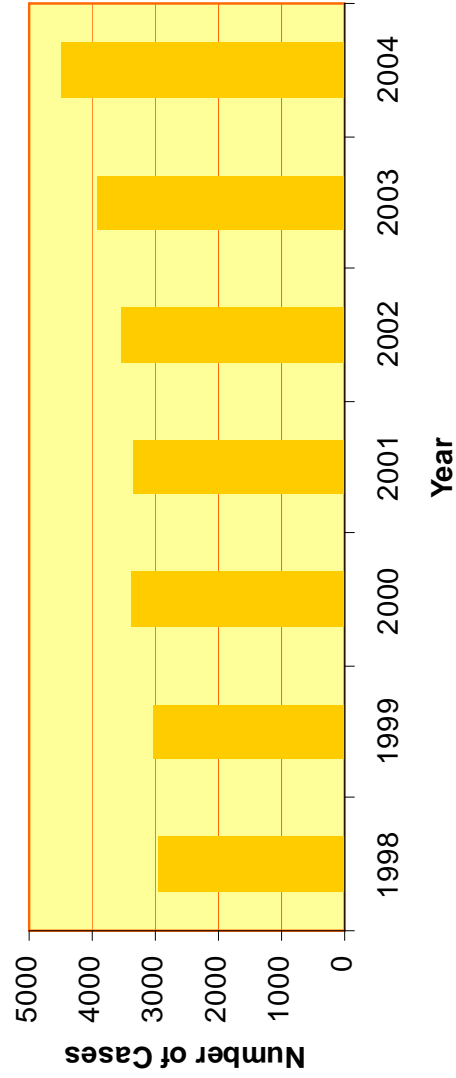


Part V

Appendix

DEVELOPMENT OF INFRINGEMENT CASES in number of cases under examination in the respective year*



* 2004 numbers are for EU 25
Source: Infringement Reports 1998 – 2004, Thesis Merle Lückemeyer

Figure .1: Development of Infringements

DEVELOPMENT OF INFRINGEMENT CASE BACKLOG 1998 - 2004
Cases still open/total cases opened in the respective year

Year prior to ...	1998* (%)	1999** (%)	2000 (%)	2001 (%)	2002 (%)	2003 (%)	2004 (%)
0	71.5%	68.0%	68.4%	70.6%	68.1%	70.1%	84.6%
1	29.4%	31.6%	32.6%	31.6%	34.3%	37.8%	31.0%
2	11.5%	14.8%	18.6%	18.1%	18.7%	16.7%	16.2%
3	10.3%	5.8%	9.0%	11.2%	11.6%	11.2%	9.7%
4	6.5%	7.0%	4.6%	5.2%	7.4%	7.8%	7.5%
5	2.9%	4.0%	5.2%	3.6%	3.9%	5.3%	5.5%
6	1.9%	2.1%	2.6%	2.9%	2.7%	2.6%	3.6%
7	1.9%	1.2%	1.3%	2.5%	2.4%	2.1%	1.6%
8	1.6%	1.5%	0.9%	0.7%	2.1%	1.8%	1.5%
9	0.8%	1.2%	1.0%	0.5%	0.5%	1.0%	1.3%

* EU changes basis: in 1998 it computes the cases in progress as percentage of cases opened that year. From 1999 on it computes the cases in progress that year as percentage of total cases in progress. Numbers go down.

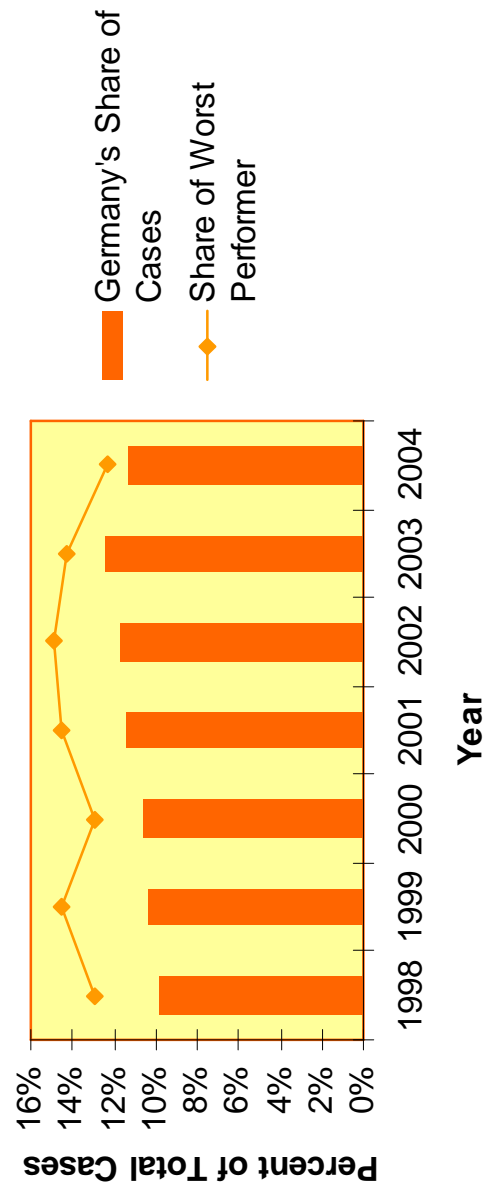
** Number of cases opened are inconsistent between 1998 and 1999

