certain tasks or assume certain responsibilities (for example, comply with federal standards for safe drinking water). Failure to comply may result in the imposition of a federal court order or the placement of sanctions on unrelated state programs.

Also a legal framework for linking state and federal governments is the establishment (by federal law) of voluntary cooperative relationships that rely on federal funds and technical support as incentives for state participation. These cooperative linkages can take many forms, including technical assistance (for example, management of forest wildlife habitats), financial support (for example, cost-share of water pollution preventing practices), shared operation (for example, joint sponsorship of forestry research programs), emergency assistance (for example, management of wildlife in forested areas) and supporting laws and rules (penalties for violation of endangered species standards). Standard operating procedures for many programs administered under cooperative federalism have evolved over the years to include:

- Shared costs—federal and state governments share the costs of implementing a program (for example, reforestation cost-share programs, statewide forest planning programs).
- Shared administration—state and federal governments share in the implementation of federally funded programs (for example, state governments provide technical advice on reforestation and the dispensing of reforestation funds to landowners).
- Federal limitations and guidelines—federal government limits the manners in which federal funding can be spent (for example, size of forest property eligible for reforestation grants)

Formal program and administrative expressions of federalism flow from various legal parameters such as those previously mentioned. In a more exacting sense, the linkages between federal and state governments can take on specific orientations, including structural, program, behavioral and capacity building. From a *structural perspective*, the focus is on establishing agencies and their subunits that are able to directly interface with states in the accomplishment of a desired federal interest. Federal agencies organize (and hope that states will similarly organize) into functional departments, bureaus, divisions; or federal agencies promote vertical collaborative structures (partnerships, roundtables) as a way of linking potential state responses to federal programs and initiatives. The focus of state-federal linkages can also have a *program*

perspective in which federal agencies establish programs to which states can link and thence carry out a desired federal (and state) purpose. Program interfaces can be extremely diverse, including the provision of technical and financial assistance and the establishment of substantive directives (policies, rules, regulations) or process directives (planning, performance, evaluation) with which states must comply. State-federal links can also take on a *behavioral perspective* wherein the focus is on federal promotion of communication and consensus building as is considered necessary to move state behavior in directions more prone to accomplishing the federal interest. And linkages may also take a *capacity building orientation* in which the focus is on strengthening the ability of states to accomplish a federal purpose. Such may include skill-building assistance in fields such as planning, administration, information management, budgeting and program evaluation.

The program and administrative expressions of intergovernmental relations often take the form of an important dichotomy, namely coercive versus cooperative forms of initiatives. The former entails the imposition of procedural or substantive requirements by a government on another level of government (for example, direct orders or conditions for assistance), while the latter involve voluntarily accepted incentives (for example, financial or technical assistance) that seek to enhance a government's capacity to act and promote commitment to a particular set of goals (May and others 1996). The approaches differ in terms of basic assumptions, expected outcomes and effectiveness (Table 1).

Coercive programs tend to be highly paternalistic and treat lower-level governments as agents for implementing rules prescribed by higher-level governments. Detailed standards and procedures are established, conditions that can curtail lower-level government discretion and innovation (Table 1). Sanctions are applied when governments fail to undertake the prescribed rules or deviate from established procedures. Capacity building is given some attention, but such is usually secondary to required installation of compliance monitoring systems and the invoking of penalties for noncompliance. In contrast, cooperative intergovernmental programs attempt to foster state autonomy and seek to enhance lower-level government interest in and ability to work toward achieving broader regional and national goals (Table 1). Lower-level governments seek appropriate means of meeting goals shared with higher-level governments, avoiding prescription of specific and uniform approaches for achieving desired outcomes. Cooperative programs use financial and technical assistance for the dual purpose of enhancing commitment and increasing the capacity of lower-level governments to act.

Table 1. Coercive and Cooperative Programs Designs in Promoting Intergovernmental Relations.

Characteristic	Coercive Program Design	Cooperative Program Design
Role of governments	Higher-level governments prescribe and enforce rules	Lower-level governments develop and apply rules consistent with higher-level goals
Emphasis of intergovernmental program	Prescribe regulatory standards and processes for accomplishment	Prescribe performance goals and processes for accomplishment
Control of lower-level governments	Monitoring for procedural compliance (meeting deadlines, adhering to processes, enforcing rules)	Monitor for substantive compliance (assessing outcomes, determining progress toward goals)
Implementation assumption	Uniformity in program application	Flexibility in program application
Implementation emphasis	Inducing adherence to standards and prescriptions	Building capacity to accomplish goals
Source of program innovation	Higher-level governments	Lower-level governments

Source: Adapted from May and others 1996.

Effective Expression of Federalism

Federalism promotes a variety of complex intergovernmental working relationships. In doing so, fundamental concerns can be raised about the efficiency and effectiveness of current as well as potential relationships. For example, how should federal and state roles and relationships to be judged as to their ability to accomplish various social and political goals, and exactly what purposes and programmatic means should different levels of government pursue in order to effectively deal with issues within their jurisdiction? The conceptual literature focused on these questions is sparse and, in review, provides only modest information important to addressing such weighty matters.

Standards of Effectiveness

Benchmarks that might be used to judge whether potential federal roles, and the programmatic means used to express them, are of value for accomplishing some desired goal, range from the conceptually all-inclusive to the pragmatically narrow and specific. Commonly suggested are that intergovernmental roles and actions promote (for example) capacity, flexibility, stability, experimentation, responsiveness, efficiency and the like. Consider the following specifics as reported by various literature sources.

- State-federal approaches to dealing with environmental issues should: *foster stable partnerships* between different levels of government and should *enhance the capacity* of local governments to accomplish their missions (May and others 1996).

- Managing across levels of government should: *encourage autonomy* at lower levels of government (yet provide for overall direction); *allow for flexibility* required to meet differing circumstances (yet ensure some minimum degree of uniformity); and promote *responsiveness to local needs* (yet ensure efficiency and effectiveness of resource use) (Organization for Economic Cooperation and Development 1997).
- Intergovernmental governance structures should promote: *major stakeholder involvement* at all levels (involvement in which participants engage on equal terms); *flexibility and responsibility* for the consequences of exercising that flexibility; *collaborative partnerships* that emphasize cohesion amongst partners; *willingness to abandon structures and programs* that are no longer deemed to be effective; *experimentation* with alternative policies and programs; and promote *problem-solving at the lowest level of government* capable of effectively addressing an issue (Radin and others 1996).
- Roles of different government levels and the program linkages between them should: *meet legal or regulatory requirements* (government level carries out a function fearing penalty or loss of resources); attain a common or *mutually beneficial goal or interest*; *increase efficiency* (reduce waste, or increase return on assets); establish *organizational and program stability* (in terms of budgets, service delivery, existence of organization, attainment of long-term goals); and *legitimize organization or program* (be in agreement with prevailing norms, rules, beliefs or expectation of external constituents) (Oliver 1990).
- Formalized intergovernmental relationships should promote: *competition among* (and between) *governments*; *autonomous and self-reliant* state and local governments; *responsiveness to citizen demands* for goods and service; *availability of a wide range of goods and services*; and an *abundant supply of information* about the costs and benefits of services offered by various levels of government (Dye 1990).
- Federalism concentrated on concern over the environment should promote: *experimentation with alternative policies* and programs (avoid one-size-fits-all approaches); *citizen ability to monitor government* activities (program implementation near citizen influence); *limit role and program monopoly* of anyone level of government; and promote program implementation at the *lowest level of government* that will allow for control of negative externalities (spillover affects) (Anderson and Hill 1997).
- Federal roles and program relationships with states should accommodate diversity among states, especially accommodate different: *power structures* (strong versus weak governors; strong versus a weak legislature); *organizational structures* (centralized versus decentralized) *political cultures and traditions* (liberal versus

conservative; likelihood of conflict); and *capacity and capability* to take action (technical expertise, administrative capacity, political will) (Radin and other 1996).

Effective relationships between different levels of government are also dependent on mutual trust. Do the roles being assumed (and the programmatic means used to accomplish them) promote the degree of cooperation required to accomplish mutually desirable goals and objectives? Do they foster stable partnerships among different levels of government and enhance their ability to effectively address issues that are important to each level of government? At the risk of oversimplifying the complexity of state-federal interactions, two characteristics of working relationships seem critical: mutual trust and extensive involvement (Scheberle 1997).

Mutual trust in intergovernmental relations is characterized by personnel that believe participants in other government levels are also dedicated to making a multi-government program actually work. They are willing to share goals and aspirations for the program, respect the views and actions of those in other governments, allow for program flexibility needed to meet diverse conditions, and demonstrate strong support for their counterparts in other governments. Federal agencies, for example, must trust the abilities, commitment and dedication of state counterpart agencies. Similarly, state agencies must have confidence in federal counterpart agencies regarding the same qualities. The second element of a positive state-federal working relationship is extensive involvement of all government levels in a multi-government program. Involvement may include formal and informal communications between government levels, frequent oversight of program progress by all involved governments, and the shared provision of financial support, technical assistance and supporting personnel. Given these two characteristics—trust and involvement—as important measures of effective intergovernmental working relationships, four kinds of relationships are possible (Scheberle 1997), namely:

High Trust	Cooperative but Autonomous	Cooperative and Synergistic
Low Trust	Coming Apart with Avoidance	Coming Apart and Contentious
	Low Involvement	High Involvement

High levels of trust coupled with high levels of involvement (upper right) generally leads to the strongest intergovernmental working relationships. Federal overseers, for example, recognize the abilities, expertise and dedication of state agencies. In turn, state agencies afford the same level of respect to their federal counterparts. Federal program administrators exhibit concern over the success of state implementation efforts because they have a genuine desire to see state agencies be successful. Federal involvement is one of assistance, with ample doses of consultation and technical and financial support.

High trust and low involvement intergovernmental engagement (upper left) is cooperative, although agencies typically operate in quasi-isolation without the benefit of learning from their counterparts in different government levels. The oversight agency may act without seeking the counsel and opinions of other government levels and the latter may fail to communicate conditions needed to steer the program toward success. Low trust and low involvement (lower left) is characterized by agencies in different government levels seldom interacting; when they do, it is because of a statutory or legal obligation. The relationships that do occur are often carried out with little expectation for any positive outcomes from the program for which all involved levels of government are responsible.

Relationships involving low trust and high involvement (bottom right) reflect a substantial degree of contentiousness. The goals to be accomplished by a program are agreed to by all government levels; however, the means to such ends are fiercely challenged and intensely debated. Information is hoarded, challenges of micro-management occur, and end-run appeals to higher authorities are common.

Fostering intergovernmental relations that involve high trust and equally high involvement—the scenario most likely to result in positive outcomes—requires trust building and involvement enhancing activities. Suggested are the following (Scheberle 1997):

- *Increase involvement:* face-to-face, on-site, informal communication; regular sharing of information and new knowledge; promotion of intra- and interagency learning opportunities; multiple communication channels between government levels; and advance information about program changes involving all involved governments.
- *Increase trust:* open and honest dialog; goals rather than means as a focus; sincere desire for meaningful information from program participants; and timely communication and opportunity for feedback.

Potential Roles and Responsibilities

The diversity of the aforementioned benchmarks can lead (as might be expected) to the occurrence of an equally diverse set of potential state-federal roles and responsibilities. That such occurs is a reflection of the intensely political nature of decisions about which level of government should assume which roles and which programs to accomplish such roles. The forcefulness of diverse citizen opinion on such matters is very strongly rooted in values and norms attendant to the nation's cultural, social and political history.

Patterns of state-federal roles can be generically portrayed in a number of ways, including: sole state responsibility (for example, regulation and licensing of occupations), sole federal responsibility (for example, regulation of broadcast media), parallel with federal preemption (for example, federal transportation safety, where federal rules prevail), parallel with

partial federal preemption (for example, federal review of air quality standards to be implemented by states), and state veto power (for example, state legal or political ability to stop drilling for oil in the outer continental shelf).

State-federal roles can also be described from the perspective of program managers that must operate in an environment where there exists a plethora of interacting governments and nongovernmental organizations, numerous programs emanating from state capitals and the nation's capital, and a litany of intergovernmental transactions involving an extremely wide range of policy and program instruments. In such an environment, federal roles can be viewed as (Agranoff and McGuire 2001):

- *Top-down federalism*—emphasis is on federal executive branch control over roles and responsibilities, with states responding to federal enforcement actions as authorized by federal laws, regulations, standards, or guidelines.
- *Donor-recipient federalism*—emphasis on mutual state-federal dependence, where state and federal governments share program administration and where bargaining and reciprocal interaction among government officials is the norm.
- *Jurisdiction-based federalism*—emphasis on state-initiated actions that seek adjustment in federal programs (more money, broader range of eligible participants) so as to better serve the strategic interests of state government.
- *Network-based federalism*—emphasis on pursuit of joint action by multiple interdependent governments (state and federal) and nongovernmental organizations.

The role of state governments (in contrast to the federal government) has been suggested as being especially important and relevant for coping with certain environmental issues. Such is not to deny the importance of significant federal roles in such matters (for example, in transboundary issues involving issues larger than anyone state). However, states may have certain comparative advantages, including special ability to customize to local resource and administrative conditions, actively engage citizens (smaller political units, more opportunities to be active, personal involvement in decisions), and work across agency boundaries within states (small agencies more familiar to citizens and professionals). States government programs are, however, alleged to be prone to capture by small political factions and to often lack the financial and professional capacity to address important large-scale environmental issues (DeWitt 1994).

State expectations for working relationships with federal agencies tend to focus around a desire to maintain cooperative intergovernmental involvement that promotes the interests of all levels of government. Few state agencies would suggest wholesale removal of federal involvement in state programs, but federal financial and technical support are often too strong an incentive for such action. However, state environmental agency managers frequently suggest that

state-federal working relationships could be improved if federal mandates were adequately funded, more flexibility existed for managing programs (especially expenditure of funds), less reliance was placed on quantitative measures of state performance (less “bean counting”), national program goals were clearer and their logic more understandable, new programs were capable of being anticipated well in advance of implementation, consistent messages were made about program requirements and operation, recognition was given by federal agencies to the extensive expertise that exists in state agencies, and greater appreciation was afforded state perspectives during establishment and implementation of federal programs (especially challenges posed by on-the-ground program implementation)(Scheberle 1997).

Challenges of Federalism

Intergovernmental systems grounded in federalism are fluid systems that can give rise to a wide variety of dilemmas during the course of their implementation (Dye 1990, Ferejohn and Weingast 1997, Nice 1987, Olson 2000, Organization for Economic Cooperation and Development 1997). For example, federalism systems are continually torn between notions of uniformity versus flexibility. Subunit flexibility, which enables subnational jurisdictions to respond in different ways, is continually challenged by the need for uniformity in program application and focus, without which may arise an array of program inefficiencies and a series of inequities involving who benefits from services and who pays their cost. Concerns also surround the need to encourage autonomy among subnational jurisdictions without losing a focus on accomplishment of the overall national interest in an initiative. Autonomy can foster pride and self-sufficiency in activities that bear directly on the accomplishment of the national interest.

Ineffective diffusion of innovative programs can also be a concern with federalism. Once a policy or program has been demonstrated to be successful, its diffusion among other political jurisdictions may be seriously delayed by the multiplicity of decision centers located in myriad different levels of government. Further complicating the promotion of innovation is the reality that a plethora of governments may adopt conflicting programs. Such may frustrate new and coherent policy and program approaches to solving problems involving multiple political jurisdictions.

Federalism must also address problems that arise if a strong federal presence is absent. Without minimum federal standards (for example, environmental standards), some states may be at risk of suffering the adverse effects of problems generated in neighboring states that may take advantage of lower standards (gain an unfair competitive advantage over another state’s law-abiding competitors). A strong federal presence and stringent federal standards may also politically serve states that have difficulty mustering the necessary resources and political support to adopt needed policies and programs (need for a “federal gorilla in the closet”). Even with a strong federal presence and well-established standards, there is concern that states will “race to the bottom” by adopting laws that prohibit state standards that are more stringent than federal standards.

Systems of federalism also are also challenged by the need to choose a level of government that is large enough to marshal sufficient resources (money, personnel, expertise, geographic reach), yet small enough to accommodate citizen access and promote citizen influence. Governments at certain levels may be easily accessed by citizens (and controlled) and prone to effective management by administrators, but they can be notoriously unresponsive to larger regional and national problems that spill across political boundaries. From an administrative perspective, federalism can foster establishment of a large number of governments (in contrast to few or a single unit) over which can be spread various administrative burdens; thus reducing the risk that any one unit will be overwhelmed by management responsibilities. At the same time, a multiplicity of governments can create extensive duplication of effort and the need to invest heavily in coordination activities.

Federalism also poses challenges for the allocation of financial resources between levels of government. A government level that cannot (or chooses not to) afford programs that citizens desire may find those citizens taking their demands to other levels of government. Doing so can distort the results of funding decision processes and force inequities in who pays and who receives benefits of a particular government's programs. In the same vein of fiscal concern, a government level that depends on another level of government for financial assistance may become vulnerable to influence by the funding source. Via a series of limitations and guidelines, the funding source may gain substantial influence over the government level receiving the funds.

Political systems built around federalism are also torn by concerns over autonomy versus control. Often at issue are disputes over rights to self-direction and the avoidance of interference by higher levels of government. They are typically enmeshed in differences of opinion over the extent to which the financier (often higher government levels) of programs should have a say in the way such programs are implemented (often by lower government levels).

Summary of Conditions

The appropriate jurisdiction for various government activities has been a fundamental issue in American politics since the nation's creation. In many respects, forests and the appropriateness of various levels of government to be charged with their stewardship has been an integral party to this often troubling matter. The political system within which such matters are debated (namely, federalism) is one that provides for independently operating national and state governments (to be characterized as a league of sovereign entities) whose relationships can be expressed in various ways, including competition for power, cautious sharing of power and responsibilities, and carefully crafted program linkages between agencies at different levels of government. Historically, forests and related natural resources have been subject to all of these expressions of federalism.

Federalism has been organizationally and administratively formalized in a number of ways. It has often been expressed as directive in nature, in that federal laws may preempt state authorities or direct states to undertake certain tasks. In contrast, federalism may promote

widespread cooperative relationships. The latter frequently evolve to include federal-state sharing of program costs and program administration, within the context of certain federal limitations or guidelines. These cooperative arrangements commonly involve forest resources and are most effective when there exists mutual trust between governments and extensive involvement of different levels of government. However, judging the appropriateness of different approaches to formalizing state-federal linkages also requires consideration of their ability to promote capacity, flexibility, stability, efficiency, problem-solving, experimentation, responsiveness and the like.

Federalism is challenged by many dilemmas, including a frequent desire for uniformity in program application versus the need for program flexibility as may be required to accommodate extensive diversity in social, political and resource conditions among states. Also challenging can be multiple state decision centers that may delay and even stifle well crafted and effective federal initiatives, inability of some states to marshal the necessary resources (money, personnel, expertise) required to meet and implement federal programs that promote the national interest, and significant administrative and financial burdens posed by federally mandated programs.

RESEARCH AND INTEREST-BASED DEFINITION OF ROLES AND RESPONSIBILITIES IN NONFEDERAL FORESTS

Scholars, administrators and elected officials have suggested various federal responsibilities in the use, management and protection of nonfederal forests. Among the earliest major debates over appropriate federal roles occurred in the 1920s when the focus of forestry leadership at the national level shifted from concern over newly established national forests to concern over the condition of private forest lands (Dana and Fairfax 1980, Koontz 2002). Perceived to be of national importance (and thus requiring a federal role) were devastating forest fires, excessive harvest of timber, inappropriate application of forestry practices, lack of reforestation, and deficiency in state capacity to deal with such issues. The matter became embroiled in controversy over federal versus state regulation of forestry practices on private land, an issue resolved by enactment of the Clarke-McNary Act of 1924. The latter acknowledged that a federal role in nonfederal forests was appropriate, and that the exercising of that role should be done in a cooperative fashion involving the federal government, state governments and private entities having an ownership interest in forests (Dana and Fairfax 1980, Ellefson 2000).

Nonfederal forests also became party to intense debate over federal roles involving their use, management and protection in the 1960 and 1970s. Although the environmental controversies occurring in the latter period were much more broadly construed than had occurred in the 1920s, the federal roles adopted to address these controversies had very significant implications for state governments and for nonfederal forests. The roles adopted were expressed in at least two different major ways, namely joint state-federal action wherein states were required to respond to federal directives (for example, state-developed plans of action) accompanied by federal technical and financial assistance, and direct federal preemption of

traditional state responsibilities involving the use and management of natural resources, including nonfederal forests (for example, federal prohibition of practices that disturb the habitat of certain wildlife species). Examples of the former are the various amendments to the Federal Water Pollution Control Act (as amended), while an example of the latter is the Endangered Species Act (as amended). Other federal environmental era laws that profoundly shifted consideration of the appropriateness of federal roles are the Federal Environmental Pesticide Control Act, Coastal Zone Management Act, Clean Air Act, Occupational Safety and Health Act, and the Surface Mining Control and Reclamation Act.

Agency Advice and Recommendations

Federal responsibilities involving nonfederal forests specifically have been suggested by a variety of government sponsored initiatives. For example, the Caper Report of 1920 (USDA-Forest Service response to U.S. Senate request) placed special stress on the importance of “. . . effective cooperation between the federal government and the states in preventing fires and on the growing of timber on cut-over lands.” In 1974, the U.S. Environmental Protection Agency proposed a forest practices regulatory act that “. . . recognized the importance of timber and private forestlands and the necessity of regulating activities undertaken on such lands.” Vehement opposition to the proposed act and the implied federal role lead to the demise of the proposal (Dana and Fairfax 1980).

In 1978, cooperative efforts of the U.S. Department of Agriculture’s Soil Conservation Service, Forest Service and Extension Service issued *The Federal Role in the Conservation and Management of Private Nonindustrial Forest Lands* (U.S. Department of Agriculture 1978). Among suggested federal roles were to improve general public awareness of potentials of forested lands, promote landowner access to technical forestry education and services, increase landowner understanding of forest investment opportunities, reduce physical and financial uncertainties involving forest investments, promote cooperation among forest landowners (achieve economies of scale), and provide direct financial assistance to landowners and state forestry agencies. Selection of these roles was based on judgements about: magnitude of federal costs involved, ability to complement existing private activities, increases occurring in direct private investment, beneficial environmental effects, certainty of success, timing of impacts (short versus long-term), and efficiency and cost effectiveness.

Selection of appropriate federal roles in nonfederal forests has also been an important part of the administrative history of the USDA-Forest Service’s State and Private Forestry unit. In 1998, a series of briefs suggested the following roles (Rains 1999):

- *Provide leading-edge technical assistance.* Promote assistance that allows for the latest technologies to be developed, transferred and implemented at the least possible cost. Implied is the existence of a cadre of skilled federal technical specialists that develop new technologies and assist states in staying current in rapidly changing times.

- *Promote state forestry organizational capacity.* Help state governments define, develop and implement effective resource management organizations. Advance the development of a variety of effective programs to be implemented by such organizations.
- *Provide targeted financial assistance.* Provide focused financial assistance (seed money) needed to design and implement innovative pilot programs and projects. Provide costs-share assistance that will offset initial project expenditures and that will provide the momentum necessary to implement creative programs and projects.
- *Off-set costly corrective actions.* Provide technical and financial assistance that will equip state governments to address important resource and community issues in their infancy, the intent being to avoid often inevitable and costly corrective actions in the future.
- *Monitor and assess forest sustainability.* Provide information, and the capacity to interpret such information, which can be used by states to determine and subsequently judge current and prospective conditions of forests and the communities that depend on them. Provide timely, relevant and accurate information that can be used to develop strategic program directions and to the appropriate management prescriptions required to make such programs successful.
- *Operate an Information Clearing House.* From various sources, gather, synthesis and distribute to states a variety of information and technologies they might not otherwise know about or understand.

In 1997, the State and Private Unit of the USDA-Forest Service formally assessed state forester and unit leadership views on the relative importance of the programs for which the unit is responsible—early all of which are implemented in a cooperative fashion with state governments (USDA-Forest Service 1997). The ranking assigned to programs was an indication of the importance of a federal role as embraced by a given program. For programs considered most important (74 of 222 respondents indicating so), the leading three roles ranked in descending were: fire protection (Cooperative Lands Fire Management), educational and technical assistance (Forest Stewardship Program), and urban forest management (Urban and Community Forestry). Although considered important to some degree, other programs implemented by the Unit were far down the list of importance (forest health management [federal and cooperative], economic stimulus and development, fiscal incentives for land stewardship, and preservation of special places (Forest Legacy Program).

Research Analyses and Reviews

Federal roles and the policy instruments for implementing them have also been analyzed and reviewed by various research organizations and nonprofit groups. For example, in 1919, the Society of American Foresters Committee for the Application of Forestry recommended (among many recommendations) that the federal role should include “. . . control over timber production in the public interest in times of economic stress” (Dana and Fairfax 1980).

The National Research Council (1998) addressed the federal role in nonfederal forests in 1998 as part of a broader review of programs addressing such forests generally. The review fully acknowledged that over the years a number of other federal departments, agencies, and bureaus have developed a wide range of programs that provide education and technical forestry services; regulate certain practices or conditions on nonfederal forests; and purchase private lands that are deemed unique or of critical national importance. In the broadest sense, the review recommended that federal government policies and programs should (a) promote a long-term investment in the nation's nonfederal forestlands, (b) recognize and respect a mixed public-private system of ownership, (c) encourage multiple forest uses consistent with the long-term integrity of forest ecosystem functions and processes, (d) promote citizen participation in determining the care and management of forest resources, and (e) maintain productivity of forest ecosystems for a full range of values, functions, and services.

The National Research Council (1998) reported that the federal government is an important but not an exclusive participant in ensuring investments in the sustainability of nonfederal forests. The federal government's role might best be viewed as one of convening and promoting leadership and investment opportunities within the private sector and other units of government. In such a context, federal roles can include:

- Building institutional and managerial capacity within regional, state and local forestry organizations.
- Promoting integration of environmental and economic policies and programs.
- Developing a coherent set of national principles of forest resource sustainability.
- Promoting monitoring of progress toward and responsibility for accomplishing national principles of forest sustainability.
- Fostering strategies that lead to regional integration across a spectrum of forestry interests.
- Promoting a blend of economic and information incentives.
- Encouraging multiple stakeholder decision-making processes at all decision levels.

In 1997, federal roles in forests were reviewed in the context of social values to be promoted by the federal government, wherein social values are an expression of a federal role

LeMaster and others 1997). The federal role (or social value), the policies implementing it, and the laws which legitimized the two were categorized as:

<i>Social Value (role)</i>	<i>Policy Instrument</i>	<i>Federal Law</i>
Protect forests from disastrous events and encourage forest land investment and management	Technical and financial assistance to states for control of wildfire and seedling production	Ckarke-McNary Act of 1924
Manage forests with predictable results	Comprehensive forestry research program, including periodic timber assessments	McSweeny-McNary Act of 1928
Preserve natural heritage, as relates to scenic beauty	Designate and appropriately manage portions of rivers and wild and scenic	Wild and Scenic Rivers Act of 1968
Maintain a healthy, sustainable environment	Regulate emission of various forms of pollutants (air, water, pesticides)	Clean Air Act of 1977, Clean Water Act of 1972, Toxic Substances Act of 1976, Federal Environmental Pesticide Control Act of 1972
Preserve natural heritage, as relates to wildlife	Conserve threatened and endangered species, including their habitat	Endangered Species Act of 1973.

Summary of Conditions

The federal role and responsibility in nonfederal forests has a long history of review and debate. Although controversial, federal roles in the early 1900s were clearly expressed by actions leading to the establishment of various national resource systems (for example National Forest System), with subsequent and significant interest given to protecting nonfederal forests from fire, overcutting and the application of inappropriate forestry practices. Since then, the federal role appears to have evolved to more broader concern over environmental conditions involving nonfederal forests in general. Public interest in federal roles in nonfederal forests has often been promoted by reports of various national commissions and committees, which in some cases have lead to important federal laws that clarified (for the time being) how federal agencies should deal with nonfederal forests. In recent times, the writings of scholars, reports of interest groups, and investigations by federal research organizations have continued to promote review and discussion of federal roles. Although a subject of continuing interest, there has yet to crystalize a comprehensive agreed to view of the appropriate federal role in nonfederal forests.

LEGAL AND ADMINISTRATIVE DEFINITION OF ROLES AND RESPONSIBILITIES IN NONFEDERAL FORESTS

Federal laws and related administrative directives typically contain statements that express the federal role in nonfederal forests. Although such expressions are often very ambiguous and ill-defined in their presentation, a review of a modest and selected number of laws and administrative directives provides an appreciation of the range of roles the federal government is authorized to assume and the wide-ranging agency interpretation of these roles that has occurred.

Federal Statutes

Review of a modest number of federal laws suggests a variety of legally prescribed federal roles involving nonfederal forests (USDA-Forest Service 1993, 2003a) (Table 2). Some focus directly on nonfederal forests (for example, Cooperative Forestry Assistance Act of 1978) while others (Clean Air Act of 1955) are directed at more widespread environmental issues, yet pose clear implications for the use, management and protection of nonfederal forests. Examples of paraphrased statements of federal roles specified by federal law are: “cooperate and encourage forestry research,” “analyze and disseminate scientific information,” “encourage management via cost-share programs,” “encourage stewardship via education and technical assistance,” “prevent, control, and suppress wildfire,” “assist communities located near National Forests,” “prevent flood damages,” “preserve free-flowing rivers,” “conserve threatened and endangered species,” and “prevent erosion from unreclaimed mined lands” (Table 2). The number and variety of roles to be assumed by federal agencies are impressive. Also notable is the blending of federal roles and the programmatic means suggested for accomplishing them. Distinction between a federal role (for example, increase timber from private forests) and the means of fulfilling a role (for example, provide cost-share financial assistance) is not always clear.

Administrative Directives

Federal agencies can clarify their role in nonfederal forests via interpretation of federal law and subsequent presentation in documents such as the code of federal regulations, agency manuals and strategic plans. Again, the expanse and complexity of federal systems involving such documents prohibit comprehensive inventory and analysis of federal roles. The following examples (paraphrased excerpts) are presented.

Code of Federal Regulations

USDA-Forest Service: The Forest Service provides overall leadership in forest and forest-range conservation, development, and use. This involves determination of forestry conditions and requirements, and recommendations of policies and programs needed to keep the nation's private and public lands fully productive . . . carries out cooperative forestry programs for public benefit through programs initiated by state, county, and other Federal agencies in accordance with the

Table 2. Federal Role in Nonfederal Forests as Authorized by Federal Statutes.

Federal Role in Nonfederal Forests as Suggested by Federal Statute
<p><u>Direct Acknowledgment of Nonfederal Forests</u></p> <ul style="list-style-type: none"> • Cooperate with states (authorize Secretary of Agriculture to do so) for purposes of encouraging programs of forestry research (McIntire-Stennis Act of 1962). • Provide useful and productive educational programs for private forest and range landowners and processors and for consumptive and nonconsumptive users of forest and rangeland resources (Renewable Resources Extension Act of 1978). • Obtain, analyze, develop, demonstrate, and disseminate scientific information about protecting, managing, and utilizing forest and rangeland renewable resources in rural, suburban and urban areas (Forest and Rangeland Renewable Resources Research Act of 1978). • Purpose is to assist in establishment of a cooperative federal, state and local forest stewardship program for nonfederal forest lands and thereby encourage the production of timber, prevent and control insects and diseases affecting trees and forests, prevent and control rural wildfires, improve fish and wildlife habitat, plan and conduct urban forestry programs, provide private landowners opportunity to protect ecologically valuable and threatened nonfederal forest lands, and strengthen educational, technical, and financial assistance programs to owners of nonfederal forests (Cooperative Forestry Assistance Act of 1978). These purposes are further defined as: <ul style="list-style-type: none"> < Protecting multiple values on private lands, implementing forest management technologies, producing alternative forest crops and services, protecting from fire, insects and diseases, managing rural-urban interfaces, managing recreational resources, protecting from forest land conversion (Rural Forestry Assistance Program). < Encourage the development, management and protection of nonindustrial private forest lands via cost-share incentives program (Forestry Incentives Program). < Encourage long-term stewardship of nonindustrial private forests via provision of educational, technical assistance and cost-sharing (Forest Stewardship Program). < Encourage forest management activities for various purposes via nonindustrial private forest owner access to cost-share incentives (Stewardship Incentives Program) < Protect private forest areas that are environmentally important and are threatened by conversion to nonforest uses, doing so via the use of easements and other mechanism (Forest Legacy Program). < Protect trees and forests from insects and diseases and promote appropriate technologies and management practices necessary to accomplish such protection (Forest Health Protection Program) < Improve understanding the benefits of protecting tree cover in urban areas and promote technical and financial assistance to secure improved management of trees and forest in urban settings (Urban and Community Forestry Assistance). • Promote the development of systems and methods for the prevention, control, suppression, and prescribed use of fires on rural lands and in rural communities, including the provision of financial, technical for the prevention, control, suppression, and prescribed use of fires on nonfederal forest lands (Food, Agriculture, Conservation, and Trade Act of 1990 [Rural Fire Prevention and Control Program]). • Provide assistance to rural communities that are located in or near National Forest System land and that are economically dependent upon natural resources or are likely to be economically disadvantaged by Federal or private sector land management practices (National Forest Dependent Rural Communities Act of 2001). <p><u>Indirect Acknowledgment of Nonfederal Forests</u></p> <ul style="list-style-type: none"> • Cooperate with states in preventing (flood) damages and furthering the conservation and development of water (Watershed Protection and Flood Prevention Act of 1954). • Protect and enhance the quality of the Nation's air resources so as to promote the public welfare and the productive capacity of the nation, initiate and accelerate research on air pollution, and to provide technical and financial assistance to state for air pollutant management (Clean Air Act of 1955). • Assist in preserving, developing, and assuring accessibility to such quantity and quality of recreation resources as are necessary for individual participation in recreation and for strengthening the health and vitality of citizens (Land and Water Conservation Fund Act of 1965) • Preserve in free-flowing condition certain rivers (and their immediate environment) that pose outstandingly remarkable scenic, recreational, geologic, fish and wildlife, historic, cultural or other similar values (Wild and Scenic Rivers Act of 1968). • Establish a national system of trails to promote the preservation of, public access to, travel within, and enjoyment of the open-air, outdoor areas and historic resources of the Nation (National Trails System Act of 1968). • Preserve, protect, develop, and where possible, to restore, the resources of the nation's coastal zone for this and succeeding generations (Coastal Zone Management Act of 1972). • Retire marginally productive and highly erodible cropland (Conservation Reserve Program) and prevent destruction of wetlands (Swampbuster Program) (Food Security Act of 1985 [1985 Farm Bill]). • Maintain and restore the chemical, physical, and biological integrity of the Nation's waters via (among various established programs) establishment, in cooperation with states, of nonpoint source pollution control programs (Federal Water Pollution Control Act of 1972, Clean Water Act of 1987). • Provided a means whereby the ecosystems upon which endangered species and threatened species may be conserved. Threatened and endangered species of fish, wildlife, and plants are of aesthetic, ecological, educational, historical, recreational and scientific value, and thereby a means should be protected (Endangered Species Act of 1973). • Provide for control and prevention of erosion and sediment damages from unreclaimed mined lands and to promote conservation of soil and water resources of unreclaimed mined lands (Surface Mining and Control Reclamation Act of 1977).

