

This PDF includes a chapter from the following book:

# **Learning in Governance**

## **Climate Policy Integration in the European Union**

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## Appendix 1: Codebook for Data Analysis

## Key Concepts and Aspects of Learning

Code	Definition	Inclusion Criteria	Exclusion Criteria	Examples	Corresponds to Learning Type
Receive information	Be provided with input in terms of additional information, awareness of this specific knowledge, received in written or spoken form	Reference to being provided with policy relevant information	Not be provided with information; relying on own knowledge base	"We were given studies by stakeholders"; "Someone/experts pointed towards evidence for . . ."	Prerequisite for any learning
Reflection	Think about the input, actively engage with it and critically examine its relevance/value	Engage with information and think about it	Receive information without further engaging with it/thinking about it	"I thought about it"; "It came to my attention"; "I looked into the issue"	Prerequisite for any learning
Change	Difference in amount of knowledge, experience or altered beliefs/values between time $t_1$ and time $t_2$	Any increase or decrease in knowledge/experience or belief different from the status quo at time $t_1$	Same as at previous time (time $t_1$ )	"I worked on the issue over ten years"; "We received new studies proving the contrary, that changed our perspective"	Prerequisite for any learning
Individual level	One person or a small group of people working in a team within one organizational unit	Interviewee; Immediate colleagues of the interviewee that they worked closely with	Overall organizational objective, communication that involves a large number of people across different organizations with different objectives; the wider society involving the media/public opinion	"This new data really changed my opinion on the climate performance of biofuels"; "Me and my colleagues in Unit A.2/in DG Climate Action . . ."	Any learning type

Organizational level	Policymaking that involves different directorate generals of the European Commission (EC), or policymaking between the EC and the Parliament/ European Council	Overall organizational objective, communication that involves a large number of people across different organizations with different objectives	Interviewee; Immediate colleagues of the interviewee that they worked closely together with; the wider society involving the media/public opinion	“The Commission pushes for a xyz target”; “There was a fight between DG Energy and DG Environment on the model used for biofuel life-cycle analysis”	Any learning type
Sociopolitical landscape	Stakeholder in the wider society, outside the immediate policymaking arena such as media, voters, politicians, in local/state/national parliaments, nongovernmental organizations, overall civil society and ordinary citizens, the policymakers’ perception of the public mood and demands	Policymaker’s proxies to determine preferences of the wider society involving the media/public opinion, frequently over longer time span (e.g. opinion polls, submissions to public consultations)	Interviewee; Immediate colleagues of the interviewee that they worked closely with; overall organizational objective, communication that involves a large number of people across different organizations with different objectives	“Everybody was moving in the same direction”; “The public support for renewable energies was overwhelming”; “People came to realize the importance of acting on climate change”; “There is an overall demand in society that public money helps provide public goods”	Any learning type
Factual learning	Reflection on new information and subsequent change in knowledge compared to status quo	References to knowledge, information, studies, evidence, and other factors, and that actors reflected upon the input and remember it	Increase in experience, no reflection on or change in knowledge about issue, also due to an already existing, very high level of individual expertise	“We incorporated the emerging evidence on the uneven greenhouse gas performance of biofuels into our policy proposal”	

(continued)

Key Concepts and Aspects of Learning (continued)

Code	Definition	Inclusion Criteria	Exclusion Criteria	Examples	Corresponds to Learning Type
Experiential learning	Reflection on experience related to policymaking and subsequent increase in experience (usually working experience)	References to working on a policy proposal over a certain time span; reflection on experience with conclusion not to modify behavior in future	References to knowledge/facts/ studies or changes in underlying beliefs	<p>“Through working on the RED I had a crash-course on renewable energies”;</p> <p>“By contributing to the work of the agricultural committee in the Parliament I gained much experience”; “The Parliament is involved in co-decision-making on the Common Agricultural Policy for the first time and gaining a great deal in experience”</p>	
Constructivist learning	Changes in underlying beliefs, values, how people see an issue/ regard it as important, prompted by reflection on an increase in knowledge or working experience on the issue	References to changed opinions, how people saw the issue, higher regard for the issue, shifts in the value or belief system	The person/ organization already held the belief that acting upon the issue is important before being involved with the specific policy proposal	<p>“Al Gore’s movie put the problem of climate change in the public’s mind, people came to understand that it is important to act on climate change”;</p> <p>“I refined my belief that all biofuels are good”</p>	