Source: Infringement Reports 1998 – 2004, Thesis Merle Lückemeyer

Figure .2: Backlog Overview

GERMANY'S INFRINGEMENT HISTORY

Cases against Germany still open and cases under examination in the respective year

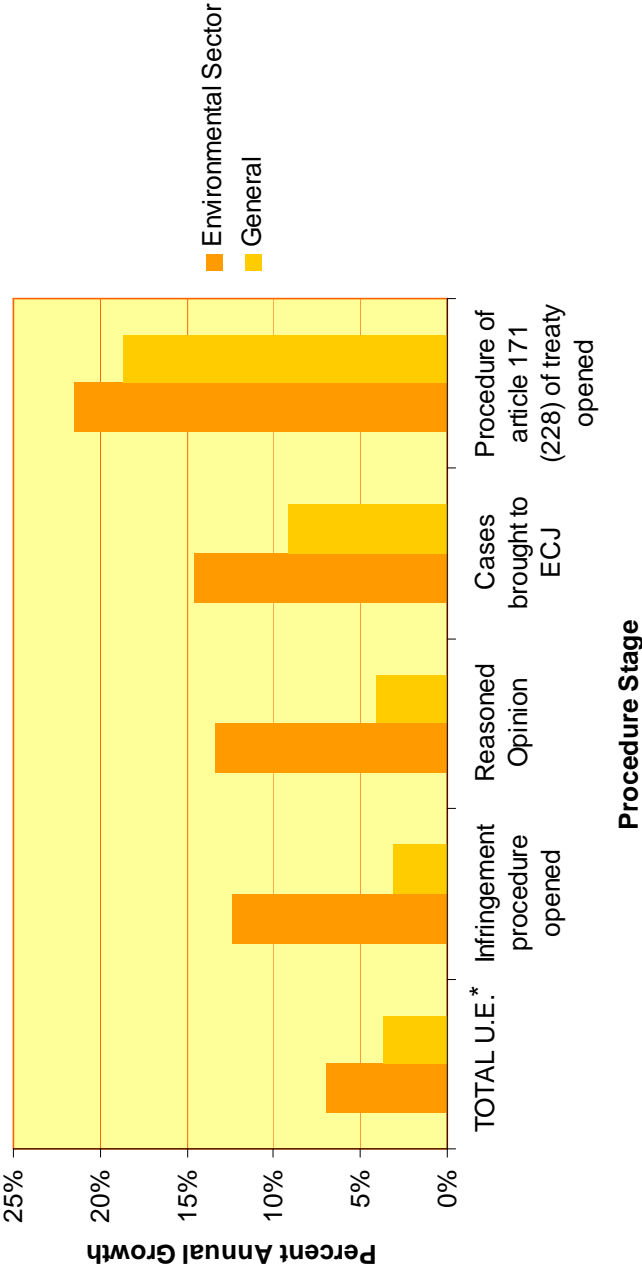


* 2004 numbers only for EU-15

Source: Infringement Reports 1998 – 2004, Thesis Merle Lückemeyer

Figure .3: Development of Infringement Cases Against Germany

GROWTH OF CASELOAD – ENVIRONMENTAL SECTOR
in compound annual growth rate of cases 1999* – 2004, by procedure stage

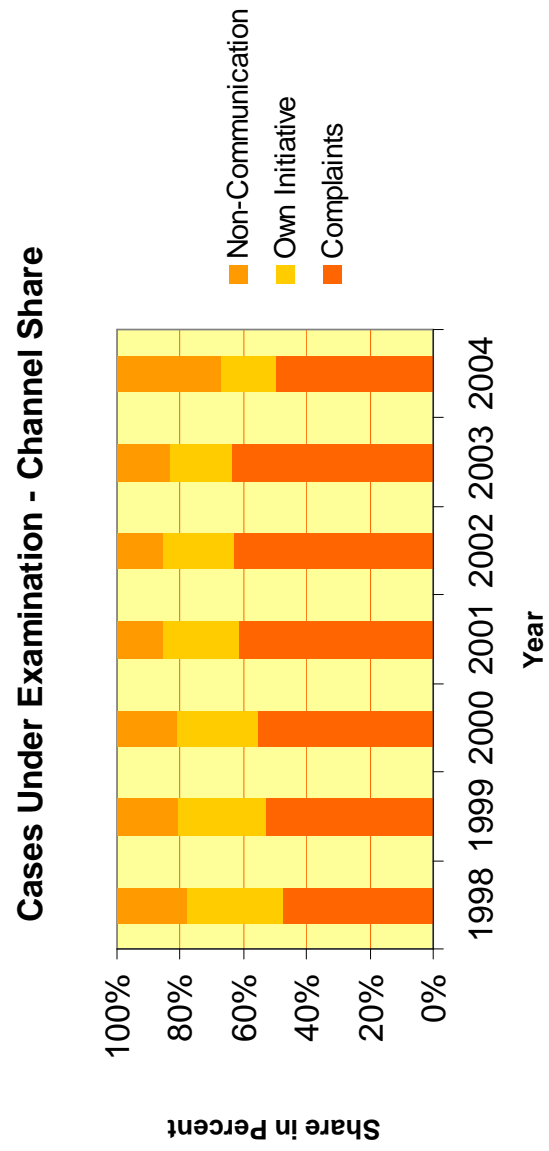


* 1998 figures not available, U.E. = under examination
**Environmental sector numbers for 2004 are EU 15 numbers
Source: Infringement Reports 1999 – 2004, Thesis Merle Lückemeyer