Cooperative Forestry Assistance Act of 1978 . . . these programs are directed at the protection, development, and sustained production of all forestry resources, both public and private . . . Urban and Community Forestry Assistance Program authority includes the provision of technical, financial, and related assistance to state and local governments, nonprofits, and other members of the public to: maintain, expand, and preserve forest and tree cover; expand research and education efforts related to trees and forest cover; enhance technical skills and understanding of tree maintenance and practices involving cultivation of trees, shrubs and complementary ground covers; and implementing a tree planting program to complement urban tree maintenance and open space programs.

USDA-Natural Resources Conservation Service (NRCS): The Natural Resources Conservation Service is USDA's technical agency for providing assistance to private landowners, conservation districts, and other organizations in planning and carrying out conservation activities and programs. Furnishing technical assistance in conservation operations, including technical assistance, is the basic soil and water conservation program of NRCS. The program is designed to: (a) reduce soil losses from erosion; (b) help solve soil, water, and agricultural waste management problems; (c) bring about adjustments in land use as needed; (d) reduce damage caused by excess water and sedimentation; (f) enhance the quality of fish and wildlife habitats; and (e) improve all agricultural lands, including cropland, forestland, and grazing lands that include pastureland, rangeland, and grazed forestland so that the long-term sustainability of the resource base is achieved.

National Oceanic and Atmospheric Agency (NOAA): States are to develop a (coastal) management program that: (a) identifies and evaluates coastal resources as requiring management or protection by the state; (b) reexamines existing policies or develops new policies to manage these resources which must be specific, comprehensive, and enforceable; (c) determines specific use and special geographic areas that are to be subject to the management program, based on the nature of identified coastal concerns; (d) identifies the inland and seaward areas subject to the management program; (e) provides for the consideration of the national interest in the planning for and siting of facilities that meet more than local requirements; (6) includes sufficient legal authorities and organizational arrangements to implement the program and to ensure conformance to it. In arriving at these elements of the management program, states are obliged to follow an open process which involves providing information to and considering the interests of the general public, special interest groups, local governments, and regional, State, interstate, and Federal agencies . . . program must include an inventory and designation of areas of particular concern within the coastal zone.

Environmental Protection Agency (EPA): The U.S. Environmental Protection Agency permits coordinated and effective governmental action to assure the protection of the environment by abating and controlling pollution on a systematic basis through a variety of research, monitoring, standard setting, and enforcement activities related to pollution abatement and control to provide for the treatment of the environment as a single interrelated system. Complementary to these activities are the Agency's coordination and support of research and

antipollution activities carried out by state and local governments, private and public groups, individuals, and educational institutions. EPA reinforces efforts among other Federal agencies with respect to the impact of their operations on the environment . . . states adopt water quality standards to protect public health or welfare, enhance the quality of water and serve the purposes of the Clean Water Act . . . standards should, wherever attainable, provide water quality for the protection and propagation of fish, shellfish and wildlife and for recreation . . . and should serve the dual purposes of establishing the water quality goals for a specific water body and serve as the regulatory basis for the establishment of water-quality-based treatment controls and strategies.

Directives and Strategic Plans

The federal role in nonfederal forests can also be further interpreted by agency policy and procedure documents. For example, directives are issued through the USDA-Forest Service's Directive System, which consists of the Forest Service Manual and related Forest Service Handbooks. The Directive System codifies the agency's policies, practices, and procedures affecting more than one unit of the agency and delegates authority and assignment of continuing responsibilities; serves as the primary administrative basis for the internal management and control of all programs; and is the primary source of administrative direction to agency's employees. Other federal agencies have a similar system of directives (USDI-Fish and Wildlife Service: Service Manual, Director's Orders, Manuals, and National Policy Issuances). Examples (paraphrased excerpts) of USDA-Forest Service Manual statements clarifying a federal role in nonfederal forests are as follows (USDA-Forest Service 2003b):

- Advocate a conservation ethic in promoting the health, productivity, diversity, and beauty of forests . . . provide technical and financial assistance to state and private forest landowners, encouraging them to practice good stewardship and quality land management in meeting their specific objectives . . . to cities and communities to improve their natural environment by planting trees and caring for their forests . . . help states and communities to wisely use the forests to promote rural economic development and a quality rural environment . . . develop and provide scientific and technical knowledge aimed at improving the capability to protect, manage, and use forests and rangelands.
- Assist in achieving efficient state wildland fire protection programs through loans, procurement and leasing of Federal equipment and property, and shared equipment development and testing . . . assist states in determining fire equipment and supply needs and in acquiring and managing fire equipment and supplies in the most efficient manner consistent with law . . . monitor the use and administration of that property . . . provide financial, technical, and related assistance to state foresters to organize, train, and equip local firefighting forces for fire protection in rural areas and communities of 10,000 persons or less.

- Assist states in the long-range program planning of their forest resources including the completion and periodic updating of a statewide forest resources plan . . . enhance state capability for providing forest resources data to Federal, state, and other planning efforts affecting forest land . . . enhance state capability to identify opportunities and provide guidance for the efficient investment of public and private funds in the use and management of forest resources to strengthen the national economy . . . develop a permanent planning process for forest resource programs in each state . . . enhance state capability to develop an operational management model that integrates the functions of planning, implementation, and control.

The federal role in nonfederal forest can further be clarified by agency-prepared strategic program plans. Examples of such plans are U.S. Environmental Protection Agency's *Strategic Plan 2003-2008* (especially nonpoint source pollutant management and control of invasive species) (U.S. Environmental Protection Agency 2003), National Oceanic and Atmospheric Agency's *New Priorities for the Twenty-First Century: NOAA's Strategic Vision* (especially coastal zone management and protection) (National Oceanic and Atmospheric Administration 2003), USDI-Fish and Wildlife Service's *Strategic Plan 2000-2005* (especially habitat conservation on private lands, and wildlife on tribal government lands) (USDI-Fish and Wildlife Service 2003), and the USDA-Forest Service's *Strategic Plan (2000 Revision)* (USDA-Forest Service 2003).

The USDA-Forest Service's *Strategic Plan* sets forth four major goals and 18 objectives associated with such goals. In most cases, each goal and objective pose some implications for nonfederal forests—and thus some assumption of a federal role. Examples of strategies (to accomplish plan objectives) that refer more directly to assumption of a federal role in nonfederal forests are:

- Assist state, tribal, and other governmental agencies and private landowners to achieve sustainable forest and grassland management.
- Enhance broader public accessibility through partnerships and contracts with federal, state, and tribal governments and other entities.
- Assist state forestry agencies, local governments, and cooperators in protecting and increasing forest cover and green space in urban areas.
- Increase assistance to selected cities and communities to improve livability.
- Increase technical assistance and technology transfer in dealing with economic, environmental, and social changes related to natural resources to tribal governments, rural communities and private landowners.
- Focus increases in technical assistance toward tribal governments, rural communities, and private landowners in those areas where the greatest difference exists between the demands for uses and products and their availabilities are expected to occur.

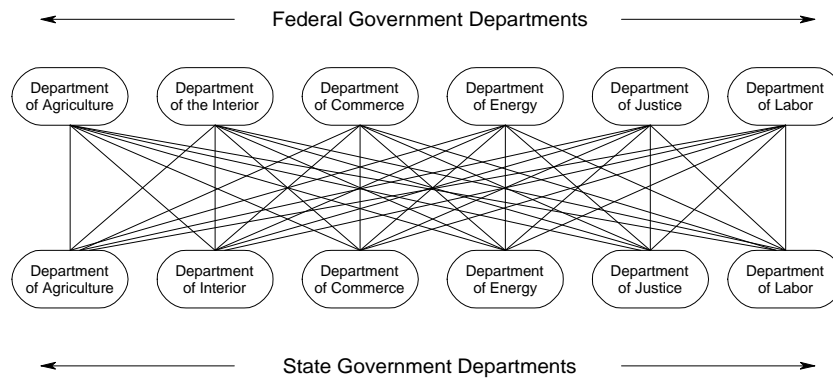
- Expand the annual forest inventory and analysis and forest health monitoring programs to all 50 states and U.S. territories, including grassland and aquatic ecosystems and urban areas.

Summary of Conditions

Federal law, agency directives and strategic plans are filled with statements about the federal role in nonfederal forests and replete with assignment of desired programs for accomplishing such roles. In reality, however, deciphering in a comprehensive sense, the federal role in nonfederal forests remains difficult. The number of statements alluding to a federal role is sizeable, the scope of any one statement is typically very broad (promote environmental quality, conserve resources for future generations), the subjects included in statements suggesting a federal role is often all-embracing (promote timber and wildlife and range and water and . . .), and federal roles and programmatic ways of accomplishing such roles are usually considered one in the same, with frequent emphasis on the “how” of accomplishing a federal role and less on defining the federal role (for example, a federal role is to provide cost-share). In many respects these ambiguities regarding the federal role are the result of negotiations and compromises that occurred during law or rulemaking making processes.

IMPLEMENTED PROGRAMS AS DEFINITIONS OF ROLES AND RESPONSIBILITIES IN NONFEDERAL FORESTS

The federal role in nonfederal forests is typically set forth in federal law and in corresponding rules and directives that interpret such law. However, a more insightful indication of federal roles, and the approaches used to accomplish such roles, is to assess the nature and number of federal programs actually being implemented and the manner in which they are linked to state governments. As a counterpart, and similarly useful, is a review of state forestry programs that have implications for nonfederal forests—and assessment of their possible link to federal initiatives. Conceptually, federal-state relationships can be depicted as follows (Ellefson and others 2001):



Federal Agencies and Programs

In 2002, a sample of federal programs that can affect the use, management and protection of nonfederal forests was assessed. For purposes of analysis, a program was defined as set (or group) of activities or projects that are (a) closely related in form or function, (b) engaged in activities over the long term, (c) and are separate and distinct from other sets of activities (for example, a cost-share fiscal incentives program, coastal wetlands planning program, urban and community forestry program) (U.S. Department of Health and Human Services 2003). The assessment was further limited to federal programs that have potential to impact the condition of nonfederal forests and that nearly always link directly to state or tribal governments. A search was made of a wide array of information sources, including federal budget documents, appropriation hearing documents, federal agency websites, catalog of federal domestic assistance, and a generalized and extensive literature search. Since the assessment focused on nonfederal lands, programs directed at federal lands were not included.

The selection process bore an extensive list of programs, but by no means an exhaustive list (Tables 3, 4, and Appendix Tables 1, 2 and 3). Although their programs could have potential to in some way affect nonfederal forests, agencies such as the following were not considered: Department of Justice, Council on Environmental Quality, Federal Trade Commission, Small Business Administration, Internal Revenue Service, and the Occupational Safety and Health Administration.

Table 3. Federal Programs Influencing the Condition of Nonfederal Forests, by Department or Agency and Degree of Influence. 2002.

Department or Agency	Degree of Program Influence (number of programs)		Total Number of Programs
	Direct Influence	Indirect Influence	
Department of Agriculture	43	43	86
Environmental Protection Agency	5	43	48
Department of the Interior	12	9	21
Department of Commerce	2	15	17
Department of Defense	-	4	4
Department of Health and Human Services	-	3	3
Department of Energy	-	3	3
Federal Emergency Management Agency	-	2	2
National Science Foundation	-	2	2
Department of Transportation	-	1	1
TOTAL	62	125	187

Number of Agencies and Programs

Federal programs having potential to affect the condition of nonfederal forests totaled 187 in 2002, 46 percent (86) of which were administered by agencies within the U.S. Department of Agriculture and 26 percent (48) by the Environmental Protection Agency (Table 3). The remaining portion (28 percent, 53 programs) was spread among eight federal departments or independent agencies, and, in turn, more than 44 entities within such departments or agencies. Within the Department of Agriculture, nine agencies were responsible for the programs considered (for example, Forest Service—25 programs, Natural resource Conservation Service—20 programs), while 11 entities (offices) were responsible in the Environmental Protection Agency (for example, Office of Water—4 programs, Office of Prevention, Pesticides, and Toxic Substances—7 programs)(Appendix Table 1).

The programs varied widely in their degree of influence over nonfederal forests (Table 3). Approximately one-third (62) were judged to have a direct influence, namely a clear and unambiguous ability to affect the condition of nonfederal forests. Examples are U.S. Department of Agriculture's Conservation Reserve Program and Stewardship Incentives Program, and the Environmental Protection Agency's Pesticide Registration Program and Nonpoint Source Implementation Grants Program. Of the programs considered having a direct impact on nonfederal forests, nearly 70 percent (43) were administered by agencies in the U.S. Department of Agriculture.

Function of Agency Programs

Federal programs focused on nonfederal forests can have a variety of functions or purposes. For this analysis, the following purposes were considered (U.S. Department of Health and Human Services 2003):

- *Research, development, and promotion*: program focus is on conducting, encouraging, and promoting research and related activities.
- *Educational and information*: program focus is on providing educational opportunities and/or providing for information sharing opportunities.
- *Regulation and enforcement*: program focus is regulatory in nature and may provide for enforcement of regulations.
- *Market and economic assistance*: program focus is to either aid entities in market interactions or provide assistance under economically adverse conditions or other circumstances of need.
- *Direct resource management*: program focus is to facilitate direct management of natural resources by the administering federal agency.
- *Partnership building*: program focus is on building partnerships between different levels of government, different agencies, government and the private sector, or a combination of partnerships.

- *Resource conservation*: program focus is on the conservation of natural resources.
- *Environment remediation*: program focus is on cleanup of polluted sites.
- *Pollution control and abatement*: program focus is on controlling and minimizing pollution.
- *Planning and program design*: program focus is on facilitating planning processes.
- *Recreational enhancement*: program focus is on creating, maintaining, or improving recreational opportunities.

Table 4. Distribution of Federal Programs Influencing the Conditions of Nonfederal Forests, by Program Function or Purpose and Instrument Linking Program to State Governments. 2002.

<i>Function or Purpose Toward which Programs are Directed</i>	<i>Distribution of Programs (percent)</i>
Research, Development, and Promotion	
Resource Conservation	23
Education and Information	20
Market and Economic Assistance	19
Pollution Control and Abatement	8
Regulation and Enforcement	7
Partnership Building	6
Direct Resource Management	5
Planning and Program Design	4
Environment Remediation	4
Recreational Enhancement	2
	2
TOTAL	100
<i>Instrument Used to Link Programs With State Governments</i>	<i>Distribution of Programs (percent)</i>
Project Grants	
Dissemination of Technical Information	31
Advisory Services and Counseling	18
Direct Payments	11
Formula Grants	9
Property, Facilities, and Equipment Use	8
Provision of Specialized Services	7
Regulatory and Directive	7
Training and Education	5
Direct Loans	2
Guaranteed Loans	1
	1
TOTAL	100

Note: Since programs may have more than one purpose or function and may link to state governments by more than one instrument, the total number of programs (namely, 187) is less than the number of functions or instruments recorded.

The programs considered to have an effect on the use and management of nonfederal forests had an impressive array of purposes (Table 4) (Appendix Table 2). Recognizing that many of the 187 programs identified had multiple purposes (average of 1.3 purposes per program), the most common purpose was research and development (23 percent of recorded purposes). The U.S. Department of Agriculture recorded the most (25) in this respect (11 such program purposes in the Cooperative State Research, Education, and Extension Service of which the Cooperative Forestry Research Program is an example; six such program purposes in the Forest Service of which the research and development program is an example).

Resource conservation and education and information were also common as program objectives focused on nonfederal forests, namely 20 percent and 19 percent of the observed program purposes, respectively (Table 4). Agencies with an especially strong presence in education and information were the Cooperative State Research, Education, and Extension Service (for example, Renewable Resources Extension Program) and various units of the Environmental Protection Agency (for example, Pesticide Applicator Certification and Training Program). Resource conservation emphasis was notable in the Natural Resource Conservation Service (for example, Forestry Incentives Program), Forest Service (for example, Forest Stewardship Program), and various entities in the U.S. Department of the Interior (for example, Bureau of Indian Affairs' Endangered Species on Indian Lands Program).

Approach to Linkage with States

The formal connection between federal and state governments as they seek to purpose state and federal interests in nonfederal forests can also take many forms. For this analysis consideration was given to the following linkage approaches (U.S. Department of Health and Human Services 2003):

- *Formula grants*: allocations of money in accordance with a distribution formula prescribed by law or administrative regulation, for activities of a continuing nature not confined to a specific project.
- *Project grants* (usually competitive): funding, for fixed or known periods, of specific projects or the delivery of specific services or products.
- *Direct loans*: financial assistance provided for a specific period of time with a reasonable expectation of repayment.
- *Guaranteed loans*: financial assistance provided for a specific period of time with an arrangement to indemnify a lender against part or all of any defaults.
- *Direct payments*: financial assistance provided directly to beneficiaries (who satisfy eligibility requirements) for purposes of encouraging or subsidizing a particular activity.
- *Advisory services and counseling*: provide specialists to consult, advise, or counsel on issues or management activities.

- *Dissemination of technical information*: provide for the publication and distribution of information or data of a specialized, technical nature, frequently through clearinghouses or libraries.
- *Training and education*: provide instructional activities conducted directly by an agency for individuals not employed by the agency.
- *Use of property, facilities, and equipment*: provide for the loan of, use of, or access to facilities or property wherein the facilities or properties remain in the possession of the owner.
- *Regulatory and directive*: required conditions, conformity with which is promoted by possible imposition of a penalty.
- *Provision of specialized services*: agency personnel directly perform certain tasks (more than consultation and advice) for beneficiaries.

Federal program linkage to state governments was also extensive in variety, although project grants was the most common linkage mechanism, namely 31 percent of the recorded observations (Table 4) (Appendix Table 3). Also common was the dissemination of technical information (18 percent of observations) with direct payments and formula grants accounting for 20 percent (combined) of all observed approaches to working with state and tribal governments. Again, a program may employ more than one linkage mechanism (average of 1.3 linkage approaches per program).

Project grant approaches were especially common to the Cooperative State Research, Education and Extension Service (13 occurrences), of which the Invasive Species Program and the National Research Initiative Competitive Grants Program are examples. The dissemination of technical information was noteworthy to the Forest Service (for example, Urban and Community Forestry Program) and the Environmental Protection Agency's Office of Water (for example, programs focusing on the Great Lakes Program and Chesapeake Bay). Direct and guaranteed loans as a way of linking to state and tribal governments were not common, nor were regulatory and directive programs (examples of the latter are the Environmental Protection Agency's Pesticide Registration Program and the Acid Rain Program).

State Agencies and Programs

State roles in nonfederal forests are accomplished via a variety of programs that often parallel federal roles and programs. A comprehensive assessment of the exact nature of state linkages to federal programs has yet to be undertaken. However, past reviews provide some indication of the number of state-level entities involved and the nature of programs that federal programs must compete with, complement, or fill a void because of the lack of a state program.

Number of State Agencies

State governments also embody an especially rich assortment of forest-affecting agencies that are widely distributed throughout state government. An assessment of state agencies

affecting the condition of forests was undertaken in 2000 (Ellefson and others 2001). Although not exclusively devoted to nonfederal forests, the assessment does provide an indication of the extensive state agency landscape that federal agencies must contend with if they wish to promote the federal role in nonfederal forests via state governments.

Nationwide an estimated 1,453 state agencies were identified as implementing policies and programs that influence the use, management and protection of forests. These agencies occurred at four major governmental levels as follows (Ellefson and others 2001, 2002):

- Cabinet Level (agency, commission, department, office): 356 units or 7.1 per state.
- Subcabinet Level (first-tier) (division, bureau, section): 652 units or 13.0 or per state.
- Subcabinet Level (second tier) (office, unit, program): 197 units or 3.9 per state.
- Governing-Advisory Bodies (board, council, committee): 248 units or 5.0 per state.

Regionally, the North accounted for 43 percent of the units followed by the West (33 percent) and the South (24 percent). Fifty-six percent of the subcabinet-level (first tier) units were judged to have moderate or a substantial influence over forests within a state; between three and four (3.5) units per state were viewed as having substantial influence.

The number of state agencies affecting the condition of nonfederal forests in the future may increase (Ellefson and others 2001, 2002). Such could pose challenges to existing ways of linking federal and state governments on matters involving nonfederal forests, especially since the notion of a lead forestry agency responsible for all matters concerning nonfederal forests in a state may be eroding. When chief administrators of lead state forestry agencies were asked opinions about the number of state agencies that might affect forest use and management conditions 20 years in the future, 46 percent suggested their state would have “about the same number” of government units, 30 percent indicated more units, and 24 percent fewer units. The consequences of further disbursement of state agencies affecting forest were suggested to be numerous and largely adverse, especially public confusion over agency responsibility, absence of an integrated state program focused on forests, and lack of a unified advocate for forest within a state. Dispersed state agency responsibility for forests also poses challenges to intergovernmental relations, often discouraging coordination among forest-affecting entities of state government (Ellefson and others 2001, 2002).

Functions of State Agencies

Federal roles in nonfederal forests can be more effectively accomplished if the state and federal interests are complementary. Similar objectives, targets, time frames, linkage mechanisms and mutually supporting staffs can mean more efficient accomplishment of federal and state

interests in nonfederal forests. However, the 1,453 state agencies identified in 2000 have very disparate primary functions (aim, role or purpose), namely (Ellefson and others 2001):

- Resource Use and Management (agriculture, wildlife, minerals, wetlands, resource protection): 681 units with function.
- Assistance and Enforcement (planning, budgeting, enforcement, legal counsel, information management): 321 units with function.
- Promotion and Development (tourism, tax policy, transportation, economic development): 179 units with function.
- Health and Safety (conditions of employment, public health and welfare): 24 units with function.
- Environmental and Resource Protection (chemical abatement, waste management, air and water pollutants, energy conservation): 248 units with function.

Forty-seven percent of the state agencies have resource use and management as their primary function. Within that specific functional category, the dominate focus is on activities involving fisheries and wildlife, general conservation of natural resources, and forests and forestry. Within the assistance and enforcement (22 percent of agencies) functional category, considerable emphasis is place on activities involving law and legal counsel, educational and fiscal assistance, and planning and analysis.

State agency responsibility for functions involving the gathering and managing of information also suggests diversity which has implications for state-federal interrelations. In 1999, nearly 400 public and private entities at the state level were engaged in gathering, managing or distributing information about forests (National Association of State Foresters 1999). An average of eight organizations per state was so involved, with some states identifying 18 or more different entities exercising an information role pertaining to forest resource use, management and protection. Commonly focused on by these many entities was information about protected lands, insects and diseases, timber harvest rates, types and size of forestry programs, educational activities, enforcement actions, legal requirements (laws), and forest practice applications. The various entities were most consistent in their information gathering activities when they focused on basic forest resource information (area and forest type) and on agency implemented forestry programs (budgets, personnel). Least consistent across agencies were information gathering efforts associated with social, economic, legal, and institutional conditions involving forests.

The challenge of efficiently operating intergovernmental linkages can be further highlighted by the diversity of entities involved in programs to monitor landowner and timber harvester compliance with state required or suggested (voluntary) forestry practices. Of 54 state government organizations involved in compliance monitoring in 1997 (in 34 states with compliance monitoring programs), 43 percent (23 agencies) were other than a state's lead public forestry agency—most commonly a state's environmental or pollution control agency. In the

North and West regions of the United States, the category of “other organizations” actually exceeded the number of lead state forestry entities engaged in compliance monitoring. In only 20 states was the state’s lead forestry agency identified as the only entity involved in the monitoring of compliance with recommended forest practices (Ellefson and others 2001).

State Agency Programs

State governments can implement a variety of different programs, many of which pose especially rich opportunities for linking state and federal agencies on matters involving nonfederal forests. State government frequently implement information or service-oriented programs that involve transfer of technical assistance to owners of nonfederal forests. Similarly, states have extensive experience with the provision of financial assistance to landowners, either by direct cost-share or through tax relief programs. If service-oriented and fiscal incentive programs fail to promote state interests in nonfederal forests, state governments have not been reluctant to implement regulatory programs that force uniform application of forestry practices (for example) on nonfederal forests.

The arsenal of state programs available for addressing various forestry activities is extensive. Again, such can pose challenges to the exercise of intergovernmental relations, although through insightful leadership such diversity can lead to accomplishment of both state and federal interests in nonfederal forests. A 1992 national inventory provides some insight to the diversity of state programs used to address six major forestry activities (Table 5) (Ellefson and others 1995). Educational programs and technical assistance programs were by far the most common type of program implemented by state governments—occurring in nearly all states. Least common were tax incentive programs. Depending on the forestry activity, regulatory programs occurred in about one-quarter of the states, which special focus on water quality and forest protection concerns.

Table 5. State Government Programs Focused on Major Private Forestry Activities, Activity and Type of Program, 1992.

Type of State Program	Major Forestry Activity and Number of States					
	Protect Water Quality	Promote Reforestation	Improve Timber Harvesting Practices	Protect from Wildfire, Insects and Diseases	Protect Wildlife and Rare and Endangered Species	Enhance Recreation and Aesthetic Qualities
Educational Program	46	46	45	47	46	42
Technical Assistance Program	47	46	47	46	45	45
Tax Incentive Program	14	16	9	6	3	6
Fiscal Incentive Program	29	39	13	17	26	25
Regulatory Program	26	14	16	27	20	6

Source: Ellefson and others 1995.

Summary of Conditions

Policies and programs being implemented by federal agencies are very much an expression of the federal role in nonfederal forests. Of 187 federal programs assessed in 2002, nearly three-quarters were implemented by the U.S. Department of Agriculture (46 percent) and the U.S. Environmental Protection Agency (26 percent). Most common were programs involving research and development, resource conservation, and education and information. As for the manner in which federal programs link with state governments, the approaches are quite diverse with project grants (31 percent), direct payments and formula grants (20 percent), and dissemination of technical information to state governments being the leading approaches. As for state governments, nearly 1,500 state agency entities play some role in programs affecting the condition of nonfederal forests. As with federal programs, state programs are also extensive in number and diverse in function (education and technical assistance being leaders in number of programs). The landscape of state and federal programs focused on nonfederal forests, and the manner in which they are linked to state governments, suggest an administrative challenge involving coordination and delivery of services. However, such diversity also acknowledges and reflects the diversity of resource and social conditions that exist within states.

AGENCY EXECUTIVE DEFINITION AND ASSESSMENT OF ROLES AND RESPONSIBILITIES IN NONFEDERAL FORESTS

Federal roles and responsibilities involving nonfederal forests and the manner in which these roles and responsibilities are linked to state governments have been subject of very modest assessment over the years. Even less attention has been given to analysis of the appropriateness of current and potential roles and the effectiveness of state-federal linkages used to promote these federal roles. In 2001, the 50 state foresters and 25 senior-level federal agency executives of the State and Private Forestry Unit of the USDA-Forest Service were requested to provide insight on these matters. Forty-nine state foresters participated (Connecticut declined); all 25 executives contacted responded to a written questionnaire. The overall intent of seeking the information was to more clearly define federal roles and to seek better ways of linking federal agency interests to the national interest in nonfederal forests.

Federal Roles and Responsibilities

Perceptions of Federal Roles in General

Importance of Potential Federal Agency Roles

A variety of federal agency roles and responsibility involving nonfederal forests were posed to state foresters and agency executives. They ranged from federal agency promotion of executive leadership principles among administrators and clients of state programs, to delivering assistance to states in times of national disaster involving forests, and from promoting protection

of special or unique forest resources located within a state, to furthering the development and use of strategic planning processes by state agencies.

The combined responses of state foresters and federal agency executives suggest that federal provision of financial assistance required to implement state forestry programs is a most important focus for a federal role (Table 6). Seventy-four percent of the respondents indicated such a role to be very important, with 17 percent (13 respondents) indicating such a role to be among the three federal roles they consider most important. More pointed, the federal roles most commonly identified as occurring among respondents' three most important roles were:

- provide financial assistance needed to implement state programs—17 percent of respondents.
- provide leading-edge technical advice and assistance needed to implement state programs—15 percent.
- foster coordination among states situated in a larger multi-state region—14 percent.
- monitor area and condition of forest resources within a state—12 percent.

Nearly 60 percent of the responding state foresters and federal executives identified the above roles as among the three most important (namely, 58 percent, or 43 of 74 respondents).

The state foresters and federal agency executives (combined) that specified any one of 18 potential federal roles to be very important or somewhat important was substantial (Table 6). Although only 3 percent of the respondents considered it to be among the three most important roles, 97 percent of respondents indicated federal delivery of assistance in time of disaster involving forests to be a very or somewhat important role; similarly, 95 percent indicated federal agency synthesizing and distribution of information to states were very or somewhat important federal roles. For seven of the federal roles suggested, 90 percent or more of the state foresters and agency executives specified them to be very or somewhat important; for two federal roles, 80 percent or more respondents so specified; and for seven federal roles, 70 percent or more of the respondents indicated the role to be very or somewhat important.

Federal agency roles suggested to be at the lower end of importance were federal agency management of conflict among clients of state programs (only 37 percent indicated such to be very or somewhat important) and giving legitimacy and standing (by federal example) to state programs (only 65 percent indicated such to be very or somewhat important)(Table 6). Some federal roles were cited as not important, although in no case did more than 7 percent of the respondents (five respondents) specify such a low ranking. Providing technical assistance and encouraging communication among state agency program clients lead in frequency of being mentioned as not being important (6 percent and 7 percent, respectively). As for the federal roles most often specified to be of little or no importance, facilitation of conflict among clients of state programs (63 percent of respondents) and giving legitimacy to state programs by federal example (35 percent of respondents) were most often specified.

Table 6. Importance of Federal Agency Roles and Responsibilities Involving Nonfederal Forests, as Perceived by State Foresters and Executives of State and Private Forestry USDA-Forest Service, 2001.

Federal Role or Responsibility	Importance of Role or Responsibility (percent of respondents)				Among Three Most Important Roles (percent)
	Very Important	Somewhat Important	Little Importance	Not Important	
• Provide financial assistance needed to implement state programs	74	18	7	1	17
• Provide leading-edge technical advice and assistance needed to implement state programs	66	24	4	6	15
• Foster coordination among states situated within a larger multi-state region	57	39	4	0	14
• Monitor area and condition of forest resources within a state	57	38	5	0	12
• Provide resources needed to make state programs large enough (scale) to be successfully implemented	65	26	9	0	9
• Deliver a variety of assistance in time of a disaster or catastrophe involving forests	65	32	3	0	7
• Motivate states to innovate and embrace new and up-to-date goals and programs	37	43	19	1	5
• Build state organizational and managerial (staff) capacity needed to implement state programs	34	44	19	3	4
• Synthesize and distribute information to states	54	41	5	0	3
• Promote the national interest in special or unique forest resources located in a state	37	50	12	1	2
• Encourage communication among and between state agencies and clients of state programs	27	43	23	7	2
• Promote, by example, leadership among executives, managers and clients of state programs . .	34	44	19	3	2
• Further the development and use of strategic planning processes by states	27	46	23	4	2
• Promote the integration of economic and environmental interests in state forest resources	47	32	18	3	2
• Evaluate current and potential programs being implemented by states	38	38	20	4	1
• Give legitimacy and standing, by federal example, to state programs	24	41	31	4	1
• Convene the partnering of diverse clients of programs implemented by states	31	44	22	3	1
• Facilitate abatement and necessary management of conflict among clients of state programs	7	30	54	9	0

Note: Note: Information provided by 49 state foresters and 25 federal agency executives. Other federal agency roles suggested: facilitate state coordination with other federal agencies; promote coordination with research organizations and academic community; promote integration of diverse programs; and coordinate agency activities with Congress.