Learning  
(reflection on input and subsequent change)

Code	Definition	Inclusion Criteria	Exclusion Criteria	Examples	Corresponds to Learning Type
Knowledge	Input to policymaking by external sources via information provision; <i>frequently meant by interviewees when they use the word "learning"</i>	References to information; component of factual learning	References to activities or time spent working on a specific issue or to how they saw/interpreted the issue	"Scientific studies"; "Expertise"; "Research findings"; "Evidence"	Factual learning
Experience	Active engagement with policy issue area by working on it	References to activities or time spent working on a specific issue; component of experiential learning	References to information or to how they saw/interpreted the issue based on their values/attitudes	"Working experience"; "Through working on the RED, I had a crash course on renewable energies"	Experiential learning
Underlying beliefs	Point of view held by individual, institution or society that also reflects their values and frame of mind regarding an issue; normative judgments regarding a potentially contested issue	References to how people/ organization/ society also saw an issue through their lens of previous attitudes and values; component of constructivist	References to activities or time spent working on a specific issue or in response to specific information	"I really believe that renewable energies are a good thing/the right solution to pursue"; "It is important to consider the carbon footprint of an energy source"; "We must also consider public goods such as the environment"	Constructivist learning

(continued)

Alternative Explanation  
(reflection on input, but no change) (continued)

Code	Definition	Inclusion Criteria	Exclusion Criteria	Examples	Corresponds to Learning Type
Political interests	Normative point of view regarding an issue based on preferences of interest groups (political parties, business, powerful individuals)	Reference to politics, political level, politicians, organizational objectives that are influenced by special-interest groups	References to scientific evidence, public good/res publica, but also pure bargaining as a regular part of the negotiation/ decision-making process	"I defend my organization's/superior's political interests"; "They made a deal with X to get their agreement on another issue"; "Politicians pushed through their parties' interests" Alternative explanation	
Following orders	Receiving an order from a superior/ organization with legal power to give orders, carrying out this order regardless of personal/ organizational objectives	Reference to demands from Parliament/Council, Commissioners, politicians in EU member states that were carried out/policies developed in response	Reference to autonomous decisions taken within the individual's unit, policy entrepreneurial activities, persuading superiors, taking ownership/leadership in policy development	"The European Council tasked us with the development of a directive"; "The Commissioner asked our DG to formulate a proposal"	Alternative explanation
Institutional process of policymaking	<ul style="list-style-type: none"> <li>• Comitology</li> <li>• Interservice consultations</li> <li>• Informal communication</li> </ul>	Description of formal and informal policymaking procedures, information exchange in regular meetings, institutional culture of information exchange, gathering information and developing proposals	References to exceptions from procedure or strong individual input into the decision-making process	"This is how policy is made in the EU"; "This process is being repeated every x years"; "This is how the policymaking process works"	Alternative explanation