Figure .4: Development Environmental Cases by Procedure Stage

INFRINGEMENT CASES – SHARE OF INITIATION CHANNELS

100% = total cases under examination in the respective year



Source: Infringement Reports 1998 – 2004, Thesis Merle Lückemeyer

Figure .5: Channels for Infringement Reporting

Degree of Implementation of 2004 Recommendations in Member States

	BE	CZ	DK	DE	EE	EL	ES	FR	IE	IT	CY	LV	LT	LU	HU	MT	NL	AT	PL	PT	SI	SK	FI	SE	UK
Practices referred to in the Recommendation																									
	1.1. One senior member of government responsible for coordination of EU affairs	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Transposition as a priority	1.2. Regular report on the transposition records on the Cabinet or government level	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
	1.3. Allocation of sufficient resources	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
	2.1. One ministry responsible for monitoring and coordinating transposition	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
	2.2. Designated officials in each ministry or government body	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Permanent monitoring	2.3. Guidelines on transposition	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
	2.4. A central national database	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
	2.5. Reminders before the deadline	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
	2.6. Reminders after deadline	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Permanent monitoring	2.7. Proactive in seeking Commission assistance	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
	3.1. A planning schedule for transposition prepared	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
	3.2. Drafting of national implementing measures starts at latest when directive is published in OJ	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Preparations for transposition	3.3. Correlation table	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
	3.4. Goldplating is avoided	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
	3.5. National officials responsible for negotiating a Directive are involved in its transposition	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
	3.6. Representatives of federal/regional levels are kept informed during negotiations	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Preparations for transposition	3.7. Electronic notification of implementing measures to the Commission	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
	4.1. Parliament involved since proposal stage and kept informed during negotiations	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
	4.2. Parliament informed on progress in transposition	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Involvement of Parliament	4.3. Together with draft, national implementing measures the Parliament receives timetable for transposition	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
	4.4. Parliament receives early warning	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
	4.5. Government encourages Parliament to provide necessary time to transpose directives	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
	5.1. Measure are taken that "late" transpositions are speeded up	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Actions taken in case of late transposition	5.2. Parliament encouraged to give priority treatment to late transpositions	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
	5.3. Publication of late transposition	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Actions taken in case of late transposition	5.4. Fast track procedure	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
	5.5. Use of alternative legal instruments	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
		13	16	15	20	9	5	10	6	7	5	19	20	21	7	18	14	19	20	6	8	22	10	13	19

Source: EU Internal Scoreboard 15, Thesis Merle Lückemeyer

Figure .6: 2004 Recommendations

VARIABLES

Variable name	Abbreviation	Number	Type	Answers which question?	Scale/Parameters
Infringements	infrgmts_1, infrgmts_2	1, 2	NUM	How many infringements are listed for the directive in the year when implementation is due?	Total number of infringements, including double infringements
Process	process_1, process_2	3, 4	SET	Which legislative process was used to make directive?	Choices are cooperation, consultation and codecision process
Total Time	tottime_1, tottime_2	5, 6	NUM	How long was the legislative process?	Date of the adoption minus date of the commission proposal
Start Date	start_1, start_2	7, 8	NUM	When did the legislative process start?	Date of the Commission proposal
End Date	end_1, end_2	9, 10	NUM	When did the legislative process end?	Date of the adoption of the directive
1.Station	stat1_1, stat1_2	11, 12	NUM	What time was needed to process the directive in this stage?	Days, if station was left out, 13,000
2.Station	stat2_1, stat2_2	13, 14	NUM	see 1. Station	Days, if station was left out, 13,000
3. Station	stat3_1, stat3_2	15, 16	NUM	see 1. Station	Days, if station was left out, 13,000
4.Station	stat4_1, stat4_2	17, 18	NUM	see 1. Station	Days, if station was left out, 13,000
5.Station	stat5_1, stat5_2	19, 20	NUM	see 1. Station	Days, if station was left out, 13,000
6.Station	stat6_1, stat6_2	21, 22	NUM	see 1. Station	Days, if station was left out, 13,000

Source: Thesis Merle Lückemeyer

Figure .7: Variables 1

VARIABLES - continued -

Variable name	Abbreviation	Number	Type	Answers which question?	Scale/Parameters
7.Station	stat7_1, stat7_2	23, 24	NUM	see 1. Station	Days: if station was left out, 13,000
8.Station	stat8_1, stat8_2	25, 26	NUM	see 1. Station	Days: if station was left out, 13,000
9.Station	stat9_1, stat9_2	27, 28	NUM	see 1. Station	Days: if station was left out, 1,3000
Presence 1	pres1_1, pres1_2	29, 30	NUM	What time was needed to process the directive in this stage?	Days spent; if no days spent then 10,000, if last station has been reached, 50,000
Presence 2	pres2_1, pres2_2	31, 32	NUM	See Presence 1	See Presence 1
Presence 3	pres3_1, pres3_2	33, 34	NUM	See Presence 1	See Presence 1
Presence 4	pres4_1, pres4_2	35, 36	NUM	See Presence 1	See Presence 1
Presence 5	pres5_1, pres5_2	37, 38	NUM	See Presence 1	See Presence 1
Presence 6	pres6_1, pres6_2	39, 40	NUM	See Presence 1	See Presence 1
Presence 8	pres8_1, pres8_2	41, 42	NUM	See Presence 1	See Presence 1
Presence 7	pres7_1, pres7_2	43, 44	NUM	See Presence 1	See Presence 1
Presence 9	pres9_1, pres9_2	45, 46	NUM	See Presence 1	See Presence 1
Number of DGs	dgs_1, dgs_2	47, 48	NUM	How many DGs were involved in the preparation?	Number of DGs
Main responsible DG	resp_1, resp_2	49, 50	NUM	Which DG was the main responsible one in the process?	Number of main responsible DG