Rationale for Selection of Federal Agency Roles

Selection of a federal role or responsibility involving nonfederal forests implies the existence of a standard (or criteria) against which to compare and subsequently judge potential federal roles and responsibilities. Potential standards suggested to state foresters and federal agency executives ranged from . . . a federal agency has special knowledge and experience, to . . . a federal agency is politically directed to assume a certain role, and from . . . state agencies request federal assistance, to a . . . federal law directs that federal action be taken. State foresters and federal agency executives combined indicated that a clear directive by a federal law or rule should be by far the single most important determiner of a federal role (Table 7). Eighty-five percent of the respondents indicated such a standard to be very important; 53 percent (39 respondents) indicated such to be the single most important factor; and nearly all (99 percent) of respondents suggested that a legal directive was very or somewhat important in deciding a federal role. More specifically, the three single-most important standards identified for use in selecting a federal role were federal law or rule directs a federal role, broad national and regional goals to be accomplished points to the necessity of a federal role, and federal financial resources are abundant and available to help accomplish a federal role. Eighty percent (60 respondents) of the state foresters and agency executives identified one of these factors as the single most important. Other factors considered very or somewhat important (combined) by 80 or more percent of the respondents were special federal agency knowledge of forest issues (84 percent of respondents) and strong support among national stakeholders (80 percent of respondents).

Selection standards considered to be least important included three that were not ranked by any respondent as a single most important factor, namely federal employee interest and support for an activity or program, availability of a large and competent federal agency staff, and the directives of powerful persons (political appointees) or the influence of organized interest groups (Table 7). As for selection standards indicated as not important, the most often cited were federal employee interest in a federal function (23 percent of respondents) and the availability of a large and competent federal agency staff.

Action Strategy Plan Implementation Roles

The USDA-Forest Service's Action Strategy Plan for State and Private Forestry presents seven categories of desirable program outcomes, all of which suggest some degree of federal as well as state agency role in their accomplishment (USDA-Forest Service 1998). The seven program outcome categories are:

- *Communities with Quality Life-Style Conditions* (Enhance the economic and social well-being of human communities by strengthening their link to sustainably managed forest resources).
- *Forested Watersheds Restored and Protected* (Enhance the condition of all forested watersheds to provide for quality natural environments and human communities).

Table 7. Importance of Factors Determining Federal Agency Roles Involving Nonfederal Forests, as Perceived by State Foresters and Executives of State and Private Forestry USDA-Forest Service, 2001.

Factor Determining a Federal Role	Importance of Factor (percent of respondents)				Single Most Important Factor (percent)
	Very Important	Somewhat Important	Little Importance	Not Important	
• Federal law or rule clearly directs a federal role	85	14	1	0	53
• Broad national and regional goals to be accomplished points to the necessity of a federal role	50	35	14	1	16
• Federal financial resources are abundant and available to help accomplish a federal role	24	53	16	7	11
• Long-term federal commitment exists to the importance of a federal role (especially among agency leadership)	35	44	18	3	8
• Federal agency knowledge of issues or specialized forest conditions points to the necessity of a federal role	35	49	12	4	5
• Support among national stakeholders is strong for a federal role	22	58	17	3	4
• Federal employee interest in and support is high for a federal role	8	24	45	23	0
• Large and competent federal agency staff is available to help accomplish a federal role	7	36	42	15	0
• National centers of political power and authority direct a federal role	18	39	40	3	0

Note: Note: Information provided by 49 state foresters and 25 federal agency executives. Other factor suggested as determining a federal agency role is state request for federal assistance.

- *Forests Sustainably Managed* (Enhance the use, management and protection of nonfederal forests with focused technical and financial assistance).
- *Forests Protected and Healthy* (Enhance security of life, property and the forest environment from wildfire and nonnative invasive species of plants and animals).
- *Citizens Understand Forest Uses and Conditions* (Enhance citizen education and understanding of forest conditions and the role forests can play in the quality of their lives).
- *Urban Forest Conditions of High Quality* (Enhance urban forest conditions to improve the quality of life for persons living in cities and towns).
- *Sustainable Condition of Forests and Communities in an International Setting* (Enhance worldwide forest conditions and their contributions to human and community well-being).

State foresters and federal agency executives tended toward equal responsibility in working toward the Action Strategy Plan’s seven major program outcomes (42 percent to 58

percent of respondents, excluding international setting category) (Table 8). The notable exception was action to promote positive forest conditions and communities in an international setting, where 72 percent of the respondents preferred a modest to a high level of federal responsibility (only 3 percent [two respondents] preferred a high level of state responsibility). For the six other program categories, more respondents preferred a high state responsibility (average per plan outcome of 30 percent of respondents) than preferred a high federal responsibility (average per plan outcome of 3 percent of respondents). Such was especially so for outcomes involving the sustainable management of forests (39 percent favored high state responsibility) and the quality of urban forest conditions (34 percent favored high state responsibility).

State Forester Perception of Federal Roles

Importance of Potential Federal Agency Roles

Analyzed separately, state foresters also cited the importance of federal roles involving the provision of financial assistance to states and the provision of leading-edge technical advice and assistance (Table 9). Twenty-one percent included the former among the three most important roles while 14 percent included the latter. Monitoring forest conditions, making state programs large enough to be successful, and delivering assistance in time of disaster involving forests were also high on the list of preferred federal roles. More than half of the state foresters considered the five aforementioned roles as very important. Of the 18 potential roles posed to state foresters, 11 were thought to be very or somewhat important by at least 70 percent of the responding state foresters.

State foresters did not commonly identify as important federal roles in which federal agencies become involved with the client groups of state programs. Cited frequently to be of little or no importance was federal involvement in the management of conflict among clients of state programs (80 percent of respondents), convening in partnership the diverse clients of state programs (45 percent), and encouraging communication among clients of state programs (43 percent). Other federal roles receiving limited recognition by state foresters were integration of economic and environmental interests and development and use of strategic planning processes.

State foresters differed regionally in their views of the importance of certain federal roles (Appendix Tables 4, 5, 6). In general, state foresters in the North were more apt to acknowledge a federal role as very or somewhat important (average of 78 percent of state foresters), versus the West (average 76 percent) and South (average 64 percent). In the latter region, an average of 24 percent of state foresters reacted to a potential federal role by indicating it was not important or of little importance. Regionally, state foresters mentioned most often the following as among the top three most important federal roles:

- *North*: provide financial assistance (19 percent of respondents), foster coordination among states (17 percent), and provide technical assistance and provide resources to make state programs larger (14 percent each).

Table 8. Federal-State Responsibilities for Achieving Program Outcomes Specified by USDA-Forest Service Action Strategy Plan for State and Private Forestry, as Perceived by State Foresters and Executives of State and Private Forestry USDA-Forest Service. 2001.

Desired Program Outcome for USDA-Forest Service <i>Action Strategy Plan for State and Private Forestry</i>	Degree of State or Federal Responsibility (percent of respondents)						
	Emphasize Federal Responsibility			Equal Responsibility	Emphasize State Responsibility		
	High	Modest	Low	Equal	Low	Modest	High
• Communities with Quality Life-Style Conditions (Enhance the economic and social well-being of human communities by strengthening their link to sustainably managed forest resources)	4	1	3	43	7	16	26
• Forested Watersheds Restored and Protected (Enhance the condition of all forested watersheds to provide for quality natural environments and human communities)	3	1	1	57	1	10	27
• Forests Sustainably Managed (Enhance the use, management and protection of nonfederal forests with focused technical and financial assistance)	4	1	3	43	2	8	39
• Forests Protected and Healthy (Enhance security of life, property and the forest environment from wildfire and non-native invasive species of plants and animals)	7	3	0	58	1	5	26
• Urban Forest Conditions of High Quality (Enhance urban forest conditions to improve the quality of life for persons living in cities and towns)	0	4	3	58	3	9	23
• Sustainable Condition of Forests and Communities in an International Setting (Enhance worldwide forest conditions and their contributions to human and community well-being)	1	3	0	42	4	16	34
	41	31	11	12	1	1	3

Note: Information provided by 49 state foresters and 25 federal agency executives.

- *South*: provide financial assistance (28 percent of respondents), monitor area and conditions of forests (20 percent), and provide assistance in time of disaster (13 percent).
- *West*: provide financial assistance and provide technical assistance (17 percent each), provide assistance in time of disaster and monitor area and conditions of forests (12 percent each), and provide resources to make state programs larger in size (10 percent).

Table 9. Importance of Federal Agency Roles and Responsibilities Involving Nonfederal Forests, as Perceived by State Foresters. 2001.

Federal Role or Responsibility	Importance of Role or Responsibility (percent of respondents)				Among Three Most Important Roles (percent)
	Very Important	Somewhat Important	Little Importance	Not Important	
• Provide financial assistance needed to implement state programs	76	18	6	0	21
• Provide leading-edge technical advice and assistance needed to implement state programs	57	31	6	6	14
• Monitor area and condition of forest resources within a state	57	41	2	0	13
• Provide resources needed to make state programs large enough (scale) to be successfully implemented	63	27	10	0	12
• Deliver a variety of assistance in time of a disaster or catastrophe involving forests	55	43	2	0	10
• Foster coordination among states situated within a larger multi-state region	45	49	6	0	10
• Synthesize and distribute information to states	45	49	6	0	3
• Encourage communication among and between state agencies and clients of state programs	14	43	33	10	3
• Evaluate current and potential programs being implemented by states	29	36	29	6	2
• Promote the national interest in special or unique forest resources located in a state	27	59	12	2	2
• Build state organizational and managerial (staff) capacity needed to implement state programs	24	48	24	4	2
• Motivate states to innovate and embrace new and up-to-date goals and programs	18	53	27	2	2
• Further the development and use of strategic planning processes by states	12	51	33	4	2
• Give legitimacy and standing, by federal example, to state programs	39	35	22	4	1
• Promote, by example, leadership among executives, managers and clients of state programs	14	55	27	4	1
• Promote the integration of economic and environmental interests in state forest resources	12	51	33	4	1
• Facilitate abatement and necessary management of conflict among clients of state programs	2	18	66	14	1
• Convene the partnering of diverse clients of programs implemented by states	8	47	39	6	0

Note: Information provided by 49 states.

Rationale for Selection of Federal Agency Roles

State foresters were also sensitive to the reality of a federal law or rule directing federal roles involving nonfederal forests. Fifty-seven percent of responding state foresters indicated such to be the single most important factor; 84 percent cited it as very important to selection of a federal role (Table 10). Although cited far less frequently as single most important selection criteria, the next ranking factors were: federal finances are available to accomplish a federal role (16 percent of respondents) and national and regional goals necessitate a federal role (13 percent of respondents). Cited most often as not important or of little importance as criteria for a federal role selection was federal employee interest in a particular federal role (80 percent of respondents) and the existence of a large and competent federal agency staff (67 percent of respondents).

Table 10. Importance of Factors Determining Federal Agency Roles Involving Nonfederal Forests, as Perceived by State Foresters. 2001.

Factor Determining a Federal Role	Importance of Factor (percent of respondents)				Single Most Important Factor (percent)
	Very Important	Somewhat Important	Little Importance	Not Important	
• Federal law or rule clearly directs a federal role.	84	14	2	0	57
• Federal financial resources are abundant and available to help accomplish a federal role.	25	51	16	8	16
• Broad national and regional goals to be accomplished points to the necessity of a federal role.	33	45	20	2	13
• Long-term federal commitment exists to the importance of a federal role (especially among agency leadership).	31	43	22	4	8
• Federal agency knowledge of issues or specialized forest conditions points to the necessity of a federal role.	25	57	14	4	4
• Support among national stakeholders is strong for a federal role.	10	63	23	4	2
• National centers of political power and authority direct a federal role.	12	39	47	2	0
• Large and competent federal agency staff is available to help accomplish a federal role.	8	25	47	20	0
• Federal employee interest in and support is high for a federal role	4	16	53	27	0

Note: Information provided by 49 states. Other factors suggested for determining a federal role included a state request for federal assistance.

State foresters specified preferences for federal roles and for the criteria they use to make such selections. By relating the two (preferred roles and preferred criteria), the reasoning behind selection of a particular federal role can be further clarified (Appendix Table 7). For the three

most important federal roles identified by state foresters (provide financial assistance, provide technical advice, monitor area and condition of forests), their selection of these roles was based most commonly on the existence of a federal law or rule that directs federal involvement (58 of responding state foresters) and on the existence of abundant and readily available financial resources needed to accomplish the preferred federal role (16 percent). Included in this analysis were only those state foresters (43 of 49) that specified one or more of these three most important roles.

Regional patterns of state forester preferences for various standards that might be used to determine a federal role were similar to nationwide findings (Appendix Tables 8, 9, 10). The occurrence of a federal law directing a federal role dominated state forester views on what constitutes a federal role in all regions. In the North and South, all state foresters considered such to be very or somewhat important. Regionally more specific, state foresters mentioned most often the following as the single most important selection criteria:

- *North:* federal law or rule directs a federal role (68 percent of respondents), long term federal commitment and national goals necessitate a federal role (11 percent each), and national stakeholder support and availability of federal financial resources (5 percent each).
- *South:* federal law or rule directs a federal role (54 percent of respondents), availability of federal financial resources (23 percent), and specialized federal agency knowledge (15 percent).
- *West:* federal law or rule directs a federal role (47 percent of respondents), availability of federal financial resources (23 percent), and national goals necessitate a federal role (18 percent).

Action Strategy Plan Implementation Roles

State foresters were less firm in their views that responsibility for accomplishing Action Strategy Plan outcomes should be shared. In only three of the Plan's seven outcome categories did more than half the state foresters suggest an equal partnership, namely citizen understanding of forest uses and conditions (55 percent of respondents), protection and health of forests (53 percent), and restoration and protection of forested watersheds (51 percent) (Table 11). Seventy percent of state foresters suggested federal responsibility should be emphasized (modest to high) on matters involving international forestry. For all other categories of plan outcomes, more state foresters preferred a high state responsibility (average per plan outcome of 36 percent of respondents) than preferred a federal responsibility (average per plan outcome less than 1 percent of respondents). Sixty-one percent of respondents preferred a modest or high state emphasis on accomplishing high quality urban forest conditions.

Table 11. Federal-State Responsibilities for Achieving Program Outcomes Specified by USDA-Forest Service Action Strategy Plan for State and Private Forestry, as Perceived by State Foresters. 2001.

Desired Program Outcome for USDA-Forest Service <i>Action Strategy Plan for State and Private Forestry</i>	Degree of State or Federal Responsibility (percent of respondents)							
	Emphasize Federal Responsibility				Equal	Emphasize State Responsibility		
	High	Modest	Low	Equal	Low	Modest	High	
• Communities with Quality Life-Style Conditions (Enhance the economic and social well-being of human communities by strengthening their link to sustainably managed forest resources)	0	2	2	33	8	22	33	
• Forested Watersheds Restored and Protected (Enhance the condition of all forested watersheds to provide for quality natural environments and human communities)	0	0	0	51	2	10	37	
• Forests Sustainably Managed (Enhance the use, management and protection of nonfederal forests with focused technical and financial assistance)	0	0	4	37	0	12	47	
• Forests Protected and Healthy (Enhance security of life, property and the forest environment from wildfire and non-native invasive species of plants and animals)	2	4	0	53	0	8	33	
• Citizens Understand Forest Uses and Conditions (Enhance citizen education and understanding of forest conditions and the role forests can play in the quality of their lives)	0	2	2	55	2	12	27	
• Urban Forest Conditions of High Quality (Enhance urban forest conditions to improve the quality of life for persons living in cities and towns)	2	0	0	31	6	22	39	
• Sustainable Condition of Forests and Communities in an International Setting (Enhance worldwide forest conditions and their contributions to human and community well-being)	39	31	14	8	2	2	4	

Note: Information provided by 49 states.

Table 12. Importance of Federal Agency Roles and Responsibilities Involving Nonfederal Forests, as Perceived by Executives of State and Private Forestry USDA-Forest Service. 2001

Federal Role or Responsibility	Importance of Role or Responsibility (percent of respondents)				Among Three Most Important Roles (percent)
	Very Important	Somewhat Important	Little Importance	Not Important	
• Foster coordination among states situated within a larger multi-state region	80	20	0	0	20
• Provide leading-edge technical advice and assistance needed to implement state programs.	84	12	0	4	17
• Motivate states to innovate and embrace new and up-to-date goals and programs	72	24	4	0	11
• Provide financial assistance needed to implement state programs	72	16	8	4	9
• Monitor area and condition of forest resources within a state	56	32	12	0	8
• Build state organizational and managerial (staff) capacity needed to implement state programs	52	40	8	0	8
• Promote, by example, leadership among executives, managers and clients of state programs	72	24	4	0	6
• Deliver a variety of assistance in time of a disaster or catastrophe involving forests	84	12	4	0	4
• Provide resources needed to make state programs large enough (scale) to be successfully implemented	68	24	8	0	4
• Synthesize and distribute information to states	72	24	4	0	3
• Promote the integration of economic and environmental interests in state forest resources	68	32	0	0	3
• Convene the partnering of diverse clients of programs implemented by states	56	28	16	0	1
• Promote the national interest in special or unique forest resources located in a state.	56	32	12	0	1
• Give legitimacy and standing, by federal example, to state programs	64	28	8	0	1
• Further the development and use of strategic planning processes by states.	56	36	4	4	1
• Evaluate current and potential programs being implemented by states	56	40	4	0	0
• Encourage communication among and between state agencies and clients of state programs	52	44	4	0	0
• Facilitate abatement and necessary management of conflict among clients of state programs.	16	52	32	0	0

Note: Information reflects views of 25 senior-level administrative executives. Other federal agency roles suggested are facilitate state coordination with other federal agencies; promote coordination with research organizations and academic community; promote integration of diverse programs; and coordinate agency activities with Congress.

Regional preferences of state foresters for state-federal responsibility to accomplish the outcomes of the Action Strategy Plan also urged a strong federal role in international forestry matters (Appendix Tables 11, 12, 13). For the other six outcome categories, Southern state foresters would emphasize a high-level state role (average 42 percent of respondents), state foresters in the West a lesser state role (average 39 percent), and only an average of 28 percent of state foresters in the North indicated preference for high-level state responsibility in accomplishing outcomes of the Action Strategy Plan. Excluding international forestry matters, state foresters in the North and West were more disposed to equal state-federal sharing of responsibility for pursuing the various categories of the Action Strategy Plan outcomes (average of 49 percent and 48 percent of respondents, respectively). Seventy percent of state foresters in the West suggested that restoration and protection of watersheds should be a shared state-federal responsibility, a much larger portion than in the North (47 percent) and South (31 percent).

Federal Executive Perception of Federal Roles

Importance of Potential Federal Agency Roles

Federal agency executives within the State and Private Forestry Unit of the USDA-Forest Service also acknowledged preferences for various federal roles involving nonfederal forests. Nearly all the potential roles presented were considered to be very or somewhat important in the view of the responding executives; nine of ten respondents (92 percent) identified each category on average to be of such importance (Table 12). Most commonly identified as among the three most important federal roles were: fostering coordination among states situated within a larger multi-state region (20 percent of respondents) and providing leading-edge technical advice and assistance to states (17 percent of respondents). Eighty percent of the surveyed federal agency executives indicated the former was a very important role, while 84 percent indicated the later role to be very important.

Although very few roles were strongly suggested as of no importance by agency executives (only three role categories so identified; one respondent each category), the two most common roles identified as of little importance involved federal agency involvement with the clients of state agency programs, namely facilitating the management of conflict among client groups (little importance—32 percent of respondents) and convening the partnering of state program clients (little importance—16 percent) (Table 12).

Rationale for Selection of Federal Agency Roles

Federal agency executives were also very sensitive to the reality of a federal law or rule directing some federal role involving nonfederal forests. Forty-four percent indicated such to be the single most important decision-making factor; 88 percent identified legal directives as very important to federal role decisions (Table 13). Although identified appreciably less frequently than a federal law or rule, the suggestion of a federal role being determined by the extent to which national and regional goals necessitate a federal role was considered to be the single most

important factor by 24 percent of the respondents; 84 percent viewing such a criterion as very important. High federal employee interest and support for a particular federal role and a large competent federal agency staff should be of little or no importance to federal role selection in the opinion of 44 percent and 36 percent of responding federal agency executives, respectively.

As with state foresters, federal agency executives specified preferences for federal roles and for the criteria they used to make such selections (Appendix Table 14). For the three most important federal roles identified by agency executives (provide technical assistance, foster coordination among states, encourage state to innovate and embrace new goals and programs), their selection of these roles was also based most commonly on the existence of a federal law or rule that directs federal involvement (50 of responding executives) and on the existence of broad national or regional goals that point to the necessity of a federal role (25 percent of respondents). Included in this analysis were only those federal agency executives (20 of 25) that specified one or more of these three most important roles.

Table 13. Importance of Factors Determining Federal Agency Roles Involving Nonfederal Forests, as Perceived by Executives of State and Private Forestry USDA-Forest Service. 2001.

Factor Determining a Federal Role	Importance of Factor (percent of respondents)				Single Most Important Factor (percent)
	Very Important	Somewhat Important	Little Importance	Not Important	
• Federal law or rule clearly directs a federal role	88	12	0	0	44
• Broad national and regional goals to be accomplished points to the necessity of a federal role	84	16	0	0	24
• Long-term federal commitment exists to the importance of a federal role (especially among agency leadership)	44	48	8	0	8
• Support among national stakeholders is strong for a federal role	44	48	8	0	8
• Federal agency knowledge of issues or specialized forest conditions points to the necessity of a federal role	56	32	8	4	8
• Federal employee interest in and support is high for a federal role	16	40	28	16	0
• Large and competent federal agency staff is available to help accomplish a federal role	4	60	32	4	0
• Federal financial resources are abundant and available to help accomplish a federal role	24	56	16	4	0
• National centers of political power and authority direct a federal role	28	40	28	4	0

Note: Information reflects views of 25 senior-level administrative executives. Other factors suggested for determining a federal agency role are a state request for federal assistance.

Action Strategy Plan Implementation Roles

Most federal agency executives expressed the view that the Action Strategy Plan should be an equal state-federal responsibility (Table 14). Excluding the outcome category involving international forestry (76 percent suggested such to be a modest or high federal responsibility), 64 percent of the respondents on average for each other category suggested that responsibility for accomplishing outcomes for a specific category should be shared equally between federal and state governments. In terms of the greatest emphasis on state responsibility, federal executives emphasized the urban forestry category and sustainable forest management category, each being cited by about one quarter of the respondents (24 percent each). In contrast, federal responsibility should be directed to international forestry matters and the protection and health of forests (44 and 16 percent of respondents, respectively).

Summary of Conditions

There exist a number of common threads throughout the above information (Table 15). Considering the combined perspectives of state foresters and federal agency executives within the State and Private Forestry Unit of the USDA-Forest Service, the prevailing view suggests that federal roles should focus primarily on providing states with financial assistance, furnishing them with leading-edge technical advice, and promoting opportunities for coordination between states across a larger multi-state region. Suggested is that decisions to adopt roles such as these should be determined by directives or mandates contained in federal laws or rules, the reality that only via a federal presence can certain national or regional goals be accomplished, and the existence of federal financial resources without which the federal role cannot be implemented.

State forester perceptions of appropriate federal roles do not vary much from the aggregate (recall, the aggregate is two-thirds state forester) (Table 15). Again, provision of financial assistance and technical advice required to implement state programs are clearly federal roles favored by state foresters. Also preferred are federal actions to monitor the extent and condition of forests within a state and to provide resources (of various types) needed to make state programs large enough to be successfully implemented. As to why these roles are likely to be preferred, the most commonly identified selection criteria are the same as those chosen in the aggregate (federal law or rule, national or regional goals, existence of federal financial support).

Federal agency executive perceptions of appropriate federal goals involving states and nonfederal forests are somewhat different from the aggregate and from state foresters (Table 15). Agency executives appear to favor federal roles that promote coordination among states, provide technical advice and assistance, and motivate states to innovate and embrace progressive and forward-looking policies and programs. Although federal provision of financial assistance is not as highly considered by executives, it is nevertheless among the roles considered to be very important. As for why federal executives prefer certain federal roles, the dominating decision factors are the dictates of a federal law or rule and the necessity of federal involvement in order to accomplish certain national or regional goals.

Table 14. Federal-State Responsibilities for Achieving Program Outcomes Specified by USDA-Forest Service Action Strategy Plan for State and Private Forestry, as Perceived by Executives of State and Private Forestry USDA-Forest Service. 2001.

Desired Program Outcome for USDA-Forest Service <i>Action Strategy Plan for State and Private Forestry</i>	Degree of State or Federal Responsibility (percent of respondents)						
	Emphasize Federal Responsibility			Equal	Emphasize State Responsibility		
	High	Modest	Low	Equal	Low	Modest	High
• Communities with Quality Life-Style Conditions (Enhance the economic and social well-being of human communities by strengthening their link to sustainably managed forest resources)	12	0	4	64	4	4	12
• Forested Watersheds Restored and Protected (Enhance the condition of all forested watersheds to provide for quality natural environments and human communities)	8	4	4	68	0	8	8
• Forests Sustainably Managed (Enhance the use, management and protection of nonfederal forests with focused technical and financial assistance)	12	4	0	56	4	0	24
• Forests Protected and Healthy (Enhance security of life, property and the forest environment from wildfire and non-native invasive species of plants and animals)	16	0	0	68	4	0	12
• Citizens Understand Forest Uses and Conditions (Enhance citizen education and understanding of forest conditions and the role forests can play in the quality of their lives)	0	8	4	64	4	4	16
• Urban Forest Conditions of High Quality (Enhance urban forest conditions to improve the quality of life for persons living in cities and towns)	0	8	0	64	0	4	24
• Sustainable Condition of Forests and Communities in an International Setting (Enhance worldwide forest conditions and their contributions to human and community well-being)	44	32	4	20	0	0	0

Note: Information reflects views of 25 senior-level administrative executives.

Table 15. Summary State Forester and Federal Agency Executive Perceptions of Federal Roles and Federal Administrative Linkages Involving Nonfederal Forests. 2001.

Characteristic	State Forester-Agency Executive Combined Perceptions	State Forester Perceptions	Agency Executive Perceptions
Federal Roles and Responsibilities	<p>Role: provide financial resources, furnish technical assistance, and promote coordination among states.</p> <p>Selection Criteria: legal requirement, unique and effective federal position, and available federal finances.</p>	<p>Role: provide financial resources, furnish technical assistance, and monitor condition of forest resources.</p> <p>Selection Criteria: legal requirement, unique and effective federal position, and available federal finances.</p>	<p>Role: promote coordination among states, furnish technical assistance, and encourage innovation in goals and programs.</p> <p>Selection Criteria: legal requirement, unique and effective federal position, federal agency leadership commitment, and strong stakeholder support.</p>
Federal Administrative Linkage to States	<p>Linkage: financial support, lend technical personnel, and equipment, participate in development of state goals and programs.</p> <p>Selection Criteria: few federal administrative restrictions, only way of accomplishing desired ends, existence of federal agency leadership commitment.</p>	<p>Linkage: financial support, and lend technical personnel and equipment.</p> <p>Selection Criteria: few federal administrative restrictions, available federal finances, existence of federal agency leadership commitment.</p>	<p>Linkage: financial support, presence on state committees, lend equipment and technical personnel, participate in development of state goals and programs.</p> <p>Selection Criteria: only way of accomplishing desired ends, existence of federal agency leadership commitment, and few federal administrative restrictions.</p>
Current Role and Linkage Effectiveness	<p>Overall: moderate to very well.</p> <p>Especially Effective: acquiring program resources, and encouraging program innovation.</p> <p>Deterrents: inadequate program resources, cumbersome administrative procedures, absence of state-federal vision for nonfederal forests.</p>	<p>Overall: moderate to very well.</p> <p>Especially Effective: acquiring program resources, and encouraging program innovation.</p> <p>Deterrents: inadequate program resources, cumbersome administrative procedures, absence of state-federal vision for nonfederal forests.</p>	<p>Overall: moderate to very well.</p> <p>Especially Effective: acquiring program resources, and engaging citizens and client groups.</p> <p>Deterrents: inadequate program resources, lack of state-federal agency trust, absence of state-federal vision for nonfederal forests.</p>

Preference expressed for some federal roles is clearly modest. In most cases, such disfavor is focused on federal involvement with the client groups of state programs, namely federal actions to convene the partnering of diverse clients of programs implemented by states, and, especially, federal actions to facilitate resolution of conflict among such clients. State foresters are especially dubious of federal involvement in these respects. Also low on the list of priority roles are federal actions to evaluate state implemented programs and the promotion of federal programs as examples to be adopted by states. However, even though all the aforementioned roles are low priority relative to other potential roles, very few state foresters or federal agency executives suggest such roles to be of no importance at all.

Preferences for some factors that might be used to select a federal role are not looked on with favor. Most commonly identified in this respect is the selection of a federal role on the basis of an interested, competent and large federal staff, and in response to political influence exerted by political appointees or organized special interest groups.

Federal-State Administrative Linkages

Perception of Linkages in General

Importance of Potential Federal-State Linkages

A variety of formal administrative and program arrangements can be used by federal agencies to link with states, the intent being to promote state actions leading to the accomplishment of a preferred federal role in nonfederal forests. Among the potential linkages posed to state foresters and federal agency executives were: federal agency lending personnel, equipment or material to a state; state-federal co-ownership and management of forests and facilities; federal agency direct involvement in state program development and implementation (preparing long-range plans, partnering in the resolution of conflict, giving instructions and mandates to states); and federal agency supplying of various resources, including financial assistance and assorted tangible goods or products (tree seedlings, fire fighting equipment).

The combined responses of state foresters and federal agency executives suggest that financial support via grants, loans, or guarantees was viewed most commonly (72 percent of respondents) as the single most important way for federal agencies to link with states in the accomplishment of a federal role (Table 16). Eight-five percent of the respondents indicated such an approach was very important—99 percent considered it very or somewhat important. Other potential linkages suggested to state foresters and federal agency executives were quite distant in terms of being a single most important factor. Many, however, were given high marks in terms of their importance generally (very or somewhat important):

- Provide direct financial support to states via grants, loans and guarantees—99 percent considered very or somewhat important.
- Lend equipment to states—86 percent.

- Lend technical personnel to states—81 percent.
- Serve, along with state delegates, on state committees and task forces—70 percent.
- Actively participate in the development of a state agency’s long-term plans—65 percent.
- Partner with states to resolve conflict among clients of state programs—55 percent.

Ninety-four percent (70 of 74 respondents) of the responding state foresters and federal agency executives identified the above formal administrative arrangements of federal agencies to be among the single most important.

Table 16. Importance of Administrative and Program Arrangements Used by Federal Agencies Working with States to Accomplish a Federal Role Involving Nonfederal Forests, as Perceived by State Foresters and Executives of State and Private Forestry USDA-Forest Service. 2001.

Formal Federal Administrative Arrangement with States	Importance of Administrative Arrangement (percent of respondents)				Single Most Important Arrangement (percent)
	Very Important	Somewhat Important	Little Importance	Not Important	
• Provide direct financial support to states via grants or similar approaches	85	14	1	0	72
• Lend technical personnel to states for short periods of time	36	45	16	3	7
• Lend equipment (technical, mechanical) and material to states for short periods of time	20	66	10	4	4
• Partner with states to help resolve conflict among clients of state programs	16	39	37	8	4
• Actively participate in development of a state agency’s long-term direction and plans	15	50	28	7	4
• Establish federal agency program offices to which states can establish matching counterpart offices	5	22	50	23	4
• Serve, along with state delegates, on state committees and task forces	17	53	27	3	3
• Co-manage forest and related land with states	5	15	41	39	1
• Co-own equipment, facilities and property with states	4	16	62	18	1
• Provide states with tangible goods (tree seedlings), products or equipment	10	35	46	9	0
• Join with states in judicial proceedings involving the interpretation of laws and rules	7	42	31	20	0
• Give direction and mandates to which states must respond	3	16	35	46	0

Note: Information provided by 49 state foresters and 25 federal agency executives.