Negotiation/ bargaining	<p>Policymakers represent different positions on an issue trying to come to an agreement that is as close to their negotiation optimum as possible, but at least within their negotiation mandate</p> <p>References to representing the interests of an organization in a negotiation setting that match not necessarily with the interviewee's/negotiator's personal point of view</p>	<p>References to negotiation settings, exchange of positions carried out between the European Commission and the Parliament/ Council, among member states and MEPs</p>	<p>"We have a negotiation mandate that we have to represent"; "It was clear that the member-states would never agree to this"; "We made a deal to get them to agree to our proposal"</p>	<p>Alternative explanation</p>	
Lobbying	<p>Following the proposals made by/ input provided by nonnational interest groups</p> <p>References to input provided by businesses and nongovernmental organizations that was taken on by decision-makers; amendments provided by interest groups to MEPs</p>	<p>References to development of a policy based on scientific evidence or previous policies; policy was developed independent of interest group involvement</p>	<p>"We [special interest group] provide our input to the decision makers at meetings and conferences"; "MEPs take on our proposals, modify them, and introduce them as amendments"</p>	<p>Alternative explanation</p>	
Nonlearning (no reflection on input, no change)					
Code	Definition	Inclusion Criteria	Exclusion Criteria	Examples	Corresponds to Learning Type
Defensive avoidance	<p>Not wanting to deal with the issue; ignoring evidence; avoiding losing face by acknowledging mistakes</p>	<p>Reference to mistakes from a normative point of view, but carrying on with business as usual</p>	<p>Remarks that the key actors reflected on the issue but decided not to pursue it for other reasons</p>	<p>"They just ignore all the evidence, bury it, they don't want to reflect on it as they would realize that they were wrong"</p>	<p>Nonlearning</p>

(continued)



Nonlearning  
(no reflection on input, no change) (continued)

Code	Definition	Inclusion Criteria	Exclusion Criteria	Examples	Corresponds to Learning Type
Group think	Group of actors lives in their own "bubble" and acts according to their view of the world, avoid to acknowledge/ignore any mismatch between their view and external factors (e.g., laws, social norms)	References to being detached from so-called real people, living in the "Brussels bubble" without knowing the situation in the member states	Remarks that demonstrate awareness of other stakeholders' points of view and the situation of the people affected by the policy	"I don't think policymakers in Brussels know how disastrous their policy will be for farmers"; "Everyone in my network thought this was a great idea to pursue, but it turned out to have negative consequences"	Nonlearning
External constraints	Lack of time due to high workload/ overload	References to material or temporal constraints	Remarks indicating that lack of resources/ time/personnel is not a hindering factor	"I would like to read all studies and think about them, but as MEP I don't have the time as my day only has 24 h"	Nonlearning

Conditioning Factors  
with positive/negative effect on learning types

Code	Definition	Inclusion Criteria	Exclusion Criteria	Examples	Corresponds to Learning Type
Academic background	Education of the individual	References to education or academic training in a certain discipline	References to working experience	"I have a PhD in agricultural economics"; "I am a mechanical engineer by training"	Any learning type
Working experience on topic	Individual has worked on the policy area for a certain amount of time	References to duration of specific work experience in the policy field	References to education and training	"I worked on agricultural policy for 15 years"	Any learning type

Leadership style of superior	Approach of individual of higher rank than the interviewee to managing and steering the team	References to the way the superior communicates with the team, the use of adjectives to describe leadership style	References to education or background of the superior	“My head of unit is very supportive; he encourages us to share our knowledge on the issue”; “My boss creates a competitive atmosphere”	Any learning type
Network to other actors	Regular contact with other relevant actors and exchange about key issues of concern	References to regular meetings/ communication, knowing each other, informal sharing of information/ experience	References to isolation from other actors engaged in policymaking, independent work	We have regular meetings with colleagues from other DGs to coordinate”; “We negotiate regularly and I know my counterpart well”	Any learning type
Policy entrepreneur	Individual that is proactive, takes on relevant position, tries to convince other actors of new evidence	Reference to an individual that is personally convinced that the policy is the right thing to do and actively promotes perspective	Reference to institutional machinery or no special role of individuals in the development of policy	“She really believes in what she does”; “She is very persuasive and pushes the proposal through the committee”	Any learning type
Institutional capacity	Ability of institution to adequately address the policy problem, not prohibitively constrained by time or resources (i.e., personnel, monetary, goods)	References to resources such as personnel, budget, time to develop/ review policies and form a position	References to individual capacities (e.g., in terms of knowledge or experience)	“The budget is very limited; thus we cannot pay for external advisors, studies, or consultants”	Any learning type