Source: Thesis Merle Lückemeyer

Figure .8: Variables 2

VARIABLES - continued -

Variable name	Abbreviation	Number	Type	Answers which question?	Scale/Parameters
Committee statements	state_1, state_2	51, 52	SET	Did the Economic and Social Committee make statements in the process?	Binary
Repeal	repeal_1, repeal_2	53, 54	SET	Did the directive repeal an existing one?	Binary
Technical Adjustment	technical_1, technical_2	57, 55	SET	Was the directive a technical adjustment of an existing one?	Binary
Partial Replacement	partial_1, partial_2	58, 56	SET	Was the directive a partial replacement of an existing directive?	Binary
Framework Directive	frame_1, frame_2	59, 60	SET	Is the directive a framework directive?	Binary
Treaty Base	base_1, base_2	61, 62	NUM	What treaty article is the directive based on?	Article number
Implementation Time	imptime_1, imptime_2	63, 64	NUM	What is the total implementation time	Days
Stepwise Implementation	step_1, step_2	65, 66	SET	Is there a stepwise implementation?	Binary
Review	review_1, review_2	67, 69	SET	Is there a committee for periodical review to be formed?	Binary
Reports	report_1, report_2	68, 70	SET	Does the directive call for mandatory reports?	Binary

Source: Thesis Merle Lückemeyer

Figure .9: Variables 3

VARIABLES - continued -

Variable name	Abbreviation	Number	Type	Answers which question?	Scale/Parameters
Implementation Time 2	time2_1, time2_2	71, 72	NUM	If there is a stepwise implementation, what is the second deadline?	Days
Implementation Time 3	time3_1, time3_2	73, 74	NUM	If there is a stepwise implementation, what is the third deadline?	Days
Timeframe Reports	timerep_1, timerep_2, timerep_3, timerep_4, timerep_5, timerep_6, timerep_7, timerep_8, timerep_9, timerep_10	75, 76, 77, 78, 79, 80, 81, 82, 83, 84	SET	If there are mandatory reports, what is the timeframe for them?	1 = yearly, 2= 5 years, 3= ongoing, 4= no reports, 5=2 years, 6=3 years, 7=4 years, 8=6 months, 9= monthly, 10=once
Purpose	purpose_1, purpose_2, purpose_3, purpose_4, purpose_5, purpose_6, purpose_7, purpose_8, purpose_9, purpose_10, purpose_11	85, 86, 87, 88, 89, 90, 91, 92, 93, 94, 95	SET	What is the purpose of the directive?	Animal Health=1, Consumer protection=2, Environment=3, Harmonization=4, Harmonization/Standard=5, Market=6, Standard=7, Statistics=8, Taxation=9, External Affairs=10, Safety=11
Nature	subproc_1, subproc_2	96, 97	SET	Is the directive a substantial or procedural directive?	Binary (substantial or procedural)
Committees Parliament	compar_1, compar_2	98, 99	NUM	How many committees in Parliament were involved in the process?	Number of committees involved
Committees Council	comcoun_1, comcoun_2	100, 101	NUM	How many committees in Council were involved in the process?	Number of committees involved
National Legislation	natleg_1, natleg_2, natleg_3, natleg_4, natleg_5	102, 103, 104, 105, 106	SET	Is additional national legislation allowed or even called for?	1=No, 2=for certain provisions no, 3=for certain provisions yes, 4=yes, 5=no mention made

Source: Thesis Merle Lückemeyer

Figure .10: Variables 4

VARIABLES - continued -

Variable name	Abbreviation	Number	Type	Answers which question?	Scale/Parameters
DG 1	a1_1, a1_2	107, 108	SET	Was the DG involved?	Binary
DG 2	a2_1, a2_2	109, 110	SET	see DG 1	Binary
DG 3	a3_1, a3_2	111, 112	SET	see DG 1	Binary
DG 4	a4_1, a4_2	113, 114	SET	see DG 1	Binary
DG 5	a5_1, a5_2	115, 116	SET	see DG 1	Binary
DG 6	a6_1, a6_2	117, 118	SET	see DG 1	Binary
DG 7	a7_1, a7_2	119, 120	SET	see DG 1	Binary
DG 8	a8_1, a8_2	121, 122	SET	see DG 1	Binary
DG 9	a9_1, a9_2	123, 124	SET	see DG 1	Binary
DG 10	a10_1, a10_2	125, 126	SET	see DG 1	Binary
DG 11	a11_1, a11_2	127, 128	SET	see DG 1	Binary
DG 12	a12_1, a12_2	129, 130	SET	see DG 1	Binary
DG 14	a14_1, a14_2	131, 132	SET	see DG 1	Binary
DG 15	a15_1, a15_2	133, 134	SET	see DG 1	Binary
DG 16	a16_1, a16_2	135, 136	SET	see DG 1	Binary
DG 17	a17_1, a17_2	137, 138	SET	see DG 1	Binary
DG 19	a19_1, a19_2	139, 140	SET	see DG 1	Binary
DG 21	a21_1, a21_2	141, 142	SET	see DG 1	Binary
DG 22	a22_1, a22_2	143, 144	SET	see DG 1	Binary
DG 23	a23_1, a23_2	145, 146	SET	see DG 1	Binary
DG 24	a24_1, a24_2	147, 148	SET	see DG 1	Binary
Length	pages_1, pages_2	149, 150	NUM	How long is the directive?	Number of pages