State foresters and federal agency executives were not enamored with certain state-federal arrangements, especially those that enabled federal agencies to give instructions and mandates to states (81 percent indicated little or no importance), state-federal co-ownership of forests or equipment and facilities (80 percent each), and the establishment of federal agency program offices to which states can establish matching counter part offices (73 percent) (Table 16). However, the latter approach was viewed by three respondents as a single most important way of formally relating state and federal agencies.

The selection of a preferred way of formally connecting state and federal agencies also implies the application of decision rules (criterion). Such can range widely, from preference for administrative arrangements that provide ample room for administrative discretion, and from arrangements that are supported by national stakeholders to legally specified criteria that direct implementation of a particular state-federal administrative arrangement.

The criteria most frequently specified as single-most important for selection of a state-federal linkage arrangement was that few (or none) federal agency restrictions are imposed a state agency during the course of implementing the relationship (24 percent of respondents) (Table 17). The implication being that preferred administrative linkages are those that are not overly prescriptive, namely they allow ample room for administrative discretion and promote a state's ability to fit a federal role (expressed as a policy, program or resource assistance) to the varying conditions (resource and human) found within a state. Listed in order of frequency cited, the three factors specified most often as a single most important selection criteria are:

- Few federal agency restrictions imposed by arrangement—4 percent of respondents.
- Administrative arrangement is most effective (only way to accomplish desired outcomes)—0 percent.
- Long-term federal commitment exists to the administrative arrangement—0 percent.

The 11 decision criteria offered for consideration by state foresters and federal agency executives were all given high marks of importance. In fact, each proposed criterion was considered on average to be very or somewhat important by at least 57 percent of the respondents (Table 17). Although some criteria used to select an administrative arrangement were not commonly identified as the single, most important factor, they were often very highly regarded. For example, 93 percent of respondents were of the opinion that a state-federal arrangement that was easy to understand and administer was a very or somewhat important consideration when selecting an administrative arrangement. Similarly viewed was the importance of access to federal financial resources (ample and readily available) that may be required to implement a particular state-federal administrative arrangement (86 percent).

Table 17. Importance of Factors Determining Administrative and Program Arrangements Used by Federal Agencies Working with States to Accomplish a Federal Role Involving Nonfederal Forests, as Perceived by State Foresters and Executives of State and Private Forestry USDA-Forest Service. 2001.

Factor Determining Federal-State Working Relationship	Importance of Factor (percent of respondents)				Single Most Important Factor (percent)
	Very Important	Somewhat Important	Little Importance	Not Important	
• Few (or none) federal agency restrictions imposed by the working relationship (room for discretion, not overly prescriptive, accommodates local conditions)	68	28	4	0	24
• Desired outcomes can only be accomplished by this type of working relationship (most effective)	54	38	5	3	20
• Long-term federal commitment exists to the working relationship (especially among agency leadership)	49	42	9	0	20
• Federal financial resources are abundant and available to implement the working relationship	36	50	11	3	14
• Federal law or rule clearly requires use of the working relationship	49	35	15	1	11
• Easy to understand and administer the working relationship	65	28	7	0	5
• Support among national stakeholders is strong for use of the working relationship	31	47	19	3	3
• Federal employee interest and support is high for use of the working relationship	23	38	34	5	3
• Large and competent federal staff is available for implementing the working relationship	15	42	36	7	0
• National political centers of power and alliances direct use of the working relationship	14	45	36	5	0
• Few (or none) federal agency reporting requirements expected by the working relationship	13	57	26	4	0

Note: Information provided by 49 state foresters and 25 federal agency executives.

Rationale for Selection of Federal-State Linkages

Selection criteria were not all viewed with overwhelming enthusiasm, although most were considered important (very or somewhat) by at least a majority of the respondents. For example, 43 percent of state foresters and federal agency executives assigned little or no importance to a large and competent federal agency staff as a factor to be considered when selecting a federal role in nonfederal forests (although 57 percent considered such to be very or somewhat important) (Table 17). Likewise, 41 percent of the respondents did not think politically powerful persons or interest groups should be a factor in determining the appropriateness of a state-federal working relationship (although 59 percent indicated such to be a very or somewhat important consideration). The two aforementioned factors, plus few (or

none) federal agency reporting requirements, were not considered to be single most important by any of the respondents.

Action Strategy Plan Program Linkages

State-federal linkages are typically formalized as programs by which a federal agency seeks to accomplish an important federal role. Three broad program categories were posed to state foresters and federal agency executives as a means of accomplishing the six major outcome categories of the USDA-Forest Service's Action Strategy Plan for the agency's State and Private Forestry unit. The three program categories were financial and monetary programs (for example, cost share, tax incentives, fiscal grants), educational and technical assistance programs (for example, extension services, landowner advice and counsel, written and electronic media services), and regulatory and command and control programs (for example, occupational safety and health rules, air and water pollution permits, forest practice compliance standards).

Financial-Monetary Programs. State foresters and federal agency executives generally found favor with financial and monetary programs as a means of accomplishing Strategy Action Plan outcomes (Table 18). An average 52 percent of the respondents considered such programs to be very important, especially so for restoring and protecting forested watersheds (66 percent) and protection of healthy forests (70 percent). Only 31 percent of respondents indicated financial and monetary programs as a federal approach was very important to furthering citizen understanding of forest uses and conditions. Very few respondents indicated fiscal and monetary programs to be of no importance (usually less than 3 percent of respondents for each major outcome category).

Educational-Technical Assistance Programs. State foresters and agency executives also found general favor with educational and technical assistance programs, although somewhat less so than with fiscal and monetary programs (Table 18). Of the respondents, an average of 48 percent indicated the former was very important to the Action Strategy Plan, especially so for accomplishing desired outcomes involving protection of healthy forests (57 percent of respondents). Less enthusiasm was indicated for educational and technical assistance programs focused on enhancing communities and quality of life conditions (20 percent indicated little or no importance) and on citizen understanding of forest uses and conditions (17 percent indicated little or no importance).

Regulatory-Command Programs. Regulatory and command type programs were viewed as especially dubious ways of state-federal partnering in order to accomplish Action Strategy Plan outcomes (Table 18). An average of seventy-seven percent of respondents indicated such programs to be of little or no importance for each outcome category (average of 39 percent indicated of no importance). However, 16 of the 74 respondents indicated regulatory command and control was somewhat important, especially for restoration and protection of forested watersheds (42 percent of respondents) and protection of healthy forests (26 percent). Seven

percent of the respondents indicated regulatory and command initiatives were very important to accomplishment of the latter.

Table 18. Importance of Financial-Monetary, Educational-Technical Assistance and Regulatory-Command Programs as Federal Agency Approaches to Accomplishing USDA-Forest Service Action Strategy Plan Outcomes for Nonfederal Forests, as Perceived by State Foresters and Executives of State and Private Forestry USDA-Forest Service. 2001

A. Financial-Monetary Programs Used to Accomplish the Following Outcomes	Importance of Programs to Accomplish Outcomes (percent of respondents)			
	Very Important	Somewhat Important	Little Importance	No Importance
• Communities with Quality Life-Style Conditions	39	47	11	3
• Forested Watersheds Restored and Protected	66	31	2	1
• Forests Sustainably Managed	58	34	7	1
• Forests Protected and Healthy	70	24	4	2
• Citizens Understand Forest Uses and Conditions	31	53	13	3
• Urban Forest Conditions of High Quality	49	42	8	1
<i>Average</i>	52	38	8	2
B. Educational-Technical Assistance Programs Used to Accomplish the Following Outcomes	Importance of Programs to Accomplish Outcomes (percent of respondents)			
	Very Important	Somewhat Important	Little Importance	No Importance
• Communities with Quality Life-Style Conditions	37	43	16	4
• Forested Watersheds Restored and Protected	50	42	7	1
• Forests Sustainably Managed	51	41	5	3
• Forests Protected and Healthy	57	37	5	1
• Citizens Understand Forest Uses and Conditions	47	36	14	3
• Urban Forest Conditions of High Quality	44	42	11	3
<i>Average</i>	48	40	10	2
C. Regulatory-Command Programs Used to Accomplish the Following Desired Outcomes	Importance of Programs to Accomplish Outcomes (percent of respondents)			
	Very Important	Somewhat Important	Little Importance	No Importance
• Communities with Quality Life-Style Conditions	0	11	36	53
• Forested Watersheds Restored and Protected	1	42	31	26
• Forests Sustainably Managed	3	17	49	31
• Forests Protected and Healthy	7	26	39	28
• Citizens Understand Forest Uses and Conditions	0	11	31	58
• Urban Forest Conditions of High Quality	0	18	42	40
<i>Average</i>	2	21	38	39

Note: Information provided by 49 state foresters and 25 federal agency executives.

Table 19. Importance of Administrative and Program Arrangements Used by Federal Agencies Working with States to Accomplish a Federal Role Involving Nonfederal Forests, as Perceived by State Foresters. 2001.

Formal Federal Administrative Arrangement with States	Importance of Administrative Arrangement (percent of respondents)				Single Most Important Arrangement (percent)
	Very Important	Somewhat Important	Little Importance	Not Important	
• Provide direct financial support to states via grants or similar approaches.	88	10	2	0	82
• Lend technical personnel to states for short periods of time.	29	45	22	4	6
• Lend equipment (technical, mechanical) and material to states for short periods of time.	12	46	38	4	4
• Actively participate in development of a state agency's long-term direction and plans.	8	43	39	10	2
• Co-own equipment, facilities and property with states.	6	12	59	23	2
• Partner with states to help resolve conflict among clients of state programs.	6	37	47	10	2
• Establish federal agency program offices to which states can establish matching counterpart offices.	2	20	51	27	2
• Serve, along with state delegates, on state committees and task forces.	16	64	14	6	0
• Provide states with tangible goods (tree seedlings), products or equipment	8	29	53	10	0
• Give direction and mandates to which states must respond.	4	12	29	55	0
• Co-manage forest and related land with states.	2	14	37	47	0
• Join with states in judicial proceedings involving the interpretation of laws and rules.	2	37	41	20	0

Note: Information provided by 49 states.

State Forester Perception of Linkages

Importance of Potential Federal-State Linkages

Analyzed separately, the preponderance of state foresters (82 percent) also cited direct financial support to states and the single most important way in which federal agencies can link to states in order to accomplish important federal roles (Table 19). Eighty-eight percent indicated such to be a very or a somewhat important approach. Such is not to say that other ways of formally linking federal and state agencies on matters involving nonfederal forests are seriously wanting from state foresters perspectives. The following arrangements were given high marks as very or somewhat important: federal employees serving along with state delegates on state committees and task forces (80 percent of state foresters), lending technically competent personnel to states (74 percent), and lending equipment and material to state forestry agencies (58 percent).

State foresters also indicated that some potential ways of linking federal agencies with state counterparts were not important (Table 19). Fifty-five percent considered federal directions and mandates to be not important, while 47 percent indicated state-federal co-management of forest land as not an important form of state-federal administrative linkage. Closely related to the latter in approach, 82 percent of state foresters found state-federal co-ownership of equipment and facilities to be of no or little importance. However, two state foresters indicated such to be a single most important arrangement for implementing certain federal roles involving nonfederal forests.

State foresters were regionally very consistent in their view that federal agency provisions of direct financial support to states was the single most important arrangement for promoting a federal role in nonfederal forests (Appendix Tables 15, 16, 17). In general, state foresters in the North were more apt to consider very or somewhat important any one of the proposed linkages (average of 49 percent of state foresters), versus the West (47 percent) and the South (37 percent). In the latter region, over three-fourths (77 percent) of responding state foresters indicated federal agency directives and mandates as inappropriate (not important). Many state foresters in the North were not enamored with state-federal co-management of forest land (58 percent of respondents indicated not important). Regionally, state foresters referred most often to the following as among the top three most important ways for federal agencies to link with state on matters involving nonfederal forests:

- *North:* provide direct financial assistance via grants and loans (79 percent of respondents), lend technical personnel to states (11 percent), establish matching state-federal agency program offices (5 percent).
- *South:* provide direct financial assistance via grants and loans (84 percent of respondents), state federal co-ownership of equipment, facilities and property (8 percent), state-federal partnering to help resolve conflict among clients of state programs (8 percent).
- *West:* provide direct financial assistance via grants and loans (82 percent), federal lending of equipment and materials (12 percent), and lending of federal personnel to states (6 percent).

Rationale for Selection of Federal-State Linkages

State foresters also expressed preference for linkages that imposed few restrictions on state-federal working relationships (Table 20). Twenty-nine percent of responding state foresters indicated such should be the single most important consideration in how federal agencies link to state counterpart agencies. Again, the implication being that preferred administrative linkages are those that are not overly prescriptive, namely they allow ample room for administrative discretion and promote a state's ability to fit a federal role (expressed as a policy, program or resource assistance) to the varying conditions (resource and human) found within a state. Factors deemed to be single most important by at least 10 percent of responding state foresters are:

- Few federal agency restrictions imposed by arrangement—29 percent of responding state foresters.
- Federal finances are abundant and available for implementing arrangement—19 percent.
- Long-term federal commitment exists to the administrative arrangement—16 percent.
- Federal law directing a particular linkage—14 percent.
- Administrative arrangement is most effective (only way to accomplish desired outcomes)—12 percent.

Table 20. Importance of Factors Determining Administrative and Program Arrangements Used by Federal Agencies Working with States to Accomplish a Federal Role Involving Nonfederal Forests, as Perceived by State Foresters. 2001.

Factor Determining Federal-State Working Relationship	Importance of Factor (percent of respondents)				Single Most Important Factor (percent)
	Very Important	Somewhat Important	Little Importance	Not Important	
• Few (or none) federal agency restrictions imposed by the working relationship (room for discretion, not overly prescriptive, accommodates local conditions).	71	23	6	0	29
• Federal financial resources are abundant and available to implement the working relationship.	45	47	4	4	19
• Long-term federal commitment exists to the working relationship (especially among agency leadership).	47	43	10	0	16
• Federal law or rule clearly requires use of the working relationship.	47	37	14	2	14
• Desired outcomes can only be accomplished by this type of working relationship (most effective).	51	39	6	4	12
• Easy to understand and administer the working relationship.	63	35	2	0	8
• Federal employee interest and support is high for use of the working relationship.	12	41	41	6	2
• Support among national stakeholders is strong for use of the working relationship.	18	55	23	4	0
• Few (or none) federal agency reporting requirements expected by the working relationship.	16	57	25	2	0
• Large and competent federal staff is available for implementing the working relationship.	14	41	35	10	0
• National political centers of power and alliances direct use of the working relationship.	12	45	37	6	0

Note: Information provided by 49 states.

State foresters viewed some decision rules to be of little or no importance in selecting appropriate state-federal linkages (Table 20). Federal employee interest in a particular approach and the existence of a large and competent federal staff were not highly rated by most state foresters (48 percent and 45 percent of respondents, respectively). Four of the 11 decision rules suggested for state forester consideration were not specified as a single most important factor.

Regional patterns of state forester preferences for various standards differed from the nationwide findings (Appendix Tables 18, 19, 20). In the North, the most commonly suggested selection criterion was the occurrence of few federal agency restrictions (ample room for state discretion) (32 percent of state foresters), while state foresters in the South identified most often the existence of an ample amount of readily available financial resources for implementation of the administrative arrangement (39 percent). In the West, a federal law directing a particular state-federal organizational linkage was most frequently suggested as a selection standard (29 percent). Responses were especially negative (little or no importance) in the South and West for guiding decisions on the basis of federal employee interest and the existence a large federal agency staff (46 percent each in South and 53 percent each in West).

Regionally, state foresters pointed out most often the following as single most important criteria for determining an appropriate organizational link between state and federal agencies on matters involving nonfederal forests:

- *North:* Few federal agency restrictions imposed by arrangement (32 percent of responding state foresters), easy to understand and administer administrative arrangement (21 percent), and long-term federal commitment exists to the administrative arrangement (16 percent).
- *South:* Federal finances are abundant and available for implementing arrangement (39 percent), few federal agency restrictions imposed by arrangement (31 percent), federal law or rule directs a particular administrative arrangement (15 percent), and long-term federal commitment exists to the administrative arrangement (15 percent).
- *West:* federal law or rule directs a particular administrative arrangement (29 percent), few federal agency restrictions imposed by arrangement (23 percent), long-term federal commitment exists to the administrative arrangement (18 percent), and administrative arrangement is most effective (only way to accomplish desired outcomes) (18 percent).

State foresters specified preferences for administrative arrangements and preferences for the criteria they would use to select from various potential arrangements. By relating the two (preferred arrangement and preferred criteria), the reasoning behind selection of a particular state-federal linkage arrangement can be better understood (Appendix Table 21). For the three single most important arrangements specified by state foresters (provide direct financial assistance to state, lend personnel to states, lend equipment to states), their selection of these arrangements was based most often on the existence of few federal agency restrictions (26 of responding state foresters) and on the existence of abundant financial resources available for

implementing the preferred state-federal arrangement (20 percent). Included in this analysis were only state foresters (45 of 49) that specified one or more of these single most important arrangements.

Action Strategy Plan Program Linkages

State foresters also indicated preferences for the type of the programs that might be used to link state and federal agencies in furtherance of the USDA-Forest Service's Action Strategy Plan (Table 21). In general, fiscal-monetary and educational technical assistance programs were favored, whereas regulatory and command type programs were given far less credence for accomplishing most desired outcomes.

Financial-Monetary Programs. An average 53 percent of responding state foresters considered financial and monetary programs to be very important, especially for restoring and protecting forested watersheds (67 percent) and protection of healthy forests (74 percent) (Table 21). However, only 27 percent of state foresters indicated financial and monetary programs as a federal approach was very important to furthering citizen understanding of forest uses and conditions. Very few respondents indicated fiscal and monetary programs to be of no importance (usually two or fewer state foresters for each major outcome category).

Educational-Technical Assistance Programs. State foresters also found general favor with educational and technical assistance programs, although considerably fewer than with fiscal and monetary programs (Table 21). Of the responding state foresters, an average of 39 percent indicated the former were very important to the Action Strategy Plan, especially so for accomplishing desired outcomes involving protection of healthy forests (51 percent of respondents). Less enthusiasm was indicated for educational and technical assistance programs focused on enhancing communities and quality of life conditions (30 percent indicated little or no importance) and on citizen understanding of forest uses and conditions (22 percent indicated little or no importance).

Regulatory-Command Programs. State foresters were especially dubious about regulatory and command type programs as a means of promoting state-federal cooperation to accomplish Action Strategy Plan outcomes (Table 21). An average of 79 percent of state foresters indicated such programs to be of little or no importance for each outcome category (average of 40 percent indicated of no importance). However, nine of the 49 responding state foresters indicated regulatory command and control was somewhat important, especially for restoration and protection of forested watersheds (39 percent of respondents) and protection of healthy forests (24 percent). Four state foresters indicated regulatory and command initiatives were very important to accomplishment of the latter.

Table 21. Importance of Financial-Monetary, Educational-Technical Assistance and Regulatory-Command Programs as Federal Agency Approaches to Accomplishing USDA-Forest Service Action Strategy Plan Outcomes for Nonfederal Forests, as Perceived by State Foresters. 2001.

A. Financial-Monetary Programs Used to Accomplish the Following Outcomes	Importance of Programs to Accomplish Outcomes (percent of respondents)			
	Very Important	Somewhat Important	Little Importance	No Importance
• Communities with Quality Life-Style Conditions	37	43	16	4
• Forested Watersheds Restored and Protected	67	29	2	2
• Forests Sustainably Managed	63	29	6	2
• Forests Protected and Healthy	74	22	2	2
• Citizens Understand Forest Uses and Conditions	27	55	14	4
• Urban Forest Conditions of High Quality	49	37	12	2
<i>Average</i>	53	36	8	3
B. Educational-Technical Assistance Programs Used to Accomplish the Following Outcomes	Importance of Programs to Accomplish Outcomes (percent of respondents)			
	Very Important	Somewhat Important	Little Importance	No Importance
• Communities with Quality Life-Style Conditions	27	43	24	6
• Forested Watersheds Restored and Protected	41	47	10	2
• Forests Sustainably Managed	39	49	8	4
• Forests Protected and Healthy	51	39	8	2
• Citizens Understand Forest Uses and Conditions	41	37	18	4
• Urban Forest Conditions of High Quality	37	43	16	4
<i>Average</i>	39	43	14	4
C. Regulatory-Command Programs Used to Accomplish the Following Desired Outcomes	Importance of Programs to Accomplish Outcomes (percent of respondents)			
	Very Important	Somewhat Important	Little Importance	No Importance
• Communities with Quality Life-Style Conditions	0	8	37	55
• Forested Watersheds Restored and Protected	2	39	33	26
• Forests Sustainably Managed	2	16	51	31
• Forests Protected and Healthy	8	24	39	29
• Citizens Understand Forest Uses and Conditions	0	10	33	57
• Urban Forest Conditions of High Quality	0	16	43	41
<i>Average</i>	2	19	39	40

Note: Information provided by 49 states.

State forester preferences for financial and monetary programs as an approach to state-federal linkage differed regionally. Such programs were specified as very important far more frequently by state foresters in the West (average of 66 percent) than in the North (average of 47 percent) and in the South (average of 44 percent)(Appendix Tables 22, 23, 24). State foresters in the West specified very often the use of financial and monetary programs to protect the health of

forests (82 percent of state foresters). As for educational and technical assistance programs as possible linkages, an average of only 28 percent of Southern state foresters specified such programs to be very important (average of 47 specified them somewhat importantly). Nearly half of Southern responses (46 percent) indicated educational and technical assistance programs would be of little importance as a means of positively influencing quality of life interests in communities. As for regulatory and command programs, the portion of state foresters indicating them to be of no importance was not much different from the national average of 40 percent (North—41 percent, South—38 percent, West—39 percent). However, the portion of state foresters in the South indicating regulatory programs as very important for protecting the health of forest was noticeably above the national average (national average—8 percent of state foresters, South—15 percent).

Federal Executive Perception of Linkages

Importance of Potential Federal-State Linkages

Analyzed separately, agency executives within the State and Private Unit of the USDA-Forest Service most frequently specified agency provision of direct financial aid (grants, loans, guarantees) as the single most important administrative arrangement for linking state and federal forestry agencies (52 percent of respondents) (Table 22). All responding executives considered such an approach to be either very or somewhat important. Although a distant second as single most important, federal agency employees serving with their state counterparts on state committees and task forces garnered 12 percent of the responses, although all executives indicated such to be a very or somewhat important approach to linking state and federal agencies on matters involving nonfederal forests. Federal agency executives also found favor (ranked very or somewhat important) with federal agency lending of personnel to states (96 percent), federal agency active participation in development of a state's long-range plan for nonfederal forests (92 percent), and of lending equipment and material to state forestry agencies (92 percent).

Agency executives commonly identified certain state-federal administrative linkages as inappropriate or of little or no importance (Table 22). Such included a federal agency giving direction and mandates to a state forestry agency (86 percent indicated little or no importance), state and federal co-ownership of equipment or facilities (76 percent) and co-management of forest land by federal and state governments (72 percent). Establishing within states or regions, offices to be shared by federal and state agencies was also not viewed very positively (64 percent indicated such to be of little or no importance), although two of the 25 responding administrators considered such to be a single most important state-federal arrangement.

Table 22. Importance of Administrative and Program Arrangements Used by Federal Agencies Working with States to Accomplish a Federal Role Involving Nonfederal Forests, as Perceived by Executives of State and Private Forestry USDA-Forest Service. 2001.

Formal Federal Administrative Arrangement with States	Importance of Administrative Arrangement (percent of respondents)				Single Most Important Arrangement (percent)
	Very Important	Somewhat Important	Little Importance	Not Important	
• Provide direct financial support to states via grants or similar approaches.	80	20	0	0	52
• Serve, along with state delegates, on state committees and task forces.	28	72	0	0	12
• Establish federal agency program offices to which states can establish matching counterpart offices.	12	24	48	16	8
• Actively participate in development of a state agency's long-term direction and plans.	28	64	8	0	8
• Lend technical personnel to states for short periods of time.	52	44	4	0	8
• Partner with states to help resolve conflict among clients of state programs.	36	44	16	4	8
• Co-manage forest and related land with states.	12	16	48	24	4
• Lend equipment (technical, mechanical) and material to states for short periods of time.	28	64	8	0	0
• Join with states in judicial proceedings involving the interpretation of laws and rules.	16	52	12	20	0
• Provide states with tangible goods (tree seedlings), products or equipment.	12	48	32	8	0
• Co-own equipment, facilities and property with states.	0	24	68	8	0
• Give direction and mandates to which states must respond.	0	24	48	28	0

Note: Information reflects views of 25 senior-level administrative executives.

Rationale for Selection of Federal-State Linkages

As for standards that should be used to determine the appropriateness of a state-federal administrative arrangement, federal agency executives looked favorably (single most important arrangement) on: proposed arrangement is the only way of accomplishing desired outcomes (36 percent of respondents), long-term federal commitment exists for the arrangement (28 percent), and few (if any) federal agency restrictions will be imposed by the administrative arrangement (16 percent) (Table 23). Although not commonly specified as the single most important criteria, some decision criteria received high marks as very or somewhat important, namely strong support among national stakeholders exists for the arrangement (88 percent of respondents), a federal law or rule requires use of the arrangement (84 percent), and the arrangement is easy to understand and administer (84 percent). Very few decision rules were considered to be of no

importance to selection of an administrative arrangement, although 10 of the 25 agency executives (40 percent) indicated that the existence of a large and competent staff should have little bearing on the selection outcome.

Table 23. Importance of Factors Determining Administrative and Program Arrangements Used by Federal Agencies Working with States to Accomplish a Federal Role Involving Nonfederal Forests, as Perceived by Executives of State and Private Forestry USDA-Forest Service. 2001.

Factor Determining Formal Federal Administrative Arrangement with States	Importance of Factor (percent of respondents)				Single Most Important Factor (percent)
	Very Important	Somewhat Important	Little Importance	Not Important	
• Desired outcomes can only be accomplished by this type of working relationship (most effective).	60	0	40	0	36
• Long-term federal commitment exists to the working relationship (especially among agency leadership).	52	40	8	0	28
• Few (or none) federal agency restrictions imposed by the working relationship (room for discretion, not overly prescriptive, accommodates local conditions).	60	40	0	0	16
• Support among national stakeholders is strong for use of the working relationship.	56	32	12	0	8
• Federal law or rule clearly requires use of the working relationship.	52	32	16	0	4
• Federal employee interest and support is high for use of the working relationship.	44	32	20	4	4
• Federal financial resources are abundant and available to implement the working relationship.	20	56	24	0	4
• Easy to understand and administer the working relationship.	68	16	16	0	0
• Large and competent federal staff is available for implementing the working relationship.	16	44	40	0	0
• National political centers of power and alliances direct use of the working relationship.	16	44	36	4	0
• Few (or none) federal agency reporting requirements expected by the working relationship.	8	56	28	8	0

Note: Information reflects views of 25 senior-level administrative executives.

Federal agency executives specified preferences for state-federal administrative arrangement and for the criteria they used to make such selections (Appendix Table 25). For the three single-most important arrangements identified by agency executives (provide financial assistance, lend agency personnel, and lend equipment and materials), their selection of these arrangements was based most frequently on the fact that the desired federal role could only be accomplished by the arrangement being considered (50 percent of responding executives) and on

the existence of a long-term federal commitment or implement the arrangement (22 percent of respondents). Included in this analysis were only those federal agency executives (14 of 25) that specified one or more of the decision criteria as single most important.

Table 24. Importance of Financial-Monetary, Educational-Technical Assistance and Regulatory-Command Programs as Federal Agency Approaches to Accomplishing USDA-Forest Service Action Strategy Plan Outcomes for Nonfederal Forests, as Perceived by Executives of State and Private Forestry USDA-Forest Service. 2001.

A. Financial-Monetary Programs Used to Accomplish the Following Outcomes	Importance of Programs to Accomplish Outcomes (percent of respondents)			
	Very Important	Somewhat Important	Little Importance	No Importance
• Communities with Quality Life-Style Conditions	44	56	0	0
• Forested Watersheds Restored and Protected	64	36	0	0
• Forests Sustainably Managed	48	44	8	0
• Forests Protected and Healthy	64	28	8	0
• Citizens Understand Forest Uses and Conditions	40	48	12	0
• Urban Forest Conditions of High Quality	48	52	0	0
<i>Average</i>	51	44	5	0
B. Educational-Technical Assistance Programs Used to Accomplish the Following Outcomes	Importance of Programs to Accomplish Outcomes (percent of respondents)			
	Very Important	Somewhat Important	Little Importance	No Importance
• Communities with Quality Life-Style Conditions	56	44	0	0
• Forested Watersheds Restored and Protected	68	32	0	0
• Forests Sustainably Managed	76	24	0	0
• Forests Protected and Healthy	68	32	0	0
• Citizens Understand Forest Uses and Conditions	60	36	4	0
• Urban Forest Conditions of High Quality	60	40	0	0
<i>Average</i>	64	35	1	0
C. Regulatory-Command Programs Used to Accomplish the Following Desired Outcomes	Importance of Programs to Accomplish Outcomes (percent of respondents)			
	Very Important	Somewhat Important	Little Importance	No Importance
• Communities with Quality Life-Style Conditions	0	16	36	48
• Forested Watersheds Restored and Protected	0	48	28	24
• Forests Sustainably Managed	4	20	44	32
• Forests Protected and Healthy	4	28	40	28
• Citizens Understand Forest Uses and Conditions	0	12	28	60
• Urban Forest Conditions of High Quality	0	20	40	40
<i>Average</i>	21	24	36	39

Note: Information reflects views of 25 senior-level administrative executives.

Action Strategy Plan Program Linkages

Federal agency executives expressed general favor with financial-monetary programs and educational-technical assistance programs as ways of linking state and federal governments in the pursuit of goals embodied in the Action Strategy Plan (Table 24). They were less enamored with regulatory and command program approaches to accomplishing the same outcomes. On average, 51 percent of respondents considered financial and monetary initiatives very important to accomplishing the Action Strategy Plan's six outcome categories; in no case were such program initiatives viewed as of no importance. As for educational and technical programs, the portion of very important responses was even higher (average of 65 percent of responses); only one executive considered such programs to be of little importance (none specified them to be of any importance). An average of 75 percent of the responding executives indicated regulatory command programs were of little or no importance to accomplishing the Action Strategy Plan's desired outcomes. From a reverse perspective, 25 percent did consider such programs very or somewhat important. Nearly half (48 percent) viewed regulation as somewhat important to restoring and protecting watersheds.

Summary of Conditions

As with information regarding federal roles, there also exists a number of common threads throughout the above information focused on state-federal program and administrative linkages (Table 15). Considered from the combined perspectives of state foresters and executives within the State and Private Forestry Unit of the USDA-Forest Service, the prevailing and dominate view is that the most important formal administrative linkage between federal and state governments is one in which the former provides direct financial support to the latter. All other possible arrangements are far behind in preference (nearest is federal agency lending of personnel and equipment to states). As for why certain administrative arrangements are preferred, favoritism is directed to arrangements in which a federal agency imposes few if any restrictions, where the arrangement is clearly the most effective way (or only way) of linking state-federal interests, and where there exists a long-term federal commitment to the arrangement (especially by leadership within the agency).

State forester perception of appropriate state-federal linkages closely follows preference patterns in the aggregate (again, recall that the aggregate is two-thirds state foresters). Overwhelming preference is given to federal financial support to states as a way of promoting federal roles. All other arrangements are far behind (nearest involve federal lending of personnel and equipment to states). Factors dominating state forester selection of linking arrangements are nearly the same as for the aggregate—few federal restrictions and a long-term federal commitment. Additional factors receiving frequent mention are abundant federal financing necessary to implement the arrangement and the existence of a federal law or rule that dictates the use of a specific arrangement.

Agency executive perception of appropriate ways of formally linking state and federal governments in pursuit of a federal role is also dominated by federal provision of direct financial

support to states. Following at a distant second in preference is federal agency formal representation on state committees and task forces that are responsible for nonfederal forests. What should guide selection of an appropriate state-federal administrative arrangement? Three factors dominate preferences, namely, the arrangement is the most effective way (or only way) of accomplishing a desired federal role, long-term federal commitment exists to the arrangement, and the arrangement allows for ample administrative discretion (imposition of few federal agency limitations).

Clearly limited is preference for some arrangements that would link federal and state governments in their quest to further the federal role in nonfederal forests. For example, not very popular is state-federal co-management of forest land, equipment and facilities, nor is any linkage wherein a federal agency gives direction or mandates to which a state must respond. Low priority was also assigned the establishment of federal agency program offices to which states could establish matching counterpart offices. As for rules not considered popular for deciding the appropriateness a state-federal arrangement, least mentioned were those involving federal agency staffing (size and competency) and the dictates of national centers of political power. Such does not mean that these factors are considered unimportant; they are simply viewed as much less important relative to other decision rules.