Source: Thesis Merle Lückemeyer

Figure .11: Variables 5

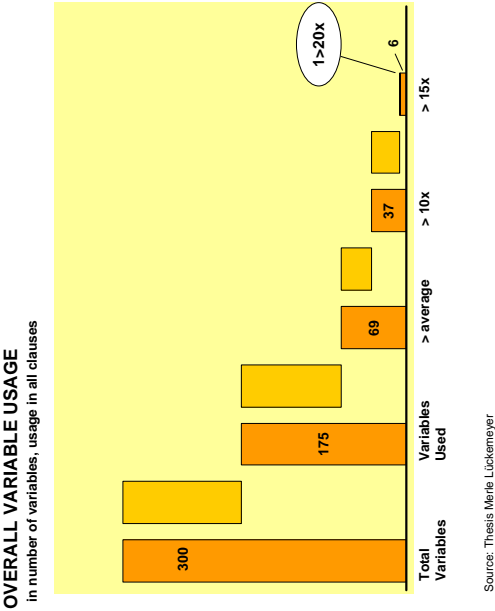
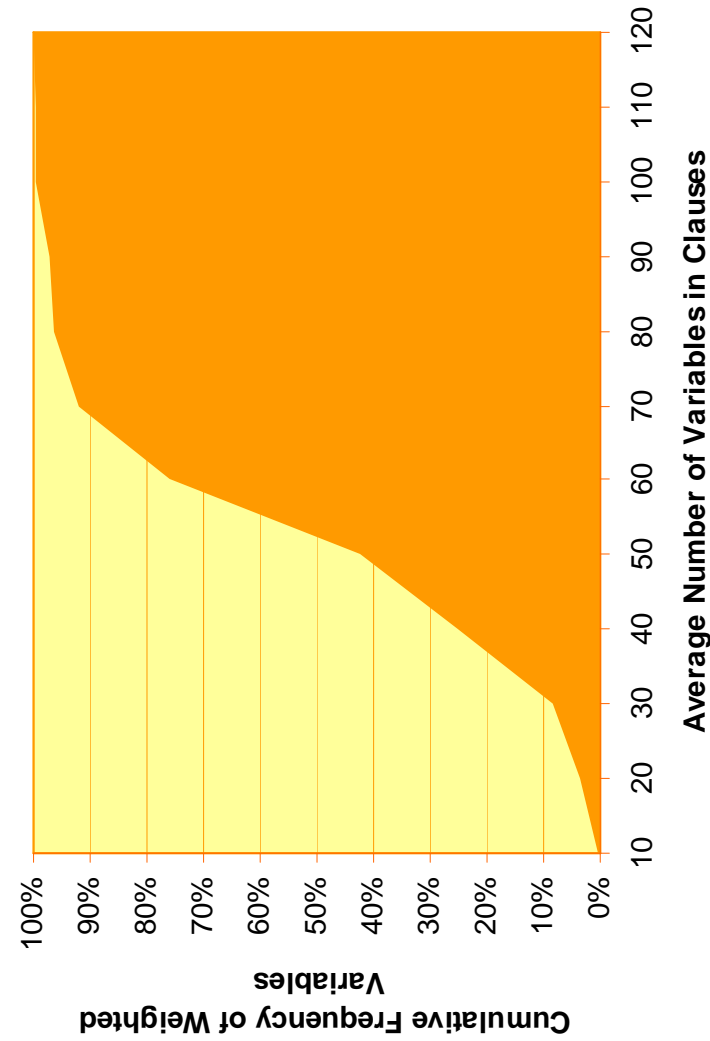


Figure .12: Frequency of Usage

CUMULATIVE FREQUENCY OF WEIGHTED VARIABLES
in percent of total variables used



Source: Thesis Merle Lückemeyer

Figure .13: Cumulative Weighted Variables

REGRESSION RESULTS FOR SCENARIOS

+ Significant
- Insignificant

Scenario Number	Step	Omnibus Test	Hosmer & Lemeshow Test	Wald Test	Predictor	B	Wald X ²	p	Odds Ratio	Class. Accuracy	Accuracy/Leibniz
Low	1	+	-	+	<i>Imptime</i>	0	16.664	0	1	90%	94%
					<i>Constant</i>	-2.455	52.391	0	0.86		
	2	+	-	+	<i>end</i>	0.005	10.222	0.001	1.005	90%	94%
					<i>imptime</i>	0.001	16.037	0	1.001		
					<i>Constant</i>	-182.88	10.423	0.001	0		
	3	+	+	-							
	4	+	+	-							
	5	+	+	-							
	6	+	+	-							
High	1	+	-	+	<i>time_2</i>	0.003	5.687	0.017	1.003	84.6%	84%
					<i>Constant</i>	-1.881	42.802	0	0.152		
	2	+	+	-							
	3	+	+	-							
	4	+	+	-							
HighLow	1	+	+	-							
	2	+	+	-							
	3	+	+	-							
	4	+	+	-							