Effectiveness of Roles and Administrative Linkages

Perception of Effectiveness in General

State foresters and federal agency executives in the State and Private Forestry Unit of the USDA-Forest Service were queried to determine whether current state-federal working relationships focused on nonfederal forests were effective (accomplishing desired outcomes). An overwhelming 97 percent of respondents indicated their working relationships with state or federal counterparts were occurring very well (35 percent) or moderately well (62 percent) (Table 25). Eighty percent of respondents indicated that current federal roles were promoting a cooperative working relationship generally between the two levels of government, in that agencies are becoming more collaborative and more willing to work together. Only 12 percent of the respondents indicated that the agency's exercising of federal roles was having a neutral (or no) affect on state-federal relations. An even smaller portion suggested there was a greater state-federal detachment ("go it alone") or greater state-federal competition and rivalry ("vying for turf") between the two levels of government, namely 4 percent each, respectively.

Federal roles and related program linkages with state agencies can affect the development of new or modification of existing state policies and programs. State foresters and federal agency executives were asked whether federal roles and existing linkage mechanisms had an effect on state initiatives (new or modified policies and programs), namely were they stimulating new state policies and programs, adding to (complementing) existing state policies and programs, substituting for existing state policies and programs, or having no effect on existing state policies and programs. Four of six responding state foresters and federal agency executives (61 percent) suggested that current roles and linkages added to (or complemented) existing state policies and

programs; 21 percent were of the opinion they stimulated the development and adaption of new state polices and programs (Table 25).

Table 25. General Condition of State-Federal Roles and Administrative Relationships Involving Nonfederal Forests, as Perceived by State Foresters and Executives of State and Private Forestry USDA-Forest Service. 2001.

<p>• Affect of Current Federal Roles and Working Relationships <u>on Overall Working Relationships Between Federal and State Governments on Matters Involving Nonfederal Forests</u> (percent of respondents)</p> <p>4 ---- Isolation (federal and state agencies are becoming detached; “go it alone”) 4 ---- Competitive (federal and state agencies are becoming rivals; “vie for turf and influence”) 80 ---- Cooperative (federal agencies are becoming more collaborative; “work together”) 12 ---- Neutral (no federal affect on fundamental federal-state relations)</p>
<p>• Affect of Current Federal Roles and Working Relationships <u>on State Initiatives</u> (new or modified policies and programs) <u>Involving Nonfederal Forests</u> (percent of respondents)</p> <p>21 ---- Stimulating new state policies and programs 61 ---- Adding to (complementing) existing state policies and programs 5 ---- Substituting for existing state policies and programs 8 ---- No affect on existing state policies and programs</p>
<p>• Affect of Current Federal Roles and Working Relationships <u>on State Agendas and Decision-making</u> <u>Involving Nonfederal Forests</u> (percent of respondents)</p> <p>34 ---- State government is giving more (or less) attention to nonfederal forests 7 ---- Changes in who in state government makes decisions affecting nonfederal forests 27 ---- Shifts in groups or organizations influencing state decisions affecting nonfederal forests 32 ---- No change occurring in agendas, decision making or group influence</p>
<p>• Perception of How State Forestry Agency Is Working with Counterpart Units in Federal or State Agencies <u>Involving Nonfederal Forests</u> (percent of respondents)</p> <p>35 ---- Very well 62 ---- Moderately well 3 ---- Poorly 0 ---- Not well at all</p>

Note: Information provided by 49 state foresters and 25 federal agency executives.

As for how federal roles and linkage mechanisms were influencing state forestry agendas and decision making, state foresters and federal agency executives were challenged to select one of the following: more (or possible less) attention is being given to nonfederal forests, changes are occurring in whom in state government makes decisions affecting nonfederal forests, shifts are occurring in which groups or organizations have influence over state government decisions affecting nonfederal forests, or no change is occurring in agendas, decision making or group influence. Thirty-four percent of the respondents indicated more state government attention was

being directed to nonfederal forests, while nearly the same portion (32 percent) indicated no changes were occurring in state agendas, decision making or in the composition of groups that influence state programs focused on nonfederal forests (Table 25). Twenty-seven percent suggested a shift had occurred in the nature of groups or organizations that influence state forestry decisions. Only a very modest portion of respondents (7 percent) indicated current federal roles and linkages had led to a change in who in state government makes decisions concerning nonfederal forests.

Accomplishment of Desired Outcomes

The effectiveness of formal working relationships between federal and state agencies can best be assessed in the context of how well a relationship accomplishes a desired outcome. For purposes of focusing analysis, five desired (important) outcomes of combined state-federal actions were posed to state foresters and agency executives, namely: adequate and stable funding of programs, innovation in types and application of programs, engagement of client groups in program design and execution, capture of new and important programmatic opportunities, and managing conflicting views involving program design and implementation (Table 26).

Table 26. Effectiveness of Current State-Federal Administrative and Program Arrangements for Accomplishing Desired Outcomes Involving Nonfederal Forests, as Perceived by State Foresters and Executives of State and Private Forestry USDA-Forest Service. 2001.

Desired Outcome or Result of Federal-State Working Relationship	Effectiveness Federal-State Relationship in Accomplishing Desired Outcome (percent of respondents)			
	Very Effective	Somewhat Effective	Little Effectiveness	Not Effective
• Acquiring adequate resources and ensuring their stability (funds, staff)	19	69	11	1
• Encouraging innovation in type and application of programs	14	51	32	3
• Engaging client groups and encouraging citizen participation in program design and implementation	11	47	38	4
• Facilitating quick action necessary to capture new and important opportunities	11	42	40	7
• Managing conflict and reducing tension in program design and implementation	7	46	39	8

Note: Note: Information provided by 49 state foresters and 25 federal agency executives. Other federal agency roles suggested: reaching-influencing owners of nonindustrial private forests and engaging multiple agencies in achieving desired outcomes.

State foresters and agency executives were modestly affirmative in their view that current state-federal linkages (connections) were effective. They indicated that current connections were on average very or at least somewhat effective in accomplishing the five aforementioned outcomes (average of 63 percent), while an average of 37 percent suggested that current linkages have little or no effect on the achievement of any one outcome (Table 26). In terms of state-

federal working relationships being able to acquire adequate and stable supply of resources (funds, staff) necessary to carry out programs, only 14 of 74 respondents (19 percent) indicated current connections were very effective, although 69 percent considered them somewhat effective. One third or more of the respondents indicated current linkages have little effect in achieving each of the following outcomes: quickly capturing new opportunities (40 percent of respondents), managing conflict (39 percent), engaging client groups in program development (38 percent), and encouraging innovative programs (32 percent). Fewer than four respondents suggested that for any one-desired outcome the current state-federal administrative linkages were not effective.

Table 27. Importance of Factors Deterring Effective State-Federal Administrative and Program Arrangements Involving Nonfederal Forests, as Perceived by State Foresters and Executives of State and Private Forestry USDA-Forest Service. 2001.

Major Factor Deterring Effective Federal-State Working Relationships	Importance of Major Deterring Factor (percent of respondents)			
	Very Important	Somewhat Important	Little Importance	Not Important
• Inadequate resources (funding, staff) to accomplish desired outcomes	54	37	9	0
• Complex and cumbersome procedures involving program administration (approvals, hiring, reporting)	41	38	20	1
• Absence of an overall shared federal-state vision for nonfederal forests	26	40	31	3
• Lack of trust and confidence between federal and state agencies	22	43	27	8
• Lack of clearly defined federal and state roles involving nonfederal forests	18	40	35	7
• Unhealthy competition between federal and state programs (conflict over program turf)	18	32	35	15
• Excessive state agency reliance on federal assistance (state reluctance to lead and to invest)	15	41	36	8
• Apathy toward innovation in program design and implementation (traditional conservative style of administration)	13	38	42	7

Note: Note: Information provided by 49 state foresters and 25 federal agency executives. Other major deterring factors suggested: limited federal employee understanding of importance of nonfederal forests, and delays in appropriation decisions by Congress.

Impediments to Desired Outcomes

A variety of conditions can deter or impede the ability of state-federal working relationships to accomplish desired goals involving nonfederal forests. For example, unclear program goals and objectives, inadequate resources necessary to fund a joint state-federal activity, conflict over which level of government should be in charge, and complex administrative procedures that stifle innovation and prompt action. When confronted with impeding conditions (eight potential items) of this nature, all were considered very or somewhat

important by at least half the responding state foresters and federal agency executives (Table 27). Ninety-one percent indicated inadequate resources were very (54 percent) or somewhat important (37 percent). Complex and cumbersome administrative steps and the absence of a shared state-federal vision for nonfederal forests also ranked high as very important deterrents (41 percent and 26 percent, respectively).

The only deterrent specified by at least half of the respondents as of little or no importance was unhealthy state-federal competition over who should be responsible for and who should receive credit for program successes (or failures). Other conditions considered of little or no importance (but by less than half of respondents) was apathy toward program innovation, state reluctance to lead and invest in programs, and lack of clearly defined state and federal roles involving nonfederal forests.

State Forester Perception

Analyzed separately, state foresters were quite favorable in their opinion that state forestry agencies were working well with counterpart units in the federal government. Thirty-seven percent indicated relationships to be working very well, while 59 percent indicated the working relationships were operating moderately well (Table 28). They were also of the opinion that joint state-federal activities were being carried out in a spirit of cooperation (74 percent indicating such a condition); only 14 percent indicated the existing relationships were neutral (current federal roles were having no effect on joint state-federal activities). Movement toward greater isolation or competition between the state and federal units of government was perceived as a problem by very few state foresters (only six).

State foresters were frequent in their response (63 percent) that current federal roles and linkages added to (or complemented) existing state policies and programs; 16 percent were of the opinion they promoted the development and adoption of new state policies and programs (Table 28). Only six state foresters suggested that current federal roles and related linkages were having no effect on state forestry matters involving nonfederal forests. As for how such roles and linkages were influencing state agendas and decision making involving nonfederal forests, four of ten (43 percent) responding state foresters indicated the status quo, namely, no change in state agendas, decision making or group influence because of a federal presence. However, slightly more than one-fourth each suggested that federal involvement was changing the level of state attention (more or less) to nonfederal forests (27 percent) and that shifts were occurring in the types of organizations (public or private) influencing state decisions involving nonfederal forests.

State foresters differed regionally in their views regarding the general condition of roles and administrative relationships involving federal programs (Table 28)(Appendix Tables 26, 27, 28). Over half the state foresters in the South (54 percent) indicated their working relationships with federal counterparts were occurring very well. Such is contrasted with the North—42 percent and the West—18 percent. However, a similar portion of respondents from each region (68 percent to 77 percent, depending on the region) indicated that state-federal working relationships were increasingly collaborative and that the two levels of government were more

Table 28. General Condition of State-Federal Roles and Administrative Relationships Involving Nonfederal Forests, as Perceived by State Foresters, by Region. 2001.

Characteristic	Region (percent)			Total (percent)
	North	South	West	
• How well state forestry agency is working with counterpart units in federal government on matter involving nonfederal forests				
Very well	42	54	18	37
Moderately well	58	38	76	59
Poorly	0	8	6	4
Not well at all	0	0	0	0
Total	100	100	100	100
• Affect of current federal roles on overall working relationships between federal and state governments on matters involving nonfederal forests . . .				
Cooperative (work together)	68	77	76	6
Neutral (indifference)	22	15	6	6
Competitive (vie for turf and influence)	5	0	12	74
Isolation (go it alone)	5	8	6	14
Total	100	100	100	100
• Affect of current federal roles on state initiatives (new or modified programs) involving nonfederal forests				
Stimulate new state programs	27	15	6	16
Add to existing state programs	68	62	58	63
No affect on state programs	5	15	18	9
Substitute for state programs	0	8	18	12
Total	100	100	100	100
• Affect of current federal roles on state agendas and decision-making involving nonfederal forests				
More (or less) attention by state	16	46	24	27
No change in attention by state	47	23	53	4
Shift in groups determining attention by state	26	31	23	26
Change in agencies determining attention by state	11	23	0	43
Total	100	100	100	100

apt to work together. As for the affect of federal involvement on state initiatives (new or modified programs), state foresters in the West were most likely to indicate that such involvement simply substituted for existing state programs (18 percent of respondents) or had no affect on state policies and programs. However, a like portion of respondents in all regions (58 percent to 60 percent) indicated federal involvement complemented or added to state initiatives. Nearly half the state foresters in the West (53 percent) and the South (47 percent) indicated that federal involvement was having no impact on agendas, decision making or organizationally who was involved in matters concerning nonfederal forests. Nearly half (46 percent) the state foresters from the South indicated state government was giving more attention to nonfederal forests because of state-federal cooperation.

Accomplishment of Desired Outcomes

State foresters were modest in the frequency with which they indicated existing state-federal linkages accomplished various desired outcomes. An average of only 9 percent indicated current linkages were very effective in achieving a specified outcome, although four of ten indicated the linkages to be somewhat effective (Table 29). Combined, 86 percent viewed existing state-federal arrangements as very or somewhat effective in acquiring adequate and stable supplies of resources (funds, staff). A sizeable portion of the state foresters pointed out that state-federal connections were either of little or no effect on matters involving the management of conflict arising from efforts to design and implement programs (61 percent of respondents) and on the ability for quick action needed to contend with new and important opportunities involving nonfederal forests (57 percent).

Table 29. Effectiveness of Current State-Federal Administrative and Program Arrangements for Accomplishing Desired Outcomes Involving Nonfederal Forests, as Perceived by State Foresters. 2001.

Desired Outcome or Result of Federal-State Working Relationship	Effectiveness Federal-State Relationship in Accomplishing Desired Outcome (percent of respondents)			
	Very Effective	Somewhat Effective	Little Effectiveness	Not Effective
• Acquiring adequate resources and ensuring their stability (funds, staff).	18	68	12	2
• Encouraging innovation in type and application of programs.	10	45	41	4
• Engaging client groups and encouraging citizen participation in program design and implementation.	6	37	53	4
• Facilitating quick action necessary to capture new and important opportunities.	8	35	47	10
• Managing conflict and reducing tension in program design and implementation.	2	37	49	12

Note: Information provided by 49 states. Other suggested desired outcomes or results include federal guidance on state issues.

Regional differences in perceptions of effectiveness were modest among state foresters (Appendix Tables 29, 30, 31). Those in the West were more inclined to indicate that state-federal linkages were of limited use in managing citizen and client conflict involving program design and implementation. Twenty-four percent were of such an opinion, contrasted with 5 percent in the North and 8 percent in the South. In the North, only 42 percent of the state foresters indicted state-federal program linkages were somewhat effective in engaging clients and citizens—none in the region suggested them to be very effective for such purposes. Compared to other regions, a larger portion of state foresters in the South indicated state-federal linkages were leading to innovation in program types and application. Sixty-three percent reported they were somewhat or very effective in this respect (only half or less in other regions). In considering the effectiveness of state-federal linkages to accomplish in general the five specified outcomes, average state forester responses by region was as follows:

- *North*: 56 percent somewhat or very effective, and 44 percent little effectiveness or no effect.
- *South*: 48 percent somewhat or very effective, and 52 percent little effectiveness or no effect.
- *West*: 54 percent somewhat or very effective, and 46 percent little effectiveness or no effect.

Impediments to Desired Outcomes

The state forester's three most often mentioned very or somewhat important factors detracting from state-federal ability to partner in the implementation of programs focused on nonfederal forests were inadequate resources (funds and staff) (90 percent of respondents), occurrence of complex and cumbersome administrative processors (82 percent), and absence of an overall shared state-federal vision for nonfederal forests (61 percent) (Table 30). Inadequate resources and complex administrative processes were never specified as factors of no importance to state-federal partnering on matters involving nonfederal forests.

Most often mentioned as of little or no importance as a deterrent to accomplishment of a desired outcome was apathy toward program innovation, unhealthy competition between state and federal governments, lack of clearly defined state and federal roles involving nonfederal forests, and excessive state reliance on federal assistance. Although these factors lead in the frequency with which they were identified as of little or no importance as a deterrent, they were (conversely) considered very or somewhat important by a sizeable portion of the respondents (Table 30). For example:

- Apathy in program design and conservative administration is of little or no importance to 57 percent of respondents—conversely, 43 percent indicated such to be very or somewhat important.
- Unhealthy state-federal conflict over program responsibilities is of little or no importance to 49 percent of respondents—conversely, 51 percent indicated such to be very or somewhat important.
- Lack of clearly defined federal and state roles involving nonfederal forests is of little or no importance to 47 percent of respondents—conversely, 53 percent indicated such to be very or somewhat important.
- Excessive state reliance on federal assistance is of little or no importance to 46 percent of respondents—conversely, 5 percent indicated such to be very or somewhat important.

The relationship between accomplishment of a desired outcome and the reason why such was not accomplished was assessed. As previously indicated, state foresters specified whether current state-federal linkages had little or no effect on accomplishment of various desired outcomes and also stipulated factors that detract from ability to accomplish these desired outcomes. Comparisons were made of state foresters indicating that current linkages were having little or no effect on a desired outcome with the factors they considered to be very or

Table 30. Importance of Factors Deterring Effective State-Federal Administrative and Program Arrangements Involving Nonfederal Forests, as Perceived by State Foresters. 2001.

Major Factor Deterring Effective Federal-State Working Relationships	Importance of Major Deterring Factor (percent of respondents)			
	Very Important	Somewhat Important	Little Importance	Not Important
• Inadequate resources (funding, staff) to accomplish desired outcomes.	51	39	10	0
• Complex and cumbersome procedures involving program administration (approvals, hiring, reporting).	39	43	18	0
• Absence of an overall shared federal-state vision for nonfederal forests.	24	37	35	4
• Unhealthy competition between federal and state programs (conflict over program turf).	20	31	33	16
• Lack of clearly defined federal and state roles involving nonfederal forests.	18	35	37	10
• Excessive state agency reliance on federal assistance (state reluctance to lead and to invest).	16	41	35	8
• Apathy toward innovation in program design and implementation (traditional conservative style of administration).	14	29	47	10
• Lack of trust and confidence between federal and state agencies.	12	45	33	10

Note: Information provided by 49 states. Other major deterring factors suggested include state-federal program inconsistency.

somewhat important deterrents to the effective implementation of state-federal linkages (Appendix Table 32). When desired outcomes are viewed as not being accomplished, state foresters appear to suggest that complex administrative procedures and inadequate staffing and financial resources are the most common deterrents. Of the state foresters that indicated current linkages had little or no effect on desired outcomes, 90 percent specified the former as very or somewhat important; 80 percent specified the latter.

Regional differences in deterrents to effective state-federal working relationships were common (Appendix Tables 33, 34, 35). Leading as a very important obstacle to nearly half (47 percent) the state foresters in the West was absence of an overall shared state-federal vision for nonfederal forests. In the North and South only 10 percent and 15 percent, respectively, of respondents indicated the lack of shared vision was very important. Inadequate resources (funding and staffing) led as the most common very important obstacle in the South (69 percent of respondents) and North (47 percent).

Federal Executive Perception

Executives in the USDA-Forest Service’s State and Private Forestry Unit were also queried as to their perception of how state forestry agencies are working with their counterpart units in the federal government. Approximately one-third (32 percent) indicated the working

relationships are operating very well; the remaining two-thirds (68 percent) reported a relationship that operates moderately well (Table 31). Nearly all respondents (92 percent) were of the opinion that current federal roles and working relationships involving state and federal agencies were being cooperatively carried out and that federal agencies were increasingly collaborative in their approach to promoting state activities focused on nonfederal forests. Only two responding executives (8 percent) indicated the relationship to be neutral (no federal effect on fundamental state-federal relations).

Table 31. General Condition of State-Federal Roles and Administrative Relationships Involving Nonfederal Forests, as Perceived by Executives of State and Private Forestry USDA-Forest Service, 2001.

<p>• Affect of Current Federal Roles and Working Relationships on Overall Working Relationships Between Federal and State Governments on Matters Involving Nonfederal Forests (percent of respondents) . . .</p> <p>0 ---- Isolation (federal and state agencies are becoming detached; “go it alone”) 0 ---- Competitive (federal and state agencies are becoming rivals; “vie for turf and influence”) 92 ---- Cooperative (federal agencies are becoming more collaborative; “work together”) 8 ---- Neutral (no federal affect on fundamental federal-state relations)</p>
<p>• Affect of Current Federal Roles and Working Relationships on State Initiatives (new or modified policies and programs) Involving Nonfederal Forests (percent of respondents) . . .</p> <p>56 ---- Stimulating new state policies and programs 44 ---- Adding to (complementing) existing state policies and programs 0 ---- Substituting for existing state policies and programs 0 ---- No affect on existing state policies and programs</p>
<p>• Affect of Current Federal Roles and Working Relationships on State Agendas and Decision-making Involving Nonfederal Forests (percent of respondents) . . .</p> <p>48 ---- State government is giving more (or less) attention to nonfederal forests 12 ---- Changes in who in state government makes decisions affecting nonfederal forests 28 ---- Shifts in groups or organizations influencing state decisions affecting nonfederal forests 12 ---- No change occurring in agendas, decision making or group influence</p>
<p>• Perception of How State Forestry Agency Is Working with Counterpart Units in Federal or State Agencies Involving Nonfederal Forests (percent of respondents) . . .</p> <p>32 ---- Very well 68 ---- Moderately well 0 ---- Poorly 0 ---- Not well at all</p>

Note: Information reflects views of 25 senior-level administrative executives.

Federal agency executives responded quite positively (56 percent) that federal roles and related linkages were stimulating development of new state programs involving nonfederal forests and that the implementation of federal roles was complementing or leading to additional

state policies and programs (44 percent) (Table 31). As for the effect of federal involvement on state agendas and decision making affecting nonfederal forests, nearly half (48 percent) indicated such was resulting in state government giving more attention to nonfederal forests; 28 percent thought shifts had occurred in the type of groups that influence state government decisions regarding such forests. Only three of 25 responding executives indicated federal involvement was not changing state agendas, decision making or the nature of group influence.

Accomplishment of Desired Outcomes

Federal agency executives were especially positive about current state-federal linkages and their ability to accomplish desired outcomes (Table 32). On average, more than eight of ten respondents (average of 83 percent) were of the opinion that the connections between state and federal agencies were very or somewhat effective in accomplishing previously specified desired outcomes. Ninety-two percent of responding executives indicated that current linkages were very or somewhat effective as means of securing adequate and stable funding required in order to carry-out programs needed to accomplish various federal roles. Although viewed generally as very or somewhat effective, the ability to address new opportunities and to manage conflict involving program design and implementation, dominated as outcomes on which current linkages were viewed as having little effect (28 percent and 20 percent of respondents, respectively).

Table 32. Effectiveness of Current State-Federal Administrative and Program Arrangements for Accomplishing Desired Outcomes Involving Nonfederal Forests, as Perceived Executives of State and Private Forestry USDA-Forest Service, 2001.

Desired Outcome or Result of Federal-State Working Relationship	Effectiveness Federal-State Relationship in Accomplishing Desired Outcome (percent of respondents)			
	Very Effective	Somewhat Effective	Little Effectiveness	Not Effective
• Acquiring adequate resources and ensuring their stability (funds, staff)	20	72	8	0
• Engaging client groups and encouraging citizen participation in program design and implementation	20	68	8	4
• Encouraging innovation in type and application of programs	20	64	16	0
• Facilitating quick action necessary to capture new and important opportunities	16	56	28	0
• Managing conflict and reducing tension in program design and implementation	16	64	20	0

Note: Information reflects views of 25 senior-level administrative executives. Other federal agency roles suggested include reaching-influencing owners of nonindustrial private forests and engaging multiple agencies in achieving desired outcomes.

Impediments to Desired Outcomes

Among factors considered to be very or somewhat important as deterrents to the effectiveness of state-federal working relations, federal agency executives identified the following: inadequate resources to accomplish desired outcomes (92 percent), lack of trust and confidence between state and federal agencies (80 percent), and absence of an overall shared state-federal vision for nonfederal forests (76 percent) (Table 33). Although some factors led in the frequency with which they were identified as of little or no importance, they were (conversely) considered very or somewhat important by a sizeable portion of the respondents. For example:

- Unhealthy state-federal conflict over program responsibilities is of little or no importance to 52 percent of respondents—conversely, 48 percent indicated such to be very or somewhat important.
- Excessive state reliance on federal assistance is of little or no importance to 48 percent of respondents—conversely, 52 percent indicated such to be very or somewhat important.

Table 33. Importance of Factors Deterring Effective State-Federal Administrative and Program Arrangements Involving Nonfederal Forests, as Perceived by Executives of State and Private Forestry USDA-Forest Service, 2001

Major Factor Deterring Effective Federal-State Working Relationships	Importance of Major Deterring Factor (percent of respondents)			
	Very Important	Somewhat Important	Little Importance	Not Important
• Inadequate resources (funding, staff) to accomplish desired outcomes	60	32	8	0
• Complex and cumbersome procedures involving program administration (approvals, hiring, reporting)	44	28	24	4
• Lack of trust and confidence between federal and state agencies	40	40	16	4
• Absence of an overall shared federal-state vision for nonfederal forests	28	48	24	0
• Lack of clearly defined federal and state roles involving nonfederal forests	16	52	32	0
• Unhealthy competition between federal and state programs (conflict over program turf)	12	36	40	12
• Excessive state agency reliance on federal assistance (state reluctance to lead and to invest)	12	40	40	8
• Apathy toward innovation in program design and implementation (traditional conservative style of administration)	12	56	32	0

Note: Information reflects views of 25 senior-level administrative executives. Other major deterring factors suggested include delays in appropriation decisions by Congress, and limited federal employee understanding of importance of nonfederal forests.

- Unhealthy state-federal conflict over program responsibilities is of little or no importance to 52 percent of respondents—conversely, 48 percent indicated such to be very or somewhat important.
- Excessive state reliance on federal assistance is of little or no importance to 48 percent of respondents—conversely, 52 percent indicated such to be very or somewhat important.
- Apathy in program design and conservative administration is of little or no importance to 32 percent of respondents—conversely, 68 percent indicated such to be very or somewhat important.
- Lack of clearly defined federal and state roles involving nonfederal forests is of little or no importance to 32 percent of respondents—conversely, 68 percent indicated such to be very or somewhat important.

The relationship between accomplishment of a desired outcome and the reason why such was not accomplished was also assessed for responding federal agency executives. Comparisons were made of those executives indicating that current linkages were having little or no effect on a desired outcome with factors they considered to be very or somewhat important deterrents to the effective implementation of state-federal linkages (Appendix Table 36). When desired outcomes are viewed as not being accomplished, agency executives appear to suggest that inadequate staffing and financial resources and complex and cumbersome procedures involving program administration are the most common deterrents. Of the executives that indicated current linkages had little or no effect on desired outcomes, 34 percent specified the former as very or somewhat important; 19 percent specified the latter.

Summary of Conditions

As with information about roles and linkages, there can be drawn from the above information a number of general observations (Table 15). Considering the combined responses of state foresters and federal agency executives, an overwhelming majority indicated that state-federal working relationships are working very or moderately well and that current federal roles and linkages are promoting cooperation between state and federal governments on matters involving nonfederal forests. Federal involvement is viewed as stimulating state adoption of new programs and is adding important elements to existing state policies and programs.

A nearly equal portion of the combined respondents are of the opinion that federal involvement has led to more state attention to nonfederal forests versus the opinion that little has changed in state agendas, decision making and group influence on state matters involving nonfederal forests. When posed with a specific set of desired outcomes (for example, establishing adequate funding, encouraging innovation, engaging client groups), the responses were modestly affirmative that such were being accomplished, although very few on average suggested they were being accomplished in a very effective manner. The major deterrents to their accomplishment involved inadequate resources, cumbersome administrative procedures, and lack of a shared state-federal vision for nonfederal forests.

State foresters generally followed perception patterns in the aggregate (again, recall that the aggregate is two-thirds state foresters). Working relationships with federal agency counterparts were viewed as proceeding moderate to very well and the relationships were occurring in a cooperative fashion. However, state foresters tended toward the view of no change in state agendas, decision making, and group influence as a result of federal role focused on nonfederal forests. As for accomplishing a specific set of desired outcomes, a plurality suggested current working relationships were effective (very or somewhat) although very few state foresters thought the existing linkages should be considered very effective. As with responses in the aggregate, the leading obstructions were inadequate resources, cumbersome administrative procedures and absence of a shared state-federal vision for nonfederal forests.

Agency executive perceptions of state-federal working relationships in general were also very positive. In relation to state forester responses, they tended to be slightly more positive in their views of working relationships generally; a larger portion suggested the relationships were cooperative. Considerably more executives viewed federal roles and linkages to be stimulating the development of new state policies and programs; far fewer concluded federal roles to be having no effect (change) on state agendas and decision making regarding nonfederal forests. Half thought states were giving more attention to nonfederal forests (versus one-fourth of state foresters). As for perceptions of current state-federal linkages, agency executives were more positive than state foresters regarding linkage effectiveness. The intensity (on average) was nearly double for views assigning linkages to the very effective category. Again, major deterrents to effectiveness were funding and administrative procedures, with concern over lack of trust between state and federal agencies creeping to a higher level of importance than for the aggregate or for state foresters.

SUMMARY AND OBSERVATIONS

Summary

The appropriate jurisdiction of various levels of government has historically been a fundamental issue in American politics. In many respects, nonfederal forests and the correctness of governments to be charged with their stewardship has been an integral part of broader attempts to define the responsibilities of the nation's many levels of government. The context for such concerns has been varying perspectives on how to exercise federalism as a political system. Subsequent to the establishment of various national systems (for example, the National Forest System), federal interest in nonfederal forests focused on protecting them from fire, overcutting, and the application of inappropriate forestry practices. Since then, the federal role has evolved to concern over broader environmental conditions involving nonfederal forests in general. Although the subject is of continuing and often intense concern, there has yet to crystallize a comprehensive and widely agreed to view of exactly what constitutes appropriate federal roles in the use, management and protection of nonfederal forests.

• **Federalism Offers Many Approaches.** Federalism as a political system can embrace a variety of ways to formalize state-federal intergovernmental relationships, including an emphasis on federal control and mandated state responses (top-down), mutual state-federal dependence and sharing of program administration (donor-recipient), state initiated actions to which federal agencies respond with resources (jurisdiction-based), and joint action involving multiple levels of government and nongovernmental organizations (network-based). Judging the appropriateness of different approaches is often more an exercise in politics than in careful analysis.

• **Standards of Appropriate Roles are Diverse.** Benchmarks for judging potential federal roles (and accompanying programs) range from the all-inclusive to the pragmatically narrow and specific. Commonly suggested are that intergovernmental roles and actions should (for example) promote government capacity and foster stable partnerships, encourage autonomy and allow for flexibility, promote problem solving and be responsive to community needs, encourage experimentation and increase investment efficiencies, honor political cultures and traditions and promote trust and respect, and address regional externalities and foster a willingness to abandon inappropriate roles and ineffective programs. Mutual trust between governments is especially an important benchmark.

• **Laws, Directives and Plans Guide Adoption of Federal Role.** Federal law, agency directives and strategic plans are filled with statements describing federal roles in nonfederal forests and replete with assignment of desired programs for accomplishing such roles. In reality, however, deciphering in a comprehensive sense, the federal role in nonfederal forests remains difficult. The number of statements alluding to a federal role is sizeable, the scope of any one statement is typically very broad (promote environmental quality, conserve resources for future generations), the statements suggesting a federal role are often all-embracing (promote timber and wildlife and range and water and . . .), and federal roles and programmatic ways of accomplishing such roles are usually set forth as one in the same, with frequent emphasis on the “how” of accomplishing a federal role and less on defining the exact nature of the role to be accomplished.

• **Policies and Programs Carried Out are Expressions of Federal Roles.** Policies and programs implemented by federal agencies are expressions of the federal role in nonfederal forests. Of 187 federal programs assessed in 2002, nearly three quarters were implemented by the U.S. Department of Agriculture (46 percent) and the U.S. Environmental Protection Agency (26 percent). Most common were programs involving research and development, resource conservation, and education and information. As for the manner in which federal programs link with state governments, the approaches are quite diverse most common of which are project grants, direct payments and formula grants, and dissemination of technical information to state governments. Diversity in federal agency programs is challenged by equal if not greater organizational and program diversity at the state government level, namely nearly 1,500 state government agencies implementing programs that affect nonfederal forests. Such diversity acknowledges the diversity of resource, social and political conditions that exist within states. However, it also suggests an enormous administrative challenge to effectively match and

subsequently coordinate federal and state agencies seeking to further the appropriate use, management and protection of nonfederal forests.

• **Favored Federal Roles Involve Finances, Technical Advice and Coordination.** A 2001 nationwide survey of state foresters (49 state foresters responding) and federal agency executives (25 executives) in the State and Private Forestry unit of the USDA-Forest Service suggests (in the aggregate) that federal roles involving nonfederal forests should focus primarily on providing states with financial assistance, furnishing them with leading-edge technical advice, and promoting opportunities for coordination between states across a larger multi-state region. Only very limited support is expressed for federal involvement with the client groups of state programs (federal convening of clients of state implemented programs and federal attempts to facilitate resolution of conflict among such clients). Decisions to exercise federal participation should be determined by (a) directives or mandates contained in federal laws or rules, (b) reality that only via a federal presence can certain national or regional goals be accomplished, and (c) the existence of federal financial resources without which the federal role cannot be accomplished.