Source: Thesis Merle Lückemeyer

Figure .14: Regression Results Detail

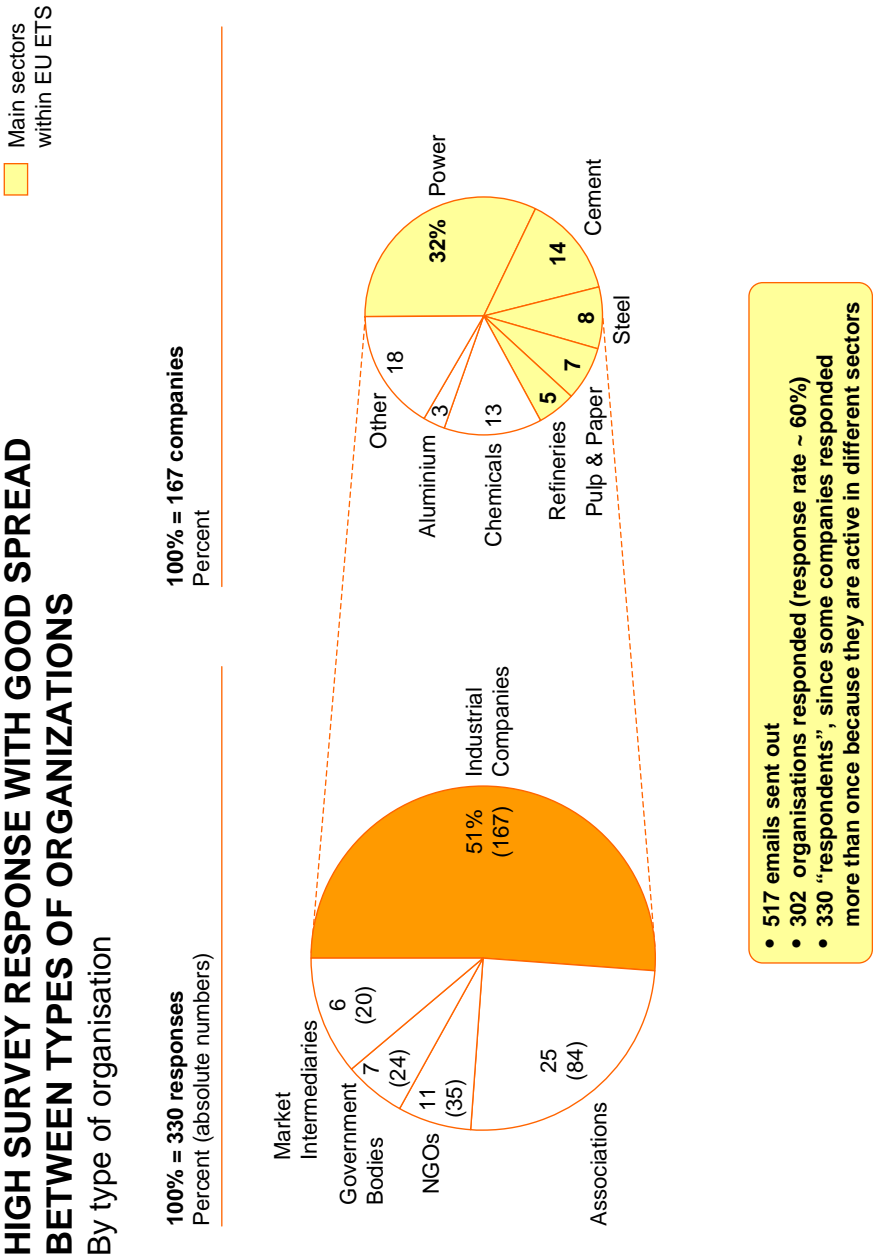
REGRESSION RESULTS FOR SCENARIOS - continued

+ Significant
- Insignificant

Scenario Number	Step	Omnibus Test	Hosmer & Lemeshow Test	Wald Test	Predictor	B	Wald X ²	p	Odds Ratio	Class. Accuracy	Accuracy/Leibniz
LowMed	1	+	-	+	<i>imptime</i> <i>Constant</i>	0 -2.197	0 40.916	0 0	1 0.111	88%	91%
	2	+	-	+	<i>end</i> <i>imptime</i> <i>Constant</i>	0.006 0.001 -226.316	12.798 15.083 12.948	0 0 0	1.006 1.001 0	86%	91%
	3	+	-	+	<i>end</i> <i>imptime</i> <i>subproc(1)</i> <i>Constant</i>	0.011 0.001 -3.61 -405.485	12.17 15.05 8.82 12.217	0 0 0.003 0	1.011 1.001 0.27 0	94%	91%
	4	+	-	-							
	5	+	-	-							
	6	+	-	-							
	7	-									

Source: Thesis Merle Lückemeyer

Figure .15: Regression Results Detail (continued)



McKinsey EU ETS Survey Team

Figure .16: Response Rate and Sector Coverage

INVITATION E-MAIL FOR THE EU ETS SURVEY

Dear <Title> <Family Name>,

DG Environment of the EU Commission is currently reviewing the EU Emissions Trading Scheme (EU ETS). McKinsey & Company and Ecofys are assisting the EU in this review in 2005 and 2006, by providing a fact base for the discussion. Accordingly, McKinsey is conducting a survey to learn more about the perceptions and opinions of the relevant stakeholders in this process.