• **Favored Federal-State Linkage is Direct Provision of Financial Support.** Federal provision of direct financial support to state governments is viewed as the most important formal administrative linkage between federal and state governments. All other possible arrangements are far behind in preference, including federal agency lending of personnel and equipment to states, state-federal co-management of forest land, equipment and facilities, and federal agency program offices to which states could establish matching counterpart offices. Especially problematic is any linkage wherein a federal agency gives direction or mandates to which a state must respond. Favored state-federal linkages are those in which (a) federal agencies impose few if any restrictions, (b) arrangement is clearly the most effective way (or only way) of linking state-federal interests, and (c) where there exists a long-term federal commitment to the arrangement (especially by leadership within the agency). Least important decision rules are the existence of federal agency staffing (size and competency) and the dictates of national centers of political power (interest group influence).

• **State-Federal Working Relationships are Functioning Well.** State foresters and agency executives combined consider state-federal working relationships to be functioning very or moderately well and that current federal roles and linkages are promoting cooperation between state and federal governments on matters involving nonfederal forests. Federal involvement is viewed as stimulating state adoption of new programs and as adding important elements to existing state policies and programs. A nearly equal portion of the combined respondents were also of the opinion that federal involvement has led to more state attention to nonfederal forests. When posed with a specific set of desired outcomes (for example, establishing adequate funding, encouraging innovation, engaging client groups), the combined responses were modestly affirmative that such were being accomplished, although very few on average suggested they were being accomplished in a very effective manner. Major deterrents to the accomplishment of desired outcomes are inadequate resources, cumbersome administrative procedures, and lack of a shared state-federal vision for nonfederal forests.

Observations

Assessment of federal-state roles and responsibilities in nonfederal forests is a challenging task that cannot always be fully dealt with, even with the application of rigorous procedures and investment of ample resources. However successful this assessment is ultimately viewed, the results seem to point to a number of conditions that are worthy of special recognition. Consider the following.

- Selection of federal roles (and accompanying programs) is often a highly charged political activity that occurs with the context of continuing national debate over the appropriate roles of various levels of government generally. It is within this political environment that is placed myriad issues concerning which governments should promote sustainable use, management and protection of nonfederal forests.

- Continuing debate over federal roles (and accompanying programs) in nonfederal forests is a reality to be acknowledged and one which is to be expected in a pluralistic political system. Give the social and historical diversity of the nation, and segments thereof, the divisiveness that may at times occur over the appropriateness of certain federal roles will not go away.

- Federal agency involvement in nonfederal forests is extensive; there are many, many federal agencies and programs that are engaged in a host of activities that affect the use, management and protection of nonfederal forests. Conversely, the diverse federal presence is challenged by equal if not greater organizational and program diversity between state and local units of government. The interface between state and federal agencies seeking to promote their respective roles in nonfederal forests is literally a sea churning with complexity.

- Agency promotion of federal and state roles in nonfederal forests can lead to inter- and intra-governmental conflict and inefficiency, although, when properly coordinated, focused agency actions can also lead to very significant and quite progressive consequences.

- Some levels of government (and certain government entities) are more effective than others; they are simply better positioned to accomplish desired consequences for nonfederal forests. National governments may have better access to financial resources and may be better positioned to promote solutions to broad multi-state issues, while state governments may be more adept at experimenting with different approaches to problems and more understanding of local conditions around which successful program implementation can be developed.

- State-federal working relations involving nonfederal forests appear to be functioning quite well. However, such relations could be made more effective if there were access to additional resources (fiscal and professional), reductions in cumbersome administrative procedures, and greater mutual understanding of (and commitment to) a shared state-federal vision for nonfederal forests.

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Appendix Table 1. Federal Natural Resource and Environmental Programs Having Potential to Influence (directly or indirectly) the Condition of Nonfederal Forests, by Administering Agency, Program Intent and Type, and Estimated Budget. 2002.

Department of Agriculture

Agricultural Research Service

National Agricultural Library

- educational/informational
- increase availability and utilization of agricultural information for researchers, policy makers, and the public
- dissemination of technical information; provision of specialized services
- \$20million

Natural Resources and Sustainable Agricultural Systems Program

- research, development, and promotion
- develop and transfer strategies, information, and technologies in regards to natural resources and agriculture
- dissemination of technical information
- \$88 million

Office of Pest Management Policy Programs

- research, development, and promotion
- provides coordination of pest management programs working with state universities
- dissemination of technical information

Animal and Plant Health Inspection Service

Agricultural Biotechnology Program

- regulation and enforcement
- regulate movement and testing of genetically engineered plants and microorganisms
- regulatory and directive
- \$5.2million

Plant Protection and Quarantine Program

- regulation and enforcement
- safeguard agriculture and natural resources from risks with entry, establishment, or spread of animal and plant pests
- regulatory and directive
- \$213 million

Wildlife Services Programs (D)

- direct resource management; research, development, and promotion
- reduce damage caused by mammals and birds; provide leadership in managing problems caused by wildlife
- project grants; provision of specialized services; advisory services and counseling; dissemination of technical information; training and education
- \$31 million (\$2.8 million in grants)

Cooperative State Research, Education, and Extension Service

1890 Institution Capacity Building Grants

- educational/informational
- build research and teaching capacities through cooperative programs
- project grants; formula grants
- \$58 million (\$8.7 million project grants)

Biotechnology Risk Assessment Research Program

- research, development, and promotion
- carry out research focused on environmental effects of biotechnology
- project grants
- \$1.5 million

Note: Programs judged as having potential to directly influence the condition of nonfederal forests are identified by the letter "D" in parenthesis; all other programs are considered to have an indirect influence.

Source: Various agency budget documents, appropriation hearing documents, agency website, and the Catalog of Federal Domestic Assistance (U. S. Department of Health and Human Services 2003).

Cooperative Extension Service (D)

- educational/informational
- improve people's lives through educational process
- project grants; formula grants
- \$406.6million

Cooperative Forestry Research Program (McIntire-Stennis) (D)

- research, development, and promotion
- encourage and assist states in research at state forestry schools and developing forest scientists
- formula grants
- \$20.7 million

Extension Indian Reservation Program (D)

- educational/informational
- establishment of extension education programs on tribal lands
- training and education
- \$2.0 million

Food and Agricultural Sciences National Needs Graduate Fellowship Grants Program

- educational/informational
- encourage outstanding students to complete graduate degrees in areas of national need
- project (competitive) grants
- \$6.3million

Forest Products Research, Education, and Extension Program (D)

- research, development, and promotion; educational/informational
- conducted in cooperation with universities and other government agencies
- dissemination of technical information

Fund for Rural America Program

- research, development, and promotion; market and economic assistance
- provides funds for rural development programs and grants to support research
- project grants
- \$60.0 million

Hatch Act Program

- educational/informational
- provides funds to universities
- formula grants
- \$181.0 million

Hispanic-Serving Institutions Education Grants Program

- educational/informational
- provides grants to promote Hispanic serving institutions to carry out educational programs
- project grants
- \$2.9 million

Invasive Species Program (D)

- research, development, and promotion; educational/informational
- address invasive species issues at a local level
- project grants

Multicultural Scholars Program

- educational/informational
- provide grants to universities for undergraduate scholarships
- project grants
- \$1.0 million

National Research Initiative Competitive Grants Program (D)

- research, development, and promotion
- fund research on key problems of national or regional significance
- project grants
- \$119 million

Payments to 1890 Land-Grant Institutions

- research, development, and promotion
- support agricultural research
- formula grants
- \$29.0 million

Renewable Resources Extension Programs (D)

- educational/informational
- facilitates transfer of info and technology to NIPF landowners, loggers, and small businesses
- dissemination of technical information
- \$3.2 million

Secondary Agricultural Education Challenge Grants

- educational/informational
- provide funds to public secondary schools to strengthen education in broad areas of agriscience and agribusiness
- project grants
- \$469,000

Small Farm Program

- research, development, and promotion; educational/informational
- improve economic viability of small farm enterprises by encouraging research, extension, and education programs

Sustainable Agriculture Research and Education Program

- research, development, and promotion; educational/informational
- provide for research and education regarding sustainable agriculture
- project grants
- \$8 million

Tribal Colleges Endowment Fund

- educational/informational
- distributes interest to enhance education in agricultural sciences for Native Americans
- direct payments
- \$4.6 million

Tribal Colleges Education Equity Grants Program

- educational/informational
- promote higher education instruction in food and agricultural sciences at tribal colleges
- project grants
- \$1.5 million

Tribal Colleges Research Grants Program

- research, development, and promotion
- assist tribal colleges in conducting research
- project grants
- \$3 million

Water Quality Program

- research, development, and promotion; educational/informational; partnership building
- partner with states in research and extension and encourage other collaborative activities
- \$13 million

Wildlife and Fisheries Programs (D)

- educational/informational
- provide leadership for educational programs
- funded through other programs

Economic Research Service

Agricultural and Rural Economic Research Program

- research, development, and promotion

- provide information to decision-makers regarding agriculture, food, and natural resources
- dissemination of technical information
- \$69.8 million

Farm Service Agency

Aerial Photography Field Office Program

- educational/informational
- provide products and services to FSA, other agencies, and private sector
- provision of specialized services

Conservation Reserve Program (D)

- resource conservation
- protect nation's long-term capability to produce food, reduce erosion, and improve water quality and wildlife habitat
- direct payments; advisory services and counseling
- \$1.6 billion in payments ; \$53 million in technical assistance

Conservation Reserve Enhancement Program (D)

- resource conservation
- address specific state and nationally significant water quality, soil erosion, and wildlife habitat issues related to agricultural use
- direct payments; advisory services and counseling

Emergency Conservation Program

- resource conservation
- enable farmers to perform emergency conservation and natural resource measures
- direct payments
- \$31.9 million

Farm Operating Loans

- market/economic assistance
- may pay for improvements for land, water and natural resources development
- direct loans; guaranteed loans
- \$900 million-direct; \$2.0 billion guaranteed

Foreign Agricultural Service

Emerging Markets Program

- market and economic assistance
- technical assistance to promote ag exports to emerging markets
- provision of specialized services; dissemination of technical information
- \$10 million

Export Assistance Programs

- market and economic assistance
- provide export counseling, trade leads, US supplier lists, foreign buyer lists, foreign markets information
- advisory services and counseling; dissemination of technical information

Foreign Market Development Program

- market and economic assistance
- provide for conducting overseas promotional activities
- partial reimbursement for expenses on competitive basis
- \$28.0 million

Market Access Program

- market and economic assistance; partnership building
- forms partnerships to share costs of overseas marketing for agriculture, fish, and forest products
- advisory services and counseling; dissemination of technical information
- \$90.0 million

Scientific Cooperation Program

- research, development, and promotion; partnership building
- promote international cooperation in research efforts regarding agriculture and forestry through scientific exchanges and collaborative research
- project grants (cooperative agreements); direct payments
- \$2.5 million

Forest Service

Agroforestry Program (D)

- research, development, and promotion; educational/informational
- collaboration with NRCS, other agencies, and private sector providing educational and technical assistance
- advisory services and counseling; dissemination of technical information; training and education

Cooperative Forest Health Protection Program (D)

- research, development, and promotion; educational/informational
- financial and technical assistance through state agencies for insect and disease management
- formula grants; dissemination of technical information
- \$21.8 million

Federal Excess Property Program (D)

- resource conservation

- property loaned to states for forest firefighting

- property, facilities, and equipment use

Forest Legacy Program (D)

- resource conservation
- provides assistance to state for easements and encourages partnerships
- formula grants
- \$29.9 million

Forest Products Conservation and Recycling Program (D)

- market and economic assistance
- helps communities and businesses find new and expanded business opportunities
- dissemination of technical information; advisory services and counseling
- \$320,000

Forest Stewardship Program (D)

- resource conservation
- assists NIPF landowners in obtaining forest management plans
- formula grants
- \$29.4 million

Forest Taxation Program (D)

- educational/informational; research, development, and promotion
- provides information on tax issues through agency collaboration
- dissemination of technical information

Forestry Research Grants Program (D)

- research, development, and promotion
- extend research activities by awarding grants
- project grants (cooperative agreements)
- \$23.0 million

Market Development and Expansion Program (D)

- market and economic assistance
- aids in developing new markets for forest-based products

National Forest Dependent Rural Communities Program (D)

- market and economic assistance
- provide assistance to communities faced with economic problems from policy management decisions on or near national forest
- project grants; property, facilities, and equipment use; training and education
- \$3.8 million

Northwest Economic Adjustment Initiative (D)

- market and economic assistance

- retrain displaced workers; revolving loan fund managed by states; leverages seed money and works directly with communities
- direct loans; advisory services and counseling; training and education
- \$7.9 million

Minnesota Resource Adjustment Payment (D)

- market and economic assistance
- special annual payment to the state of Minnesota for special lands in and near national forests
- direct payments
- \$1.3 million

Payments to Counties-National Grasslands Fund (D)

- market and economic assistance
- annual payment for funding schools and roads in counties with acquired national grasslands
- direct payments
- \$6.0 million

Payments to States-National Forest Fund (D)

- market and economic assistance
- annual payment from national forest receipts to state to be used for schools and roads
- direct payment
- \$113.0 million

Payments to States-Northern Spotted Owl Guarantee (D)

- market and economic assistance
- compensate counties for decisions made regarding the owl
- direct payments
- \$114.5 million

Research and Development Programs (D)

- research, development, and promotion
- conduct direct research in areas such as: resource valuation and use; science policy, planning, inventory, and information; vegetation management and protection; and wildlife, fisheries, watershed, and atmospheric sciences
- dissemination of technical information
- \$231.0 million

Rural Community Assistance Program (D)

- market and economic assistance
- assist communities dependent on natural resources in planning
- project grants
- \$25 million ('99)

Rural Development, Forestry, and Communities Program (D)

- market and economic assistance
- help rural areas assess forest resource opportunities and local economic conditions
- project grants; property, facilities, and equipment use; training
- \$3.7 million

Rural Forest Management Program (D)

- resource conservation; market and economic assistance
- promote sustainable use of forest resources to increase economic benefits to rural owners
- project grants

State Fire Assistance Program (D)

- resource conservation; direct resource management
- assist states in coordinated and unified response to wildfire
- project grants; training and education
- \$23.9 million

Stewardship Incentives Program (D)

- resource conservation
- promote sound stewardship on NIPF lands
- project grants; advisory services and counseling

Southeast Alaska Economic Disaster Fund(D)

- market and technical assistance
- counter effects of declining timber program on Tongass NF
- payments for specified use
- \$7.0 million

Urban and Community Forestry Program (D)

- educational/informational, resource conservation, partnership building
- sustain productive urban forests for the well-being of people in cities, towns, and communities
- project grants; dissemination of technical information; training education
- \$30.9 million

Volunteer Fire Assistance Program (D)

- resource conservation
- provide assistance to states
- project grants; training and education
- \$3.2 million

Wildlife Management and Education Programs (D)

- direct resource management; educational/informational; research, development, and promotion

- provide information to the public and conduct direct wildlife management activities
- dissemination of technical information; advisory services and counseling

National Agricultural Statistics Service

Agricultural Statistics Reports Program

- research, development, and promotion
- formulate, develop, and administer programs for collecting and publishing agriculture and natural resource statistics
- dissemination of technical assistance
- \$109.6million

Natural Resources Conservation Service

Agricultural Management Assistance Program

- resource conservation
- promote conservation and natural resource practices
- project grants (to landowners); formula grants (to states)

Conservation Compliance Program

- regulation and enforcement
- swampbuster and sodbuster
- regulatory and directive
- \$237.1million

Conservation Farm Option Program

- resource conservation
- maximize environmental benefits with minimal land retirement
- direct payments

Conservation Plant Materials Centers Program

- direct resource management
- provide native plants to solve natural resource problems
- provision of specialized services
- \$5.9 million

Conservation Technical Assistance Program

- resource conservation
- assists landowners and government entities in implementing conservation systems
- advisory services and counseling; training and education; dissemination of technical information
- \$566.4 million

Emergency Watershed Protection Program (D)

- resource conservation
- provides assistance for emergency measures for runoff retardation and soil erosion prevention
- project grants
- \$77,000

Environmental Quality Incentives Program (D)

- resource conservation
- assistance to farmers to address natural resource concerns in an environmentally beneficial manner
- direct payments
- \$145.0 million

Farmland Protection Program

- resource conservation
- purchase easements to prevent conversion to non-ag use
- direct payments
- \$240,000

Forestry Incentives Program (D)

- resource conservation
- bring NIPF lands under intensified management
- direct payment
- \$10.5 million

Great Plains Conservation Program

- resource conservation
- assist farmers in planning and implementing conservation practices
- direct payments; advisory services and counseling
- \$2.6 million

Resource Conservation and Development Program

- resource conservation
- encourage capability of state/local agencies to develop resource conservation programs: programs include Tribal Government Relationships, Environmental Justice, Resource Conservation and Development, and Rural Development among others
- advisory services and counseling
- \$35.8 million

Rural Abandoned Mine Program

- environmental remediation
- protect people from effects of past coal mining and promote development of soil and water resources of unreclaimed lands

- direct payments
- \$500,000

Snow Survey and Water Supply Forecasting Program

- research, development, and promotion; educational/informational
- provide information to agencies and public
- dissemination of technical information
- \$6.2million

Soil Survey Program

- educational/informational; research, development, and promotion
- maintain and assist in the use of soil data
- dissemination of technical information
- \$79.7 million

Soil and Water Conservation Program (D)

- resource conservation; educational/informational
- develop national natural resource conservation plan and provide leadership in use and conservation of soil and water resources
- advisory services and counseling
- \$581.2 million

Water Bank Program

- resource conservation
- conserve surface water, preserve and improve wetlands, and increase migratory bird habitat
- project grants; advisory services and counseling
- \$730,000

Watershed Protection and Flood Prevention Program (D)

- resource conservation
- provide assistance for improvement projects in small watersheds
- provision of specialized services; advisory services and counseling
- \$84.7 million

Watershed Surveys and Planning

- educational/informational; partnership building
- provide planning assistance to federal/state/local agencies for development of coordinated programs in watersheds and river basins
- provision of specialized services; advisory services and counseling
- \$10.4 million

Wetlands Reserve Program (D)

- resource conservation
- restore and protect farmland wetlands
- direct payments
- \$179.7 million

Wildlife Habitat Incentives Program (D)

- resource conservation
- develop wildlife habitat
- direct payments
- \$1.5 million

Department of Commerce

International Trade Administration

Forest Products and Building Materials Division Program (D)

- market and economic assistance; research, development, and promotion
- monitor trade, provide analyses, and enhance export opportunities
- advisory services and counseling; dissemination of technical information

Energy Division Program (Renewables and Energy Efficiency)

- market and economic assistance
- monitors trade policy and develops strategies to remove foreign trade barriers
- advisory services and counseling; dissemination of technical information

National Environmental, Satellite, Data, and Information Service
(NOAA)

Intergovernmental Climate Program

- research, development, and promotion
- aid states in development of regional climate centers
- project grants
- \$2.3million

Research in Remote Sensing of the Earth and Environment Program

- research, development, and promotion
- advance and promote applied research and technology
- project grants (cooperative agreements)
- \$5.9 million

National Marine Fisheries Service (NOAA)

Alaskan Salmon Enhancement Program

- direct research management
- cooperative program restoring salmon stocks
- project grants (cooperative agreements)

Anadromous Fish Conservation Act Program

- resource conservation
- cooperate with states and other interests in enhancing stocks
- project grants
- \$2.0 million

-Columbia River Fisheries Development Program

- resource conservation
- facilitate state agencies to protect and enhance salmon in the Columbia River basin
- project grants (cooperative agreements)
- \$12.0 million

Habitat Conservation Program

- resource conservation
- provide assistance for projects on coastal environment to benefit US fisheries
- project grants (cooperative agreements)
- \$4.5 million

Pacific Fisheries Data Program

- research, development, and promotion
- provide support to state agencies to enhance data collection and analysis systems
- project grants (cooperative agreements)
- \$7.8 million

Regional Fishery Management Councils Program

- direct resource management
- develop fishery management plans
- project grants (cooperative agreements)
- \$13.1 million

National Ocean Service

Coastal Zone Management Administration Award Program(D)

- resource conservation
- assist states in implementing and enhancing coastal zone management programs
- formula grants
- \$58.7million

Coastal Zone Management Estuarine Research Reserves Program

- research, development, and promotion
- assist states in acquiring and conducting research in national estuarine research reserves

- project grants (cooperative agreements)
- \$19.0 million

National Weather Service

Hydrologic Research Program

- research, development, and promotion
- maintain cooperative university/federal partnership to conduct joint research
- project grants (cooperative agreements)
- \$140,000

Meteorologic and Hydrologic Modernization Development Program

- research, development, and promotion
- maintain cooperative university/federal partnership to conduct training and research
- formula grants; project grants; direct payments; dissemination of technical information; training and education
- \$4.6 million

Ocean and Atmospheric Research

Climate and Air Quality Research Program

- research, development, and promotion
- develop capability to predict climate and air quality trends
- project grants (contracts)
- \$73,000

Climate and Atmospheric Research Program

- research, development, and promotion
- develop predictive capability for climate trends
- project grants
- \$28.4million

Technology Administration

National Technical Information Service Programs

- educational/informational
- source for thousands of environment related publications
- dissemination of technical information

Department of Defense

Department of the Army (Office of the Chief Engineers)

Aquatic Plant Control Program

- resource conservation
- provide for cooperation with state/local agencies in control of obnoxious aquatic plants
- provision of specialized services; dissemination of technical information

Beach Erosion Control Projects Program

- direct resource management
- control erosion to public shores
- provision of specialized services

-\$2.8 million

Flood Control Projects Program

- direct resource management
- reduce flood damage through projects not specifically authorized by Congress
- provision of specialized services

-\$30.6 million

Planning Assistance to States Program

- planning and program design
- cooperate with states in comprehensive water planning and related land resources
- provision of specialized services

-\$5.8 million

Department of Energy

Office of Energy Efficiency and Renewable Energy

Regional Biomass Energy Program

- research, development, and promotion
- build state/local capacity for accelerating biomass technology deployment and assist in outreach
- project grants

-\$3.5 million

Office of Energy Research

Office of Scientific and Technical Information Programs

- research, development, and promotion

- collect and disseminate information from DOE research and environmental programs
- dissemination of technical information

-\$8.6 million

Office of Environmental Management

Office of Science and Technology for Environmental Management Programs

- research, development, and promotion
- develop technology system to reduce risks to the environment
- project grants (cooperative agreements, contracts)

-\$80.0 million

Department of Health and Human Services

Administration for Children and Families

Improving the Capability of Indian Tribal Governments to Regulate Environmental Quality

- education and information
- provide financial assistance to advance tribal capacity to develop environmental regulatory framework
- project grants

-\$3.7 million

Center for Disease Control

National Center for Environmental Health Programs

- research, development, and promotion; educational/informational
- aids states and local health agencies with problems such as air and water pollution
- dissemination of technical information; training and education

-\$88.2 million

National Institutes of Health

Biological Response to Environmental Health Hazards Program

- research, development, and promotion
- understanding biological responses to environmental agents
- project grants

-\$135.4million

Department of the Interior

Bureau of Indian Affairs

Endangered Species on Indian Lands Program (D)

- resource conservation
- assist with complying with ESA and other recovery plans
- direct payments; dissemination of technical information; advisory services and counseling
- \$2.7million

Environmental Management: Indian Programs (D)

- resource conservation; educational/informational
- determine environmental impacts of federal projects on Indian lands, train people in waste management principles, and identify hazardous waste sites
- direct payments
- \$5.8 million

Fish, Wildlife, and Parks Programs on Indian Lands (D)

- resource conservation
- promote conservation and use of resources for maximum benefit of Indians
- direct payments
- \$26.4million

Forestry on Indian Lands Program (D)

- resource conservation
- maintain, protect, enhance, and develop forest resources on Indian lands
- direct payments; provision of specialized services; advisory services and counseling
- \$12.0 million

Water Resources on Indian Lands Program (D)

- resource conservation
- assist tribes in managing their water and related land resources
- direct payments; provision of specialized services; advisory services and counseling
- \$9.8 million

Bureau of Reclamation

Reclamation and Water Reuse Program

- research, development, and promotion
- conduct studies on water reclamation and reuse projects

-formula grants

- \$33.4million

Fish and Wildlife Service

Administrative Grants for Federal Aid in Sport Fish and Wildlife

Restoration Program

- direct resource management
- facilitate efforts of states in implementing programs
- project grants

Coastal Wetlands Planning, Protection, and Restoration Act (D)

- resource conservation
- grants funds to states to carry out coastal wetlands conservation projects
- project grants
- \$11.3 million

Conservation Law Enforcement Training Assistance Program

- regulation and enforcement
- provide training assistance to state conservation officers in regards to wildlife law enforcement
- training and education
- \$452,000

Cooperative Endangered Species Conservation Fund (D)

- resource conservation
- provide financial assistance to state agencies who agree to assist in endangered species conservation programs
- project grants
- \$22.5 million

Fish and Wildlife Management Assistance Program (D)

- resource conservation
- provide technical assistance to other governmental agencies regarding conservation and management of fish and wildlife
- provision of specialized services
- \$1.3million

North American Wetlands Conservation Fund (D)

- resource conservation
- provide grants for wetlands conservation projects
- project grants
- \$14.4million

Sport Fish Restoration Program

- resource management
- support projects to restore and manage sport fish populations
- formula grants
- \$240.9million

Wildlife Conservation and Appreciation (D)

- partnership building
- establish partnerships between FWS, state agencies, and private organizations to carry out wildlife conservation and appreciation projects
- project grants
- \$765,000

Wildlife Restoration (D)

- direct resource management; educational/informational
- support projects to manage wildlife populations and conduct hunter safety programs
- formula grants
- \$193.2million

Geological Survey

Assistance to State Water Resources Research Institutes

- research, development, and promotion
- provide financial support to state institutions
- formula grants; project grants
- \$4.8million

National Cooperative Geologic Mapping Program

- educational/informational
- produce maps of importance to individual states
- project grants
- \$4.4million

Upper Mississippi River System Long Term Resource Monitoring Program

- educational/informational
- provide decision makers with information
- project grants (cooperative agreements)
- \$2.6 million

National Park Service

National Natural Landmarks Program (D)

- resource conservation
- identify nationally significant natural areas and encourage conservation

- provision of specialized services; dissemination of technical information
- \$1.1 million

Outdoor Recreation Acquisition, Development, and Planning Program (D)

- planning and program design; recreational enhancement
- provide assistance to states to prepare statewide recreation plans and develop outdoor recreation areas
- project grants
- \$40.0million

Rivers, Trails, and Conservation Assistance Program (D)

- resource conservation; partnership building; recreational enhancement
- provide staff assistance to support government/citizen partnership to increase number of rivers and landscapes protected and trails established
- advisory services and counseling
- \$8.1million

Urban Park and Recreation Recovery Program

- recreational enhancement; planning and program design
- provide grants to local governments for rehab of recreation areas and development of improved recreation planning
- project grants
- \$2.0 million

Office of Surface Mining Reclamation and Enforcement

Abandoned Mine Land Reclamation Program

- environmental remediation
- correct environmental damage caused by mining before 1977
- formula grants; project grants
- \$154.6million

Department of Transportation

Federal Highway Administration

Recreational Trails Program

- recreational enhancement
- provide funds to states to develop recreational trails and facilities
- formula grants; project grants
- \$50.0 million

Environmental Protection Agency

American Indian Environmental Office

Indian Environmental General Assistance Program

- regulation and enforcement; resource conservation; pollution control and abatement
- provide grants to build capacity to administer environmental regulatory programs and provide technical assistance in developing programs to address environmental issues
- project grants
- \$42.6 million

Office of Administration

Environmental Protection Consolidated Grants Program

- pollution control and abatement; partnership building
- consolidated grant program allows state/local agencies to develop an integrated approach to pollution control
- project grants
- \$5.0 million

One Stop Reporting Program

- regulation and enforcement; educational/informational
- improve reporting, data management, and public access
- project grants
- \$3.0 million

Office of the Administrator

Environmental Education Grants Program

- educational/informational
- support projects related to environmental education and training
- project grants
- \$2.4 million

Environmental Education and Training Program

- educational/informational
- train education professionals in delivery of environmental education programs
- project grants (cooperative agreements)
- \$1.6 million

Project XL Program

- partnership building; planning and program design; research, development, and promotion

- national pilot program that allows state and local governments, businesses and federal facilities to develop with EPA innovative strategies to test better or more cost effective ways of achieving environmental and public health protection
- advisory services and counseling; dissemination of technical information
- \$3.1 million

Regional Geographic Program

- pollution control and abatement; research, development, and promotion
- supports projects that are bounded by the region or place in which the problem exists rather than by pollutant or sector
- project grants
- \$12.0 million

Small Business Regulatory Enforcement Fairness Act Programs

- regulation and enforcement; educational/informational
- answers fact-specific inquiries by small entities concerning compliance with statutes and regulations and provides penalty waivers as incentives to compliance
- regulatory and directive; training and education
- \$800,000

Office of Air and Radiation

Acid Rain Program

- pollution control and abatement
- employs market based approaches in controlling air pollution
- provision of specialized services; advisory services and counseling; regulatory and directive
- \$14.6 million

Air Information Center Programs

- informational/educational
- provide information on air pollution
- dissemination of technical information
- \$47,000

Air Pollution Control Program Support Program

- planning and program design; regulation and enforcement
- assist state/local agencies in planning and implementing programs for control/prevention of air pollution
- project grants
- \$167.2 million

Climate Change Research Program

- research, development, and promotion
- provide information and monitor climate change
- dissemination of technical information
- \$20.6 million

Climate Protection Programs

- research, development, and promotion; educational/informational
- help businesses and consumers make better investments when they purchase appliances and equipment
- advisory services and counseling; dissemination of technical information
- \$103.3 million

Regional Haze Program

- regulation and enforcement
- protecting and improving visibility
- regulatory and directive
- \$1.9 million

Office of Enforcement and Compliance Assurance

Compliance Incentives Programs

- pollution control and abatement
- enhance protection of human health and the environment by encouraging regulated entities to voluntarily discover, promptly disclose, and expeditiously correct violations of federal environmental requirements
- regulatory and directive
- \$5.2 million

Compliance Monitoring Program

- regulation and enforcement; pollution control and abatement
- direct inspection and sampling
- regulatory and directive; provision of specialized services
- \$56.4 million

Consolidated Pesticide Enforcement Cooperative Agreements Program

- regulation and enforcement
- assist states in pesticide programs, sponsor cooperative monitoring, and encourage regulatory activities
- project grants (cooperative agreements)
- \$19.9 million

Office of Environmental Information

EMPACT (Environmental Monitoring for Public Access and Community Tracking) Program

-educational/informational

- works with communities to collect, manage, and present environmental information to the public
- dissemination of technical information
- \$14.3 million

EMAP (Environmental Monitoring and Assessment Program)

- research, development, and promotion
- develop tools to monitor and assess status and trends of national ecological resources
- dissemination of technical information; project grants
- \$30.5 million

Office of Grants and Debarment

Surveys, Studies, Investigations, and Special Purpose Grants Program

- research, development, and promotion
- support research and identify and study pollution control techniques
- project grants
- \$300.0 million

Office of Prevention, Pesticides, and Toxic Substances

Community Right to Know Program

- educational/informational; planning and program design
- increase public knowledge of and access to information on presence of toxic chemicals in communities and to encourage and support planning for responding to environmental emergencies
- advisory services and counseling; dissemination of technical information
- \$4.8 million

Design for the Environment Program

- partnership building; research, development, and promotion
- form partnerships to design products, processes, and technologies that are more protective of the environment
- advisory services and counseling; dissemination of technical information
- \$4.7 million

Pesticide Applicator Certification and Training (D)

- educational/informational
- provide pesticide applicators with knowledge and ability to use pesticides safely and effectively
- training and education
- \$9.4 million

Pesticide Environmental Stewardship: Regional Grants Program

- pollution control and abatement
- provide risk reduction from use of pesticides
- project grants
- \$498,000

Pesticide Registration Program (D)

- research, development, and promotion; regulation and enforcement
- process through which the EPA examines the safety of pesticides
- regulatory and directive; dissemination of technical information
- \$36.4 million

Pesticide Residue Tolerance Reassessments

- research, development, and promotion; regulation and enforcement
- examination of pesticides approved before 1984
- regulatory and directive; dissemination of technical information
- \$11.6 million

Pollution Prevention Grants Program (D)

- pollution control and abatement
- support state activities that address preventative approaches to pollution generation
- project grants
- \$6.0 million

Office of Research and Development

Environmental Protection Consolidated Research Program

- research, development, and promotion
- support research in environmental arena
- project grants (cooperative agreements)
- \$92.1 million

Office of Solid Waste and Emergency Response

Brownfields Program

- research, development, and promotion; regulation and enforcement; partnership building
- empower states, communities, and other stakeholders in economic development to work together in a timely manner to prevent, assess, safely clean up, and sustainably reuse brownfields
- dissemination of technical information; regulatory and directive; advisory services and counseling
- \$41.2 million

Hazardous Substance Research Program

- research, development, and promotion; educational/informational
- provide technical outreach for communities for hazardous substance problems
- advisory services and counseling; dissemination of technical information
- \$9.5 million

Hazardous Waste Management State Program Support

- pollution control and abatement
- assist states in developing hazardous waste management program
- formula grants
- \$98.6 million

Solid Waste Management Assistance Program

- pollution control and abatement
- promote use of integrated solid waste management
- project grants
- \$1.0 million

Superfund State Core Program Cooperative Agreements Program

- environmental remediation
- foster state involvement in clean-up and develop state voluntary clean-up programs
- project grants (cooperative agreements)
- \$18.0 million

Superfund State Site: Specific Cooperative Agreements Program

- environmental remediation
- conduct site clean-up with state involvement
- project grants (cooperative agreements)
- \$100.0 million

Office of Water

Chesapeake Bay Program (D)

- resource conservation; pollution control and abatement
- assist states and other agencies in reducing pollution and improve quality of resources in the Chesapeake Bay
- project grants (cooperative agreements)
- \$20.3 million

Clean Water Action Plan Related Research Programs

- research, development, and promotion
- conduct direct research as it relates to the clean water act
- dissemination of technical information
- \$7.0 million

Coastal Environmental Monitoring

- research, development, and promotion; pollution control and abatement
 - estimate current status, extent, changes, and trends in ecological indicators
 - dissemination of technical information
- \$7.0 million

Great Lakes Program

- pollution control and abatement; resource conservation
 - restore and maintain integrity of Great Lakes Basin ecosystem
 - project grants (cooperative agreements); use of property, facilities, and equipment; provision of specialized services; dissemination of technical information
- \$18.4 million

Gulf of Mexico Program

- research, development, and promotion; educational/informational; resource management; partnership building; planning
 - restore and maintain integrity of Gulf of Mexico ecosystem
 - project grants; advisory services and counseling; dissemination of technical information; training and education
- \$4.2 million

Lake Champlain Basin Program

- educational/informational; research, development, and promotion; partnership building; planning
 - federal, state, and local initiative to restore and protect Lake Champlain and its surrounding watershed for future generations
 - dissemination of technical information; training and education; advisory services and counseling
- \$2.2 million

National Estuary Program/Coastal Watersheds Program

- partnership building; pollution control and abatement; resource conservation
 - collaborate with other agencies to develop programs to protect and restore coastal resources in estuaries of national significance
 - project grants (cooperative agreements)
- \$18.0 million

National Pollutant Discharge Elimination System Permitting Program

- regulation and enforcement
- requires all point sources discharging pollutants into waters of the United States to obtain a permit

- regulatory and directive; training and education

-\$36.3 million

Nonpoint Source Implementation Grants Program (D)

- pollution control and abatement
 - assist states in implementing EPA nonpoint source management programs
 - formula grants
- \$200.0 million

Rural Water Technical Assistance Program

- educational/informational; planning
 - aid rural communities in managing water resources
 - advisory services and counseling; dissemination of technical information
- \$14.0 million

Water Pollution Control: State and Interstate Support Program

- pollution control and abatement
 - assist states in developing measures of prevention and control of surface and ground water pollution
 - formula grants
- \$115.5 million

Water Quality Cooperative Agreements Program

- pollution control and abatement
 - assist agencies in developing approaches to deal with water pollution
 - project grants (cooperative agreements)
- \$19.0 million

Water Quality Management Planning

- pollution control and abatement; planning
 - assist states in carrying out water quality management planning
 - formula grants
- \$14.2 million

Wetlands Grant Program

- resource conservation
 - assist state/tribal/local governments in managing wetlands
 - project grants
- \$15.0 million

Federal Emergency Management Agency

Mitigation Directorate

Flood Mitigation Assistance Program

- resource conservation
- assist states in implementing measures to reduce flood damage
- project grants
- \$26.7 million

Response and Recovery Directorate

Disaster Relief Program

- resource conservation
- provide grants to states for fire suppression on nonfederal forest or grassland
- project grants; use of property, facilities, and equipment; provision of specialized services

National Science Foundation

Biological Sciences Program

- research, development, and promotion
- promote progress of biological sciences and strengthen nation's scientific enterprise
- project grants
- \$414.4 million

Geosciences Program

- research, development, and promotion
 - strengthen and enhance national scientific enterprises through increased understanding of integrated earth system
 - project grants
-

Appendix Table 2. Federal Programs Influencing (directly or indirectly) the Condition of Nonfederal Forests, by Administering Agency, Number of Programs Implemented, and Functions or Purposes of Programs. 2002.

Department or Agency	Function or Purpose Toward which Program (all or part) is Directed											Total Number of Programs Implemented
	Research, Development and Promotion	Education & Information	Regulation & Enforcement	Market & Economic Assistance	Direct Resource Management	Partnership Building	Resource Conservation	Environmental Remediation	Pollution Control & Abatement	Planning & Program Design	Recreational Enhancement	
Department of Agriculture												
• Agricultural Research Service	2	1	-	-	-	-	-	-	-	-	-	3
• Animal & Plant Health Inspection Service	1	-	2	-	1	-	-	-	-	-	-	3
• Cooperative State Research, Education, and Extension Service	11	17	-	1	-	1	-	-	-	-	-	23
• Economic Research Service	1	-	-	-	-	-	-	-	-	-	-	1
• Farm Service Agency	-	1	-	1	-	-	3	-	-	-	-	5
• Foreign Agricultural Service	1	-	-	4	-	2	-	-	-	-	-	5
• Forest Service	6	5	-	12	2	1	8	-	-	-	-	25
• National Agricultural Statistics Service	1	-	-	-	-	-	-	-	-	-	-	1
• Natural Resources Conservation Service	2	4	1	-	1	1	14	1	-	-	-	20
Department of Commerce												
• International Trade Administration	1	-	-	2	-	-	-	-	-	-	-	2
• National Environmental Satellite, Data and Information Service*	2	-	-	-	-	-	-	-	-	-	-	2
• National Marine Fisheries Service*	1	-	-	-	2	-	3	-	-	-	-	6
• National Ocean Service*	1	-	-	-	-	-	1	-	-	-	-	2
• National Weather Service*	2	-	-	-	-	-	-	-	-	-	-	2
• Ocean and Atmospheric Research*	2	-	-	-	-	-	-	-	-	-	-	2
• Technology Administration*	-	1	-	-	-	-	-	-	-	-	-	1
Department of Defense												
• Department of the Army	-	-	-	-	2	-	1	-	-	1	-	4

Note: Programs may have more than one function or purpose. Consequently, sum of programs specified for various functions or purposes may exceed the total number of programs actually implemented. National Oceanic and Atmospheric Administration agencies are indicated by an asterisk.

Appendix Table 2 (continued). Federal Programs Influencing (directly or indirectly) the Condition of Nonfederal Forests, by Administering Agency, Number of Programs Implemented, and Functions or Purposes of Programs. 2002.

Department or Agency	Function or Purpose Toward which Program (all or part) is Directed											Total Number of Programs Implemented
	Research, Development and Promotion	Education & Information	Regulation & Enforcement	Market & Economic Assistance	Direct Resource Management	Partnership Building	Resource Conservation	Environmental Remediation	Pollution Control & Abatement	Planning & Program Design	Recreational Enhancement	
Environmental Protection Agency												
• American Indian Environmental Office	-	-	1	-	-	-	1	-	1	-	-	1
• Office of Administration	-	1	1	-	-	1	-	-	1	-	-	2
• Office of the Administrator	2	3	1	-	-	1	-	-	1	1	-	5
• Office of Air and Radiation	2	2	2	-	-	-	-	-	1	1	-	6
• Office of Enforcement and Compliance Assurance	-	-	2	-	-	-	-	-	2	-	-	3
• Office of Environmental Information	1	1	-	-	-	-	-	-	-	-	-	2
• Office of Grants and Debarment	1	-	-	-	-	-	-	-	-	-	-	1
• Office of Prevention, Pesticides and Toxic Substances	3	2	2	-	-	1	-	-	2	1	-	7
• Office of Research and Development	1	-	-	-	-	-	-	-	-	-	-	1
• Office of Solid Waste and Emergency Response	2	1	1	-	-	1	-	2	2	-	-	6
• Office of Water	4	2	1	-	1	3	4	-	7	4	-	14
Federal Emergency Management Agency												
• Mitigation Directorate	-	-	-	-	-	-	1	-	-	-	-	1
• Response and Recovery Directorate	-	-	-	-	-	-	1	-	-	-	-	1
National Science Foundation												
• Biological Sciences	1	-	-	-	-	-	-	-	-	-	-	1
• Geosciences	1	-	-	-	-	-	-	-	-	-	-	1
TOTAL	59	46	15	20	11	14	49	4	17	10	4	---

Appendix Table 3. Federal Programs Influencing (directly or indirectly) the Condition of Nonfederal Forests, by Administering Agency, Number of Programs Implemented, and Approach to Linkage with State Governments, 2002.

Department or Agency	Primary Approach to Linkage with State Governments											Total Number of Programs Implemented
	Formula Grants	Project Grants	Direct Loans	Guaranteed Loans	Direct Payments	Advisory Services & Counseling	Dissemination of Technical	Training and Education	Property, Facility & Equipment Use	Regulatory & Directive	Provision of Specialized	
Department of Agriculture												
• Agricultural Research Service	-	-	-	-	-	-	3	-	-	-	1	3
• Animal & Plant Health Inspection Service	-	1	-	-	-	1	1	1	-	2	1	3
• Cooperative State Research, Education, and Extension Service	5	13	-	-	1	-	2	1	-	-	-	23
• Economic Research Service	-	-	-	-	-	-	1	-	-	-	-	1
• Farm Service Agency	-	-	1	1	3	1	-	-	-	-	1	5
• Foreign Agricultural Service	-	1	-	-	1	2	3	-	-	-	1	5
• Forest Service	3	9	1	-	5	5	7	7	3	-	-	25
• National Agricultural Statistics Service	-	-	-	-	-	-	1	-	-	-	-	1
• Natural Resource Conservation Service	1	2	-	-	8	7	2	1	-	1	3	20
Department of Commerce												
• International Trade Administration	-	-	-	-	-	2	2	-	-	-	-	2
• National Environmental Satellite, Data and Information Service*	-	2	-	-	-	-	-	-	-	-	-	2
• National Marine Fisheries Service*	-	6	-	-	-	-	-	-	-	-	-	6
• National Ocean Service*	1	1	-	-	-	-	-	-	-	-	-	2
• National Weather Service*	1	2	-	-	1	-	1	1	-	-	-	2
• Ocean and Atmospheric Research*	-	2	-	-	-	-	-	-	-	-	-	2
• Technology Administration*	-	-	-	-	-	-	1	-	-	-	-	1
Department of Defense												
• Department of the Army	-	-	-	-	-	-	-	-	-	-	4	4

Note: Programs may have more than one approach to linking with state governments. Consequently, sum of programs specified for various approaches may exceed the total number of programs implemented. National Oceanic and Atmospheric Administration agencies are indicated by an asterisk.

Appendix Table 3 (continued). Federal Programs Influencing (directly or indirectly) the Condition of Nonfederal Forests, by Administering Agency, Number of Programs Implemented, and Approach to Linkage with State Governments. 2002.

Department or Agency	Primary Approach to Linkage with State Governments											Total Number of Programs Implemented
	Formula Grants	Project Grants	Direct Loans	Guaranteed Loans	Direct Payments	Advisory Services & Counseling	Dissemination of Technical	Training and Education	Property, Facility & Equipment Use	Regulatory & Directive	Provision of Specialized Services	
Environmental Protection Agency												
• American Indian Environmental Office	-	1	-	-	-	-	-	-	-	-	-	1
• Office of Administration	-	2	-	-	-	-	-	-	-	-	-	2
• Office of the Administrator	-	3	-	-	-	1	1	1	-	1	-	5
• Office of Air and Radiation	-	1	-	-	-	2	3	-	-	2	1	6
• Office of Enforcement and Compliance Assurance	-	1	-	-	-	-	-	-	-	2	1	3
• Office of Environmental Information	-	1	-	-	-	-	2	-	-	-	-	2
• Office of Grants and Debarment	-	1	-	-	-	-	-	-	-	-	-	1
• Office of Prevention, Pesticides, and Toxic Substances	-	2	-	-	-	2	4	1	-	2	-	7
• Office of Research and Development	-	1	-	-	-	-	-	-	-	-	-	1
• Office of Solid Waste and Emergency Response	1	3	-	-	-	1	2	-	-	1	-	6
• Office of Water	3	5	-	-	-	2	6	3	1	1	-	14
Federal Emergency Management Agency												
• Mitigation Directorate	-	1	-	-	-	-	-	-	-	-	-	1
• Response and Recovery Directorate	-	1	-	-	-	-	-	-	1	-	1	1
National Science Foundation												
• Biological Sciences	-	1	-	-	-	-	-	-	-	-	-	1
• Geosciences	-	1	-	-	-	-	-	-	-	-	-	1
TOTAL	21	80	2	1	25	30	46	18	5	12	18	---

Appendix Table 4. Importance of Federal Agency Roles and Responsibilities Involving Nonfederal Forests in the **North**, as Perceived by State Foresters. 2001.

Federal Role or Responsibility	Importance of Role or Responsibility (percent of respondents)				Among Three Most Important Roles (percent)
	Very Important	Somewhat Important	Little Importance	Not Important	
• Foster coordination among states situated within a larger multi-state region	68	32	0	0	17
• Convene the partnering of diverse clients of programs implemented by states	10	42	48	0	0
• Promote the national interest in special or unique forest resources located in a state	32	58	10	0	2
• Encourage communication among and between state agencies and clients of state programs	32	37	26	5	5
• Promote, by example, leadership among executives, managers and clients of state programs	11	58	26	5	0
• Further the development and use of strategic planning processes by states	21	53	21	5	4
• Evaluate current and potential programs being implemented by states	32	42	26	0	2
• Motivate states to innovate and embrace new and up-to-date goals and programs	26	48	26	0	3
• Give legitimacy and standing, by federal example, to state programs	37	32	26	5	2
• Build state organizational and managerial (staff) capacity needed to implement state programs	26	58	16	0	2
• Provide leading-edge technical advice and assistance needed to implement state programs	74	16	5	5	14
• Provide financial assistance needed to implement state programs	74	20	5	0	19
• Provide resources needed to make state programs large enough (scale) to be successfully implemented	74	26	0	0	14
• Deliver a variety of assistance in time of a disaster or catastrophe involving forests	47	53	0	0	5
• Monitor area and condition of forest resources within a state	63	37	0	0	9
• Synthesize and distribute information to states	42	47	11	0	2
• Promote the integration of economic and environmental interests in state forest resources	16	47	37	0	0
• Facilitate abatement and necessary management of conflict among clients of state programs	5	16	63	16	0

Note: Region defined as CT, DL, IL, IN, IA, ME, MD, MA, MI, MN, MO, NH, NJ, NY, OH, PA, RI, VT, WV, WI (CT declined to participate) Other federal roles suggested were provide funding mechanisms for connecting state-local governments.

Appendix Table 5. Importance of Federal Agency Roles and Responsibilities Involving Nonfederal Forests in the **South**, as Perceived by State Foresters. 2001.

Federal Role or Responsibility	Importance of Role or Responsibility (percent of respondents)				Among Three Most Important Roles (percent)
	Very Important	Somewhat Important	Little Importance	Not Important	
• Foster coordination among states situated within a larger multi-state region	38	54	8	0	10
• Convene the partnering of diverse clients of programs implemented by states	8	46	38	8	0
• Promote the national interest in special or unique forest resources located in a state	8	53	31	8	0
• Encourage communication among and between state agencies and clients of state programs	8	31	46	15	3
• Promote, by example, leadership among executives, managers and clients of state programs	23	31	38	8	0
• Further the development and use of strategic planning processes by states	15	46	31	8	3
• Evaluate current and potential programs being implemented by states	15	31	39	15	0
• Motivate states to innovate and embrace new and up-to-date goals and programs	23	46	23	8	0
• Give legitimacy and standing, by federal example, to state programs	38	31	23	8	0
• Build state organizational and managerial (staff) capacity needed to implement state programs	8	46	31	15	0
• Provide leading-edge technical advice and assistance needed to implement state programs	38	46	8	8	10
• Provide financial assistance needed to implement state programs	77	23	0	0	28
• Provide resources needed to make state programs large enough (scale) to be successfully implemented	46	46	8	0	10
• Deliver a variety of assistance in time of a disaster or catastrophe involving forests	61	31	8	0	13
• Monitor area and condition of forest resources within a state	61	39	0	0	20
• Synthesize and distribute information to states	31	61	8	0	0
• Promote the integration of economic and environmental interests in state forest resources	8	54	30	8	0
• Facilitate abatement and necessary management of conflict among clients of state programs	0	15	62	23	0

Note: Region defined as AL, AR, FL, GA, KT, LA, MS, NC, OK, SC, TN, TX, VA.

Appendix Table 6. Importance of Federal Agency Roles and Responsibilities Involving Nonfederal Forests in the **West**, as Perceived by State Foresters. 2001.

Federal Role or Responsibility	Importance of Role or Responsibility (percent of respondents)				Among Three Most Important Roles (percent)
	Very Important	Somewhat Important	Little Importance	Not Important	
• Foster coordination among states situated within a larger multi-state region	23	65	12	0	2
• Convene the partnering of diverse clients of programs implemented by states	6	53	29	12	0
• Promote the national interest in special or unique forest resources located in a state	35	65	0	0	4
• Encourage communication among and between state agencies and clients of state programs	0	59	29	12	2
• Promote, by example, leadership among executives, managers and clients of state programs	12	70	18	0	2
• Further the development and use of strategic planning processes by states	0	53	47	0	0
• Evaluate current and potential programs being implemented by states	35	35	24	6	4
• Motivate states to innovate and embrace new and up-to-date goals and programs	6	65	29	0	2
• Give legitimacy and standing, by federal example, to state programs	41	41	18	0	0
• Build state organizational and managerial (staff) capacity needed to implement state programs	35	35	30	0	4
• Provide leading-edge technical advice and assistance needed to implement state programs	53	35	6	6	17
• Provide financial assistance needed to implement state programs	76	12	12	0	17
• Provide resources needed to make state programs large enough (scale) to be successfully implemented	65	12	23	0	10
• Deliver a variety of assistance in time of a disaster or catastrophe involving forests	59	41	0	0	12
• Monitor area and condition of forest resources within a state	47	47	6	0	12
• Synthesize and distribute information to states	59	41	0	0	8
• Promote the integration of economic and environmental interests in state forest resources	12	53	29	6	4
• Facilitate abatement and necessary management of conflict among clients of state programs	0	24	70	6	0

Note: Region defined as AK, AZ, CA, CO, HI, ID, KS, MT, NB, NV, NM, ND, OR, SD, UT, WA, WY.

Appendix Table 7. Criteria Used by State Foresters to Select Most Important Federal Agency Roles for Working with States on Matters Involving Nonfederal Forests. 2001.

Lead Federal Roles. Three Most Important (identified by state foresters) Federal Agency Roles for Working with States on Matters Involving Nonfederal Forests (not in rank order): Provide financial assistance; provide technical advice; and monitor area and condition of forests.	
Selection Criteria. Most Important Reason (factor) Identified by State Foresters for Choosing the above Federal Roles to be among the Three Most Important.	Portion of State Foresters Specifying Most Important Reason (factor) (percent)
<ul style="list-style-type: none"> • Federal law or rule clearly directs the identified federal role. 58 [25] • Federal financial resources are abundant and available to accomplish the identified federal role. 16 [7] • Broad national and regional goals to be accomplished points to necessity of the identified federal role. 12 [5] • Long-term federal commitment exists to the importance of the identified federal role. 7 [3] • Federal agency specialized knowledge points to necessity of the identified federal role. 5 [2] • Support among national stakeholders is strong for the identified federal role. 2 [1] 	

Note: Considered for analyses were only those State Foresters(43) that selected at least one or more of the three federal roles selected as most important. Numbers in []s are number of respondents.

Appendix Table 8. Importance of Factors Determining Federal Agency Roles Involving Nonfederal Forests in the North, as Perceived by State Foresters. 2001.

Factor Determining a Federal Role	Importance of Factor (percent of respondents)				Single Most Important Factor
	Very Important	Somewhat Important	Little Importance	Not Important	
• Federal law or rule clearly directs a federal role	100	0	0	0	68
• Support among national stakeholders is strong for a federal role	16	68	5	11	5
• Federal employee interest in and support is high for a federal role	0	21	53	26	0
• Large and competent federal agency staff is available to help accomplish a federal role	5	32	53	10	0
• Federal financial resources are abundant and available to help accomplish a federal role	16	58	16	10	5
• Long-term federal commitment exists to the importance of a federal role (especially among agency leadership)	26	48	26	0	11
• National centers of political power and authority direct a federal role	5	42	48	5	0
• Federal agency knowledge of issues or specialized forest conditions points to the necessity of a federal role	16	68	16	0	0
• Broad national and regional goals to be accomplished points to the necessity of a federal role	32	47	21	0	11

Note: Region defined as CT, DL, IL, IN, IA, ME, MD, MA, MI, MN, MO, NH, NJ, NY, OH, PA, RI, VT, WV, WI (CT declined to participate).

Appendix Table 9. Importance of Factors Determining Federal Agency Roles Involving Nonfederal Forests in the South, as Perceived by State Foresters. 2001.

Factor Determining a Federal Role	Importance of Factor (percent of respondents)				Single Most Important Factor
	Very Important	Somewhat Important	Little Importance	Not Important	
• Federal law or rule clearly directs a federal role	61	31	8	0	54
• Support among national stakeholders is strong for a federal role	8	46	46	0	0
• Federal employee interest in and support is high for a federal role	0	15	70	15	0
• Large and competent federal agency staff is available to help accomplish a federal role	15	23	31	31	0
• Federal financial resources are abundant and available to help accomplish a federal role	54	23	15	8	23
• Long-term federal commitment exists to the importance of a federal role (especially among agency leadership)	31	31	31	7	0
• National centers of political power and authority direct a federal role	8	38	54	0	0
• Federal agency knowledge of issues or specialized forest conditions points to the necessity of a federal role	30	54	8	8	15
• Broad national and regional goals to be accomplished points to the necessity of a federal role	31	61	0	8	8

Note: Region defined as AL, AR, FL, GA, KT, LA, MS, NC, OK, SC, TN, TX, VA. Other factors suggested for determining a federal role include a state request for federal assistance.

Appendix Table 10. Importance of Factors Determining Federal Agency Roles Involving Nonfederal Forests in the West, as Perceived by State Foresters. 2001.

Factor Determining a Federal Role	Importance of Factor (percent of respondents)				Single Most Important Factor
	Very Important	Somewhat Important	Little Importance	Not Important	
• Federal law or rule clearly directs a federal role	82	18	0	0	47
• Support among national stakeholders is strong for a federal role	6	70	24	0	0
• Federal employee interest in and support is high for a federal role	12	12	41	35	0
• Large and competent federal agency staff is available to help accomplish a federal role	6	18	53	23	0
• Federal financial resources are abundant and available to help accomplish a federal role	12	65	17	6	23
• Long-term federal commitment exists to the importance of a federal role (especially among agency leadership)	35	47	12	6	12
• National centers of political power and authority direct a federal role	24	35	41	0	0
• Federal agency knowledge of issues or specialized forest conditions points to the necessity of a federal role	29	47	18	6	0
• Broad national and regional goals to be accomplished points to the necessity of a federal role	35	30	35	0	18

Note: Region defined as AK, AZ, CA, CO, HI, ID, KS, MT, NB, NV, NM, ND, OR, SD, UT, WA, WY.

Appendix Table 11. Federal-State Responsibilities for Achieving Program Outcomes in the **North** as Specified by USDA-Forest Service Action Strategy Plan for State and Private Forestry, as Perceived by State Foresters. 2001.

Desired Program Outcome for USDA-Forest Service <i>Action Strategy Plan for State and Private Forestry</i>	Degree of State or Federal Responsibility (percent of respondents)						
	Emphasize Federal Responsibility <----- Equal ----->				Emphasize State Responsibility		
	High	Modest	Low	Equal	Low	Modest	High
• Communities with Quality Life-Style Conditions (Enhance the economic and social well-being of human communities by strengthening their link to sustainably managed forest resources)	0	0	0	32	16	26	26
• Forested Watersheds Restored and Protected (Enhance the condition of all forested watersheds to provide for quality natural environments and human communities)	0	0	0	47	5	11	37
• Forests Sustainably Managed (Enhance the use, management and protection of nonfederal forests with focused technical and financial assistance)	0	0	5	53	0	16	26
• Forests Protected and Healthy (Enhance security of life, property and the forest environment from wildfire and non-native invasive species of plants and animals)	0	5	0	58	0	16	21
• Citizens Understand Forest Uses and Conditions (Enhance citizen education and understanding of forest conditions and the role forests can play in the quality of their lives)	0	0	0	58	0	10	32
• Urban Forest Conditions of High Quality (Enhance urban forest conditions to improve the quality of life for persons living in cities and towns)	0	0	0	47	11	16	26
• Sustainable Condition of Forests and Communities in an International Setting (Enhance worldwide forest conditions and their contributions to human and community well-being)	42	42	0	11	5	0	0

Note: Region defined as CT, DL, IL, IN, IA, ME, MD, MA, MI, MN, MO, NH, NJ, NY, OH, PA, RI, VT, WV, WI (CT declined to participate)

Appendix Table 12. Federal-State Responsibilities for Achieving Program Outcomes in the **South** as Specified by USDA-Forest Service Action Strategy Plan for State and Private Forestry, as Perceived by State Foresters. 2001.

Desired Program Outcome for USDA-Forest Service <i>Action Strategy Plan for State and Private Forestry</i>	Degree of State or Federal Responsibility (percent of respondents)						
	Emphasize Federal Responsibility <----- Equal ----->				Emphasize State Responsibility		
	High	Modest	Low	Equal	Low	Modest	High
• Communities with Quality Life-Style Conditions (Enhance the economic and social well-being of human communities by strengthening their link to sustainably managed forest resources)	0	8	8	22	8	31	23
• Forested Watersheds Restored and Protected (Enhance the condition of all forested watersheds to provide for quality natural environments and human communities)	0	0	0	31	0	15	54
• Forests Sustainably Managed (Enhance the use, management and protection of nonfederal forests with focused technical and financial assistance)	0	0	8	15	0	8	69
• Forests Protected and Healthy (Enhance security of life, property and the forest environment from wildfire and non-native invasive species of plants and animals)	0	8	0	38	0	8	46
• Citizens Understand Forest Uses and Conditions (Enhance citizen education and understanding of forest conditions and the role forests can play in the quality of their lives)	0	8	8	46	0	15	23
• Urban Forest Conditions of High Quality (Enhance urban forest conditions to improve the quality of life for persons living in cities and towns)	8	0	0	15	8	31	38
• Sustainable Condition of Forests and Communities in an International Setting (Enhance worldwide forest conditions and their contributions to human and community well-being)	38	15	31	8	0	8	0

Note: Region defined as AL, AR, FL, GA, KT, LA, MS, NC, OK, SC, TN, TX, VA.

Appendix Table 13. Federal-State Responsibilities for Achieving Program Outcomes in the **West** as Specified by USDA-Forest Service Action Strategy Plan for State and Private Forestry, as Perceived by State Foresters. 2001.

Desired Program Outcome for USDA-Forest Service <i>Action Strategy Plan for State and Private Forestry</i>	Degree of State or Federal Responsibility (percent of respondents)						
	Emphasize Federal Responsibility <----- Equal ----->				Emphasize State Responsibility		
	High	Modest	Low	Equal	Low	Modest	High
• Communities with Quality Life-Style Conditions (Enhance the economic and social well-being of human communities by strengthening their link to sustainably managed forest resources)	0	0	0	41	0	12	47
• Forested Watersheds Restored and Protected (Enhance the condition of all forested watersheds to provide for quality natural environments and human communities)	0	0	0	70	0	6	24
• Forests Sustainably Managed (Enhance the use, management and protection of nonfederal forests with focused technical and financial assistance)	0	0	0	35	0	12	53
• Forests Protected and Healthy (Enhance security of life, property and the forest environment from wildfire and non-native invasive species of plants and animals)	6	0	0	59	0	0	35
• Citizens Understand Forest Uses and Conditions (Enhance citizen education and understanding of forest conditions and the role forests can play in the quality of their lives)	0	0	0	59	6	12	23
• Urban Forest Conditions of High Quality (Enhance urban forest conditions to improve the quality of life for persons living in cities and towns)	0	0	0	24	0	24	52
• Sustainable Condition of Forests and Communities in an International Setting (Enhance worldwide forest conditions and their contributions to human and community well-being)	35	29	18	6	0	0	12

Note: Region defined as AK, AZ, CA, CO, HI, ID, KS, MT, NB, NV, NM, ND, OR, SD, UT, WA, WY.

Appendix Table 14. Criteria Used by Executives of State and Private Forestry USDA-Forest Service to Select Most Important Federal Agency Roles for Working with States on Matters Involving Nonfederal Forests. 2001.

<p>Lead Federal Roles. Three Most Important (identified by senior-level administrators) Federal Agency Roles for Working with States on Matters Involving Nonfederal Forests (not in rank Order): Foster Coordination among States; Provide Technical Advice; and Motivate States to Innovate and Embrace New and Up-to-date Goals and Programs.</p>	
<p>Selection Criteria. Most Important Reason (factor) Identified by Senior-level Administrators for Choosing the above Federal Roles to be among the Three Most Important.</p>	<p>Portion of Senior-level Administrators Specifying Most Important Reason (factor) (percent)</p>
<ul style="list-style-type: none"> • Federal law or rule clearly directs the identified federal role. • Broad national and regional goals to be accomplished points to necessity of the identified federal role. • Support among national stakeholders is strong for the identified federal role • Federal agency specialized knowledge points to necessity of the identified federal role. • Long-term federal commitment exists to the importance of the identified federal role. 	<p>50 [10]</p> <p>25 [5]</p> <p>10 [2]</p> <p>10 [2]</p> <p>5 [1]</p>

Note: Considered for analyses were only those senior-level administrators (20) that selected at least one or more of the three federal roles selected as most important. Number in []s is number of respondents.

Appendix Table 15. Importance of Administrative and Program Arrangements Used by Federal Agencies Working with States to Accomplish a Federal Role Involving Nonfederal Forests in the **North**, as Perceived by State Foresters. 2001.

Formal Federal Administrative Arrangement with States	Importance of Administrative Arrangement (percent of respondents)				Single Most Important Arrangement (percent)
	Very Important	Somewhat Important	Little Importance	Not Important	
• Provide direct financial support to states via grants or similar approaches	84	16	0	0	79
• Lend equipment (technical, mechanical) and material to states for short periods of time	10	53	32	5	0
• Serve, along with state delegates, on state committees and task forces	5	79	5	11	0
• Co-own equipment, facilities and property with states	5	11	63	21	0
• Establish federal agency program offices to which states can establish matching counterpart offices	5	21	53	21	5
• Give direction and mandates to which states must respond	0	11	42	47	0
• Actively participate in development of a state agency's long-term direction and plans	5	48	42	5	5
• Lend technical personnel to states for short periods of time	26	53	21	0	11
• Co-manage forest and related land with states	0	16	26	58	0
• Provide states with tangible goods (tree seedlings), products or equipment	5	47	37	11	0
• Partner with states to help resolve conflict among clients of state programs	5	37	53	5	0
• Join with states in judicial proceedings involving the interpretation of laws and rules	5	42	37	16	0

Note: Region defined as CT, DL, IL, IN, IA, ME, MD, MA, MI, MN, MO, NH, NJ, NY, OH, PA, RI, VT, WV, WI (CT declined to participate).

Appendix Table 16. Importance of Administrative and Program Arrangements Used by Federal Agencies Working with States to Accomplish a Federal Role Involving Nonfederal Forests in the **South**, as Perceived by State Foresters. 2001.

Formal Federal Administrative Arrangement with States	Importance of Administrative Arrangement (percent of respondents)				Single Most Important Arrangement (percent)
	Very Important	Somewhat Important	Little Importance	Not Important	
• Provide direct financial support to states via grants or similar approaches	92	8	0	0	84
• Lend equipment (technical, mechanical) and material to states for short periods of time	15	46	39	0	0
• Serve, along with state delegates, on state committees and task forces	15	46	31	8	0
• Co-own equipment, facilities and property with states	8	15	46	31	8
• Establish federal agency program offices to which states can establish matching counterpart offices	0	23	46	31	0
• Give direction and mandates to which states must respond	0	15	8	77	0
• Actively participate in development of a state agency's long-term direction and plans	8	38	31	23	0
• Lend technical personnel to states for short periods of time	38	31	23	8	0
• Co-manage forest and related land with states	0	15	54	31	0
• Provide states with tangible goods (tree seedlings), products or equipment	7	8	77	8	0
• Partner with states to help resolve conflict among clients of state programs	0	31	54	15	8
• Join with states in judicial proceedings involving the interpretation of laws and rules	0	31	46	23	0

Note: Region defined as AL, AR, FL, GA, KT, LA, MS, NC, OK, SC, TN, TX, VA.