Your organisation was selected as an important stakeholder, and we therefore invite you to participate in the survey and so contribute to the potential improvement of the EU ETS. The EU Commission recommends participation, as the attached letter from the Commission explains.

The survey is being conducted on-line, at <http://www2.perseus.com/mckinsey/prod/eu/eumain.htm>

To gain access to this Web site, you will need a user name and a password. The user name for your organisation is

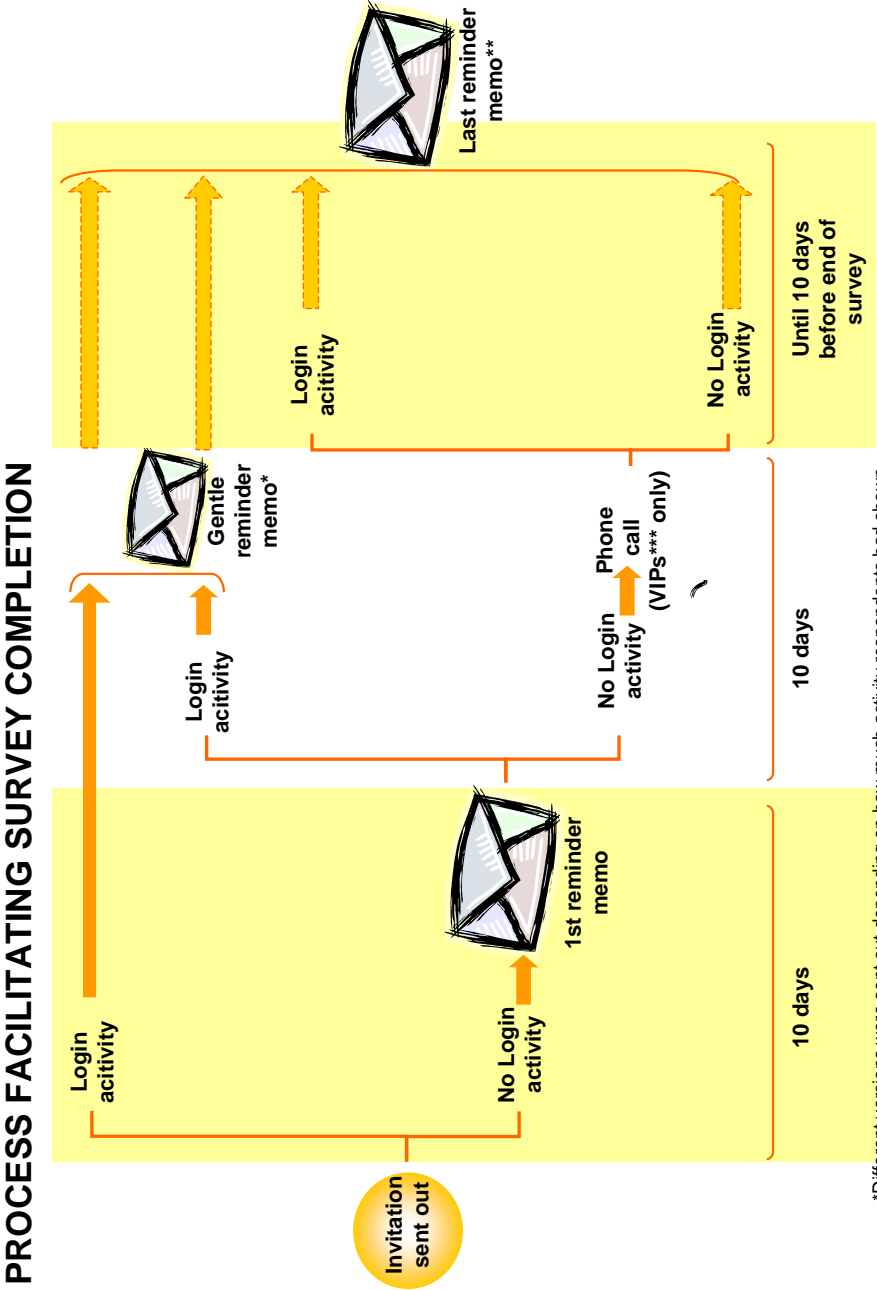
XXXXXXXXXXXXXXXXXXXX

You will receive your password for the survey in a separate e-mail shortly. McKinsey & Company will maintain confidentiality of all confidential information disclosed by you in connection with the survey. You will find a detailed discussion of the policy on confidentiality on the survey Web site. This survey will be active and on-line until August 16, 2005. You might want to download the printable version of the questions from the Web site, in order to discuss them within your organisation. Please fill in the final version electronically on the Internet. We regret that we are unable to accept faxed answers. If you have any questions regarding the survey, please contact John Doe at John_Doe@mckinsey.com.

Please bear in mind that one person only from each organisation should complete the survey and that the answers should represent the organisation's view. If you are not responsible for climate change policy regulation within your organisation, we ask that you to forward this e-mail to the responsible person.

Thank you very much for your participation and best regards,

Source: McKinsey



*Different versions were sent out depending on how much activity respondents had shown
** Deadline was extended and corresponding additional memo not shown here was sent out
***Criteria: Large production capacity, etc.