Appendix Table 17. Importance of Administrative and Program Arrangements Used by Federal Agencies Working with States to Accomplish a Federal Role Involving Nonfederal Forests in the **West**, as Perceived by State Foresters. 2001.

Formal Federal Administrative Arrangement with States	Importance of Administrative Arrangement (percent of respondents)				Single Most Important Arrangement (percent)
	Very Important	Somewhat Important	Little Importance	Not Important	
• Provide direct financial support to states via grants or similar approaches	88	6	6	0	82
• Lend equipment (technical, mechanical) and material to states for short periods of time	12	41	41	6	12
• Serve, along with state delegates, on state committees and task forces	29	59	12	0	0
• Co-own equipment, facilities and property with states	6	12	65	17	0
• Establish federal agency program offices to which states can establish matching counterpart offices	0	18	53	29	0
• Give direction and mandates to which states must respond	12	12	29	47	0
• Actively participate in development of a state agency's long-term direction and plans	12	41	41	6	0
• Lend technical personnel to states for short periods of time	24	47	24	5	6
• Co-manage forest and related land with states	6	12	35	47	0
• Provide states with tangible goods (tree seedlings), products or equipment	12	23	53	12	0
• Partner with states to help resolve conflict among clients of state programs	12	41	35	12	0
• Join with states in judicial proceedings involving the interpretation of laws and rules	0	35	41	24	0

Note: Region defined as AK, AZ, CA, CO, HI, ID, KS, MT, NB, NV, NM, ND, OR, SD, UT, WA, WY.

Appendix Table 18. Importance of Factors Determining Administrative and Program Arrangements Used by Federal Agencies Working with States to Accomplish a Federal Role Involving Nonfederal Forests in the **North**, as Perceived by State Foresters. 2001.

Factor Determining Federal-State Working Relationship	Importance of Factor (percent of respondents)				Single Most Important Factor (percent)
	Very Important	Somewhat Important	Little Importance	Not Important	
• Few (or none) federal agency restrictions imposed by the working relationship (room for discretion, not overly prescriptive, accommodates local conditions)	68	21	11	0	32
• Desired outcomes can only be accomplished by this type of working relationship (most effective)	47	37	5	11	16
• Few (or none) federal agency reporting requirements expected by the working relationship	16	58	26	0	0
• Easy to understand and administer the working relationship	74	21	5	0	21
• Federal law or rule clearly requires use of the working relationship	42	37	21	0	0
• Support among national stakeholders is strong for use of the working relationship	32	54	16	0	0
• Federal employee interest and support is high for use of the working relationship	16	42	37	5	5
• Large and competent federal staff is available for implementing the working relationship	16	47	37	0	0
• Federal financial resources are abundant and available to implement the working relationship	37	58	5	0	10
• Long-term federal commitment exists to the working relationship (especially among agency leadership)	42	53	5	0	16
• National political centers of power and alliances direct use of the working relationship	11	36	42	11	0

Note: Region defined as CT, DL, IL, IN, IA, ME, MD, MA, MI, MN, MO, NH, NJ, NY, OH, PA, RI, VT, WV, WI (CT declined to participate).

Appendix Table 19. Importance of Factors Determining Administrative and Program Arrangements Used by Federal Agencies Working with States to Accomplish a Federal Role Involving Nonfederal Forests in the **South**, as Perceived by State Foresters. 2001.

Factor Determining Federal-State Working Relationship	Importance of Factor (percent of respondents)				Single Most Important Factor (percent)
	Very Important	Somewhat Important	Little Importance	Not Important	
• Few (or none) federal agency restrictions imposed by the working relationship (room for discretion, not overly prescriptive, accommodates local conditions)	62	38	0	0	31
• Desired outcomes can only be accomplished by this type of working relationship (most effective)	54	38	8	0	0
• Few (or none) federal agency reporting requirements expected by the working relationship	15	62	15	8	0
• Easy to understand and administer the working relationship	46	54	0	0	0
• Federal law or rule clearly requires use of the working relationship	46	31	15	8	15
• Support among national stakeholders is strong for use of the working relationship	8	54	23	15	0
• Federal employee interest and support is high for use of the working relationship	0	54	38	8	0
• Large and competent federal staff is available for implementing the working relationship	16	38	38	8	0
• Federal financial resources are abundant and available to implement the working relationship	61	31	8	0	39
• Long-term federal commitment exists to the working relationship (especially among agency leadership)	38	38	24	0	15
• National political centers of power and alliances direct use of the working relationship	8	53	31	8	0

Note: Region defined as AL, AR, FL, GA, KT, LA, MS, NC, OK, SC, TN, TX, VA.

Appendix Table 20. Importance of Factors Determining Administrative and Program Arrangements Used by Federal Agencies Working with States to Accomplish a Federal Role Involving Nonfederal Forests in the **West**, as Perceived by State Foresters. 2001.

Factor Determining Federal-State Working Relationship	Importance of Factor (percent of respondents)				Single Most Important Factor (percent)
	Very Important	Somewhat Important	Little Importance	Not Important	
• Few (or none) federal agency restrictions imposed by the working relationship (room for discretion, not overly prescriptive, accommodates local conditions)	82	12	6	0	23
• Desired outcomes can only be accomplished by this type of working relationship (most effective)	53	41	6	0	18
• Few (or none) federal agency reporting requirements expected by the working relationship	18	53	29	0	0
• Easy to understand and administer the working relationship	65	35	0	0	0
• Federal law or rule clearly requires use of the working relationship	53	41	6	0	29
• Support among national stakeholders is strong for use of the working relationship	12	59	29	0	0
• Federal employee interest and support is high for use of the working relationship	18	29	47	6	0
• Large and competent federal staff is available for implementing the working relationship	12	35	29	24	0
• Federal financial resources are abundant and available to implement the working relationship	41	47	0	12	12
• Long-term federal commitment exists to the working relationship (especially among agency leadership)	59	35	6	0	18
• National political centers of power and alliances direct use of the working relationship	18	47	35	0	0

Note: Region defined as AK, AZ, CA, CO, HI, ID, KS, MT, NB, NV, NM, ND, OR, SD, UT, WA, WY.

Appendix Table 21. Criteria Used by State Foresters to Select Most Important State-Federal Administrative and Program Arrangement Involving Nonfederal Forests. 2001.

<p>Lead Administrative Arrangements. Three most important (identified by state foresters) ways of effectively formalizing working relationships between federal and state agencies on matters involving nonfederal forests (in rank order): provide direct financial assistance via grants or similar approaches; lend technically proficient personnel to states for short periods of time; and lend equipment (technical, mechanical) to states for short periods of time.</p>	
<p>Selection Criteria. Most Important Reason (Factor) Identified by State Foresters for Choosing the above Arrangements for Formalizing Administrative Arrangements Between Federal and State Governments.</p>	<p>Portion of State Foresters Specifying Most Important Arrangement (percent)</p>
<ul style="list-style-type: none"> • Few (or none) federal agency restrictions imposed on the identified administrative arrangement (room for discretion, not overly prescriptive, accommodates local conditions). • Federal financial resources are abundant and available to implement the identified administrative arrangement. • Long-term federal commitment exists to the identified administrative arrangement (especially among agency leadership). • Federal law or rule clearly requires use of the identified administrative arrangement. • Desired outcomes can only be accomplished by the identified administrative arrangement (most effective approach). • Easy to understand and administer the identified administrative arrangement. • Federal employee interest and support is high for use of the administrative arrangement. 	<p>26 [12]</p> <p>20 [9]</p> <p>19 [8]</p> <p>13 [6]</p> <p>13 [6]</p> <p>9 [3]</p> <p>2 [1]</p>

Note: Considered for analyses were only those State Foresters (45) that selected one of the three most important formalized administrative arrangements. Number in []s is number of respondents.

Appendix Table 22. Importance of Financial-Monetary, Educational-Technical Assistance and Regulatory-Command Programs as Federal Agency Approaches to Accomplishing USDA-Forest Service Action Strategy Plan Outcomes for Nonfederal Forests in the **North**, as Perceived by State Foresters. 2001.

A. Financial-Monetary Programs Used to Accomplish the Following Outcomes . . .	Importance of Programs to Accomplish Outcomes (percent of respondents)			
	Very Important	Somewhat Important	Little Importance	No Importance
• Communities with Quality Life-Style Conditions	21	58	16	5
• Forested Watersheds Restored and Protected	63	32	5	0
• Forests Sustainably Managed	63	32	5	0
• Forests Protected and Healthy	69	26	5	0
• Citizens Understand Forest Uses and Conditions	32	47	21	0
• Urban Forest Conditions of High Quality	32	47	21	0
B. Educational-Technical Assistance Programs Used to Accomplish the Following Outcomes . . .	Importance of Programs to Accomplish Outcomes (percent of respondents)			
	Very Important	Somewhat Important	Little Importance	No Importance
• Communities with Quality Life-Style Conditions	32	42	16	10
• Forested Watersheds Restored and Protected	53	37	10	0
• Forests Sustainably Managed	47	47	0	6
• Forests Protected and Healthy	53	42	5	0
• Citizens Understand Forest Uses and Conditions	42	42	16	0
• Urban Forest Conditions of High Quality	32	58	10	0
C. Regulatory-Command Programs Used to Accomplish the Following Desired Outcomes . . .	Importance of Programs to Accomplish Outcomes (percent of respondents)			
	Very Important	Somewhat Important	Little Importance	No Importance
• Communities with Quality Life-Style Conditions	0	10	37	53
• Forested Watersheds Restored and Protected	5	37	32	26
• Forests Sustainably Managed	5	16	47	32
• Forests Protected and Healthy	10	16	37	37
• Citizens Understand Forest Uses and Conditions	0	5	32	63
• Urban Forest Conditions of High Quality	0	10	53	37

Note: Region defined as CT, DL, IL, IN, IA, ME, MD, MA, MI, MN, MO, NH, NJ, NY, OH, PA, RI, VT, WV, WI (CT declined to participate).

Appendix Table 23. Importance of Financial-Monetary, Educational-Technical Assistance and Regulatory-Command Programs as Federal Agency Approaches to Accomplishing USDA-Forest Service Action Strategy Plan Outcomes for Nonfederal Forests in the **South**, as Perceived by State Foresters. 2001.

A. Financial-Monetary Programs Used to Accomplish the Following Outcomes . . .	Importance of Programs to Accomplish Outcomes (percent of respondents)			
	Very Important	Somewhat Important	Little Importance	No Importance
• Communities with Quality Life-Style Conditions	31	46	23	0
• Forested Watersheds Restored and Protected	62	38	0	0
• Forests Sustainably Managed	54	46	0	0
• Forests Protected and Healthy	69	31	0	0
• Citizens Understand Forest Uses and Conditions	8	78	8	8
• Urban Forest Conditions of High Quality	38	54	8	0
B. Educational-Technical Assistance Programs Used to Accomplish the Following Outcomes . . .	Importance of Programs to Accomplish Outcomes (percent of respondents)			
	Very Important	Somewhat Important	Little Importance	No Importance
• Communities with Quality Life-Style Conditions	15	39	46	0
• Forested Watersheds Restored and Protected	31	61	8	0
• Forests Sustainably Managed	15	69	16	0
• Forests Protected and Healthy	46	39	15	0
• Citizens Understand Forest Uses and Conditions	31	31	31	7
• Urban Forest Conditions of High Quality	31	46	16	7
C. Regulatory-Command Programs Used to Accomplish the Following Desired Outcomes . . .	Importance of Programs to Accomplish Outcomes (percent of respondents)			
	Very Important	Somewhat Important	Little Importance	No Importance
• Communities with Quality Life-Style Conditions	0	8	38	54
• Forested Watersheds Restored and Protected	0	38	38	24
• Forests Sustainably Managed	0	15	54	31
• Forests Protected and Healthy	15	31	31	23
• Citizens Understand Forest Uses and Conditions	0	15	31	54
• Urban Forest Conditions of High Quality	0	23	31	46

Note: Region defined as AL, AR, FL, GA, KT, LA, MS, NC, OK, SC, TN, TX, VA.

Appendix Table 24. Importance of Financial-Monetary, Educational-Technical Assistance and Regulatory-Command Programs as Federal Agency Approaches to Accomplishing USDA-Forest Service Action Strategy Plan Outcomes for Nonfederal Forests in the **West**, as Perceived by State Foresters. 2001.

A. Financial-Monetary Programs Used to Accomplish the Following Outcomes . . .	Importance of Programs to Accomplish Outcomes (percent of respondents)			
	Very Important	Somewhat Important	Little Importance	No Importance
• Communities with Quality Life-Style Conditions	59	23	12	6
• Forested Watersheds Restored and Protected	76	18	0	6
• Forests Sustainably Managed	70	12	12	6
• Forests Protected and Healthy	82	12	0	6
• Citizens Understand Forest Uses and Conditions	35	47	12	6
• Urban Forest Conditions of High Quality	76	12	6	6
B. Educational-Technical Assistance Programs Used to Accomplish the Following Outcomes . . .	Importance of Programs to Accomplish Outcomes (percent of respondents)			
	Very Important	Somewhat Important	Little Importance	No Importance
• Communities with Quality Life-Style Conditions	29	47	18	6
• Forested Watersheds Restored and Protected	35	47	12	6
• Forests Sustainably Managed	47	35	12	6
• Forests Protected and Healthy	53	35	6	6
• Citizens Understand Forest Uses and Conditions	47	35	12	6
• Urban Forest Conditions of High Quality	47	23	24	6
C. Regulatory-Command Programs Used to Accomplish the Following Desired Outcomes . . .	Importance of Programs to Accomplish Outcomes (percent of respondents)			
	Very Important	Somewhat Important	Little Importance	No Importance
• Communities with Quality Life-Style Conditions	0	6	35	59
• Forested Watersheds Restored and Protected	0	41	30	29
• Forests Sustainably Managed	0	18	53	29
• Forests Protected and Healthy	0	29	47	24
• Citizens Understand Forest Uses and Conditions	0	12	35	53
• Urban Forest Conditions of High Quality	0	18	41	41

Note: Region defined as AK, AZ, CA, CO, HI, ID, KS, MT, NB, NV, NM, ND, OR, SD, UT, WA, WY.

Appendix Table 25. Criteria Used by Executives of State and Private Forestry USDA-Forest Service to Select Most Important State-Federal Administrative and Program Arrangement Involving Nonfederal Forests. 2001.

<p>Lead Administrative Arrangements. Three most important (identified by senior-level administrators) ways of effectively formalizing working relationships between federal and state agencies on matters involving nonfederal forests (in rank order): provide direct financial assistance via grants or similar approaches; lend technically proficient personnel to states for short periods of time; and lend equipment (technical, mechanical) to states for short periods of time.</p>	
<p>Selection Criteria. Most Important Reason (Factor) Identified by Senior-level Administrators for Choosing the above Arrangements for Formalizing Administrative Arrangements Between Federal and State Governments.</p>	<p>Portion of Senior-level Administrators Specifying Most Important Arrangement (percent)</p>
<ul style="list-style-type: none"> • Desired outcomes can only be accomplished by the identified administrative arrangement (most effective approach). 50 [7] • Long-term federal commitment exists to the identified administrative arrangement (especially among agency leadership). 22 [3] • Federal financial resources are abundant and available to implement the identified administrative arrangement. 14 [2] • Few (or none) federal agency restrictions imposed on the identified administrative arrangement (room for discretion, not overly prescriptive, accommodates local conditions). 7 [1] • Support among national stakeholders is strong for use of working relationship. 7 [1] 	

Note: Considered for analyses were only those senior-level administrators (14) that selected one of the three most important formalized administrative arrangements. Number in []s is number of respondents.

Appendix Table 26. General Condition of State-Federal Roles and Administrative Relationships Involving Nonfederal Forests in the **North**, as Perceived by State Foresters. 2001.

<p>• Affect of Current Federal Roles and Working Relationships on Overall Working Relationships Between Federal and State Governments on Matters Involving Nonfederal Forests (percent of respondents) . . .</p> <p>5 Percent ---- Isolation (federal and state agencies are becoming detached; “go it alone”) 5 Percent ---- Competitive (federal and state agencies are becoming rivals; “vie for turf and influence”) 68 Percent ---- Cooperative (federal agencies are becoming more collaborative; “work together”) 22 Percent ---- Neutral (no federal affect on fundamental federal-state relations)</p>
<p>• Affect of Current Federal Roles and Working Relationships on State Initiatives (new or modified policies and programs) Involving Nonfederal Forests (percent of respondents) . . .</p> <p>27 Percent ---- Stimulating new state policies and programs 68 Percent ---- Adding to (complementing) existing state policies and programs 0 Percent ---- Substituting for existing state policies and programs 5 Percent ---- No affect on existing state policies and programs</p>
<p>• Affect of Current Federal Roles and Working Relationships on State Agendas and Decision-making Involving Nonfederal Forests (percent of respondents) . . .</p> <p>16 Percent ---- State government is giving more (or less) attention to nonfederal forests 11 Percent ---- Changes in who in state government makes decisions affecting nonfederal forests 26 Percent ---- Shifts in groups or organizations influencing state decisions affecting nonfederal forests 47 Percent ---- No change occurring in agendas, decision making or group influence</p>
<p>• Perception of How State Forestry Agency Is Working with Counterpart Units in Federal or State Agencies Involving Nonfederal Forests (percent of respondents) . . .</p> <p>42 Percent ---- Very well 58 Percent ---- Moderately well 0 Percent ---- Poorly 0 Percent ---- Not well at all</p>

Note: Region defined as CT, DL, IL, IN, IA, ME, MD, MA, MI, MN, MO, NH, NJ, NY, OH, PA, RI, VT, WV, WI (CT declined to participate).

Appendix Table 27. General Condition of State-Federal Roles and Administrative Relationships Involving Nonfederal Forests in the **South**, as Perceived by State Foresters. 2001.

<p>• Affect of Current Federal Roles and Working Relationships on Overall Working Relationships Between Federal and State Governments on Matters Involving Nonfederal Forests (percent of respondents) . . .</p> <p>8 Percent ---- Isolation (federal and state agencies are becoming detached; “go it alone”) 0 Percent ---- Competitive (federal and state agencies are becoming rivals; “vie for turf and influence”) 77 Percent ---- Cooperative (federal agencies are becoming more collaborative; “work together”) 15 Percent ---- Neutral (no federal affect on fundamental federal-state relations)</p>
<p>• Affect of Current Federal Roles and Working Relationships on State Initiatives (new or modified policies and programs) Involving Nonfederal Forests (percent of respondents) . . .</p> <p>15 Percent ---- Stimulating new state policies and programs 62 Percent ---- Adding to (complementing) existing state policies and programs 8 Percent ---- Substituting for existing state policies and programs 15 Percent ---- No affect on existing state policies and programs</p>
<p>• Affect of Current Federal Roles and Working Relationships on State Agendas and Decision-making Involving Nonfederal Forests (percent of respondents) . . .</p> <p>46 Percent ---- State government is giving more (or less) attention to nonfederal forests 0 Percent ---- Changes in who in state government makes decisions affecting nonfederal forests 31 Percent ---- Shifts in groups or organizations influencing state decisions affecting nonfederal forests 23 Percent ---- No change occurring in agendas, decision making or group influence</p>
<p>• Perception of How State Forestry Agency Is Working with Counterpart Units in Federal or State Agencies Involving Nonfederal Forests (percent of respondents) . . .</p> <p>54 Percent ---- Very well 38 Percent ---- Moderately well 8 Percent ---- Poorly 0 Percent ---- Not well at all</p>

Note: Region defined as AL, AR, FL, GA, KT, LA, MS, NC, OK, SC, TN, TX, VA.

Appendix Table 28. General Condition of State-Federal Roles and Administrative Relationships Involving Nonfederal Forests in the **West**, as Perceived by State Foresters. 2001.

<p>• Affect of Federal Roles and Working Relationships on Overall Relationship Between Federal and State Governments on Matters Involving Nonfederal Forests (percent of respondents) . . .</p> <p>6 Percent ---- Isolation (federal and state agencies are becoming detached; “go it alone”) 12 Percent ---- Competitive (federal and state agencies are becoming rivals; “vie for turf and influence”) 76 Percent ---- Cooperative (federal agencies are becoming more collaborative; “work together”) 6 Percent ---- Neutral (no federal affect on fundamental federal-state relations)</p>
<p>• Affect of Current Federal Roles and Working Relationships on State Initiatives (new or modified policies and programs) Involving Nonfederal Forests (percent of respondents) . . .</p> <p>6 Percent ---- Stimulating new state policies and programs 58 Percent ---- Adding to (complementing) existing state policies and programs 18 Percent ---- Substituting for existing state policies and programs 18 Percent ---- No affect on existing state policies and programs</p>
<p>• Affect of Current Federal Roles and Working Relationships on State Agendas and Decision-making Involving Nonfederal Forests (percent of respondents) . . .</p> <p>24 Percent ---- State government is giving more (or less) attention to nonfederal forests 0 Percent ---- Changes in who in state government makes decisions affecting nonfederal forests 23 Percent ---- Shifts in groups or organizations influencing state decisions affecting nonfederal forests 53 Percent ---- No change occurring in agendas, decision making or group influence</p>
<p>• Perception of How State Forestry Agency Is Working with Counterpart Units in Federal or State Agencies Involving Nonfederal Forests (percent of respondents) . . .</p> <p>18 Percent ---- Very well 76 Percent ---- Moderately well 6 Percent ---- Poorly 0 Percent ---- Not well at all</p>

Note: Region defined as AK, AZ, CA, CO, HI, ID, KS, MT, NB, NV, NM, ND, OR, SD, UT, WA, WY.

Appendix Table 29. Effectiveness of Current State-Federal Administrative and Program Arrangements for Accomplishing Desired Outcomes Involving Nonfederal Forests in the **North**, as Perceived by State Foresters. 2001.

Desired Outcome or Result of Federal-State Working Relationship	Effectiveness Federal-State Relationship in Accomplishing Desired Outcome (percent of respondents)			
	Very Effective	Somewhat Effective	Little Effectiveness	Not Effective
• Acquiring adequate resources and ensuring their stability (funds, staff)	21	68	11	0
• Engaging client groups and encouraging citizen participation in program design and implementation	0	42	58	0
• Encouraging innovation in type and application of programs	10	53	37	0
• Facilitating quick action necessary to capture new and important opportunities	5	32	58	5
• Managing conflict and reducing tension in program design and implementation	0	48	47	5

Note: Region defined as CT, DL, IL, IN, IA, ME, MD, MA, MI, MN, MO, NH, NJ, NY, OH, PA, RI, VT, WV, WI (CT declined to participate). Other suggested desired outcomes or results include federal guidance on state issues.

Appendix Table 30. Effectiveness of Current State-Federal Administrative and Program Arrangements for Accomplishing Desired Outcomes Involving Nonfederal Forests in the **South**, as Perceived by State Foresters. 2001.

Desired Outcome or Result of Federal-State Working Relationship	Effectiveness Federal-State Relationship in Accomplishing Desired Outcome (percent of respondents)			
	Very Effective	Somewhat Effective	Little Effectiveness	Not Effective
• Acquiring adequate resources and ensuring their stability (funds, staff)	15	70	15	0
• Engaging client groups and encouraging citizen participation in program design and implementation	8	23	61	8
• Encouraging innovation in type and application of programs	15	31	46	8
• Facilitating quick action necessary to capture new and important opportunities	15	31	39	15
• Managing conflict and reducing tension in program design and implementation	0	31	61	8

Note: Region defined as AL, AR, FL, GA, KT, LA, MS, NC, OK, SC, TN, TX, VA.

Appendix Table 31. Effectiveness of Current State-Federal Administrative and Program Arrangements for Accomplishing Desired Outcomes Involving Nonfederal Forests in the **West**, as Perceived by State Foresters. 2001.

Desired Outcome or Result of Federal-State Working Relationship	Effectiveness Federal-State Relationship in Accomplishing Desired Outcome (percent of respondents)			
	Very Effective	Somewhat Effective	Little Effectiveness	Not Effective
• Acquiring adequate resources and ensuring their stability (funds, staff)	17	65	12	6
• Engaging client groups and encouraging citizen participation in program design and implementation	9	44	41	6
• Encouraging innovation in type and application of programs	6	47	41	6
• Facilitating quick action necessary to capture new and important opportunities	6	41	41	12
• Managing conflict and reducing tension in program design and implementation	6	29	41	24

Note: Region defined as AK, AZ, CA, CO, HI, ID, KS, MT, NB, NV, NM, ND, OR, SD, UT, WA, WY.

Appendix Table 32. Factors Deterring Effective State-Federal Administrative and Program Arrangements as Specified by State Foresters that Consider Current Arrangements to have Little or No Effect in Accomplishing Desired Outcomes Involving Nonfederal Forests. 2001.

<i>Desired Outcome.</i> Current Federal-State Working Relationships are Viewed as having Little Effect or Not Effective in Accomplishing the Following Desired Outcomes	Portion of Categories (Little or Not Effective) Specified by State Foresters (percent)
<ul style="list-style-type: none"> • Managing conflict and reducing tension in program design and implementation • Engaging client groups and encouraging citizen participation in program design and implementation • Facilitating quick action necessary to capture new and important opportunities • Encouraging innovation in type and application of programs • Acquiring adequate resources and ensuring their stability (funds, staff) 	<p style="text-align: right;">61 [30]</p> <p style="text-align: right;">58 [29]</p> <p style="text-align: right;">57 [28]</p> <p style="text-align: right;">45 [22]</p> <p style="text-align: right;">14 [7]</p>
<i>Deterrent to Effectiveness.</i> Effectiveness of Current Federal-State Working Relationships is Deterred in a Very or Somewhat Important Manner by the Following	Portion of Categories (Very or Somewhat Important) Specified by State Foresters (percent)
<ul style="list-style-type: none"> • Complex and cumbersome procedures involving program administration (approvals, hiring, reporting) • Inadequate resources (funding, staff) to accomplish desired outcomes • Absence of an overall shared federal-state vision for nonfederal forests • Lack of trust and confidence between federal and state agencies • Excessive state agency reliance on federal assistance (state reluctance to lead and to invest) • Lack of clearly defined federal and state roles involving nonfederal forests • Unhealthy competition between federal and state programs (conflict over program turf) • Apathy toward innovation in program design and implementation (traditional conservative style of administration) 	<p style="text-align: right;">90 [44]</p> <p style="text-align: right;">80 [39]</p> <p style="text-align: right;">61 [30]</p> <p style="text-align: right;">57 [28]</p> <p style="text-align: right;">57 [28]</p> <p style="text-align: right;">51 [25]</p> <p style="text-align: right;">51 [25]</p> <p style="text-align: right;">39 [19]</p>

Note: Considered for analyses were only those State Foresters that selected little or no effectiveness for specified desired outcomes. Only those doing so were subsequently included in information describing frequency of major deterring factors. Number in []s is number of state foresters identifying desired outcome and deterrent to effectiveness. State foresters were asked to judge more than one desired outcome and deterrent to effectiveness.

Appendix Table 33. Importance of Factors Deterring Effective State-Federal Administrative and Program Arrangements Involving Nonfederal Forests in the **North**, as Perceived by State Foresters. 2001.

Major Factor Deterring Effective Federal-State Working Relationships	Importance of Major Deterring Factor (percent of respondents)			
	Very Important	Somewhat Important	Little Importance	Not Important
• Absence of an overall shared federal-state vision for nonfederal forests	10	53	32	5
• Lack of clearly defined federal and state roles involving nonfederal forests	16	32	42	10
• Lack of trust and confidence between federal and state agencies	5	58	21	16
• Unhealthy competition between federal and state programs (conflict over program turf)	21	26	32	21
• Excessive state agency reliance on federal assistance (state reluctance to lead and to invest)	32	42	26	0
• Apathy toward innovation in program design and implementation (traditional conservative style of administration)	16	32	42	10
• Complex and cumbersome procedures involving program administration (approvals, hiring, reporting)	42	47	11	0
• Inadequate resources (funding, staff) to accomplish desired outcomes	47	47	6	0

Note: Region defined as CT, DL, IL, IN, IA, ME, MD, MA, MI, MN, MO, NH, NJ, NY, OH, PA, RI, VT, WV, WI (CT declined to participate).

Appendix Table 34. Importance of Factors Deterring Effective State-Federal Administrative and Program Arrangements Involving Nonfederal Forests in the **South**, as Perceived by State Foresters. 2001

Major Factor Deterring Effective Federal-State Working Relationships	Importance of Major Deterring Factor (percent of respondents)			
	Very Important	Somewhat Important	Little Importance	Not Important
• Absence of an overall shared federal-state vision for nonfederal forests	15	23	62	0
• Lack of clearly defined federal and state roles involving nonfederal forests	23	31	38	8
• Lack of trust and confidence between federal and state agencies	15	31	54	0
• Unhealthy competition between federal and state programs (conflict over program turf)	23	31	31	15
• Excessive state agency reliance on federal assistance (state reluctance to lead and to invest)	8	31	53	8
• Apathy toward innovation in program design and implementation (traditional conservative style of administration)	15	23	62	0
• Complex and cumbersome procedures involving program administration (approvals, hiring, reporting)	46	31	23	0
• Inadequate resources (funding, staff) to accomplish desired outcomes	69	31	0	0

Note: Region defined as AL, AR, FL, GA, KT, LA, MS, NC, OK, SC, TN, TX, VA.

Appendix Table 35. Importance of Factors Deterring Effective State-Federal Administrative and Program Arrangements Involving Nonfederal Forests in the West, as Perceived by State Foresters. 2001.

Major Factor Deterring Effective Federal-State Working Relationships	Importance of Major Deterring Factor (percent of respondents)			
	Very Important	Somewhat Important	Little Importance	Not Important
• Absence of an overall shared federal-state vision for nonfederal forests	47	29	18	6
• Lack of clearly defined federal and state roles involving nonfederal forests	18	41	29	12
• Lack of trust and confidence between federal and state agencies	18	41	35	6
• Unhealthy competition between federal and state programs (conflict over program turf)	18	35	35	12
• Excessive state agency reliance on federal assistance (state reluctance to lead and to invest)	6	47	29	18
• Apathy toward innovation in program design and implementation (traditional conservative style of administration)	12	29	41	18
• Complex and cumbersome procedures involving program administration (approvals, hiring, reporting)	29	47	24	0
• Inadequate resources (funding, staff) to accomplish desired outcomes	41	35	24	0

Note: Region defined as AK, AZ, CA, CO, HI, ID, KS, MT, NB, NV, NM, ND, OR, SD, UT, WA, WY. Other major deterring factors suggested include state-federal program inconsistency.

Appendix Table 36. Factors Deterring Effective State-Federal Administrative and Program Arrangements as Specified by Federal Agency Executives that Consider Current Arrangements to have Little or No Effect in Accomplishing Desired Outcomes Involving Nonfederal Forests. 2001.

<i>Desired Outcome.</i> Current Federal-State Working Relationships are Viewed as having Little Effect or Not Effective in Accomplishing the Following Desired Outcomes	Portion of Categories (Little or Not Effective) Specified by Senior-Level Administrators (percent)
<ul style="list-style-type: none"> • Facilitating quick action necessary to capture new and important opportunities • Managing conflict and reducing tension in program design and implementation • Encouraging innovation in type and application of programs • Engaging client groups and encouraging citizen participation in program design and implementation • Acquiring adequate resources and ensuring their stability (funds, staff) 	<p style="text-align: right;">28 [7] 20 [5] 16 [3] 12 [3] 8 [2]</p>
<i>Deterrent to Effectiveness.</i> Effectiveness of Current Federal-State Working Relationships is Deterred in a Very or Somewhat Important Manner by the Following	Portion of Categories (very or somewhat important) Specified by Senior-Level Administrators (percent)
<ul style="list-style-type: none"> • Inadequate resources (funding, staff) to accomplish desired outcomes • Complex and cumbersome procedures involving program administration (approvals, hiring, reporting) • Lack of trust and confidence between federal and state agencies • Absence of an overall shared federal-state vision for nonfederal forests • Lack of clearly defined federal and state roles involving nonfederal forests • Unhealthy competition between federal and state programs (conflict over program turf) • Excessive state agency reliance on federal assistance (state reluctance to lead and to invest) • Apathy toward innovation in program design and implementation (traditional conservative style of administration) 	<p style="text-align: right;">34 [9] 19 [5] 15 [4] 8 [2] 8 [2] 8 [2] 4 [1] 4 [1]</p>

Note: Considered for analyses were only those senior-level administrators that selected little or no effectiveness for specified desired outcomes. Only those doing so were subsequently included in information describing frequency of major deterring factors. Number in []s is number of respondents identifying desired outcome and deterrent to effectiveness. Senior-level executives were asked to judge more than one desired outcome and deterrent to effectiveness.