Source: Thesis Merle Lückemeyer

Figure .18: Survey Process

GOVERNMENT SURVEY QUESTIONNAIRE ON IMPLEMENTATION

Source: Thesis Merle Lückemeyer

Question: The EU Emissions Trading Scheme is a relatively new policy instrument. What are or have been the key challenges to implementing the EU ETS in comparison to other policy instruments that you have experienced in the past? If an item represents or has represented a challenge, please put a number between 1 and 10 in the according field; the more points, the bigger the challenge.

Information	EU ETS (market-based instruments)	Taxes/Subsidies (economic incentive instruments)	Direct rules or standards (command & control and standards)	Voluntary agreements
<ul style="list-style-type: none"> Providing accurate and incomplete information during pre-law phase so that ... Providing sufficient and clear information once the measure has been passed concerning the following: <ul style="list-style-type: none"> Obligations to be met Monitoring process Penalties Time-frame to implement Providing reliable information how long the measure will be in force at minimum 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Interaction with companies/affected groups				
<ul style="list-style-type: none"> Few opportunities for companies/groups to participate in consultation before the measure is passed During implementation it is maybe not clear enough for companies who the ... During implementation, few companies seek help when they need it, even ... During implementation, we maybe do not support companies adequately There may be a lack of enforcement (monitoring etc.) We create few opportunities for providing feedback once the measure is in force Few companies give feedback, even though they have the opportunity It is hard to consider feedback adequately in revisions of measure 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Internal processes of government entities				
<ul style="list-style-type: none"> Time-frame for implementation too short Insufficient resources/personnel <ul style="list-style-type: none"> During preparation During operation During monitoring (if applicable) Staff needs training to cope with new tasks Internal processes/organization need to be reshaped to implement measure It is hard to gain momentum, because the new issue is comparatively low ... 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Figure .19: Survey Questions Governments

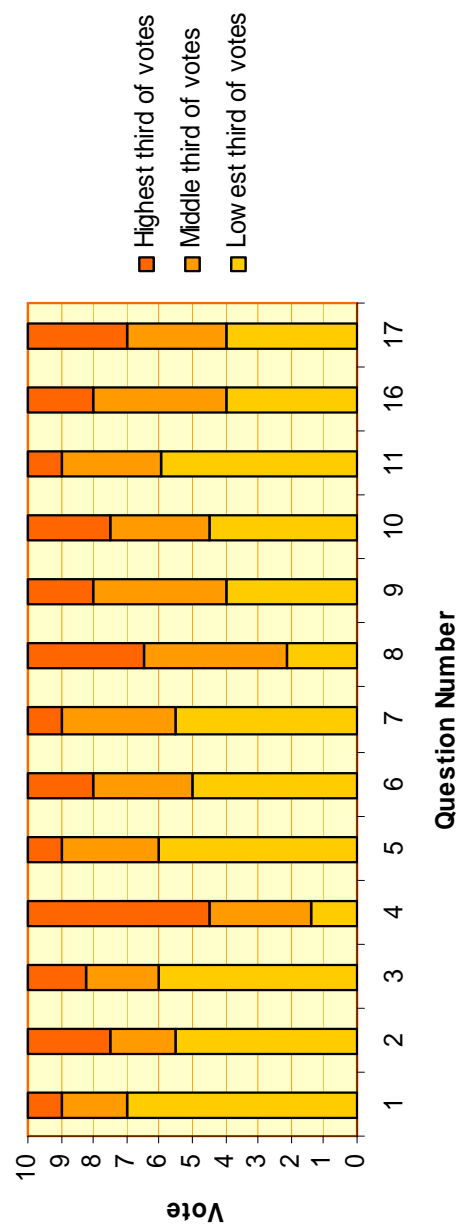
Question: The EU Emissions Trading Scheme is a relatively new policy instrument. What are or have been the key challenges to implementing the EU ETS in comparison to other policy instruments that you have experienced in the past? If an item represents or has represented a challenge, please put a number between 1 and 10 in the according field; the more points, the bigger the challenge.

Information	EU ETS (market-based instruments)	Taxes/Subsidies (economic incentive instruments)	Direct rules or standards (command & control and standards)	Voluntary agreements
<ul style="list-style-type: none"> ■ Inaccurate or incomplete information during pre-law phase ■ Insufficient information once the measure has been passed concerning the following: <ul style="list-style-type: none"> - Obligations to be met - Monitoring process - Penalties - Time-frame to implement ■ Insecurities to how long the measure will be in force at minimum until it is revised 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Interaction between companies and authorities				
<ul style="list-style-type: none"> ■ Unsatisfactory consultation before the measure was passed ■ During implementation, responsible (govt.) contact was hard to identify ■ Lack of (govmt.) support during implementation ■ Lack of enforcement of measure (monitoring etc.) ■ Insufficient opportunities for providing feedback once the measure is in force ■ Feedback not well considered in revisions of measure 	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
Internal processes of companies affected by legislation				
<ul style="list-style-type: none"> ■ Time-frame for implementation too short for govmt. Entities ■ Time-frame for implementation too short for companies ■ Companies have insufficient resources/personnel ■ Governments have insufficient resources/personnel ■ Too many different government entities share the responsibility for implementation 	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>

Source: Thesis Merle Lückemeyer

Figure .20: Survey Questions NGO

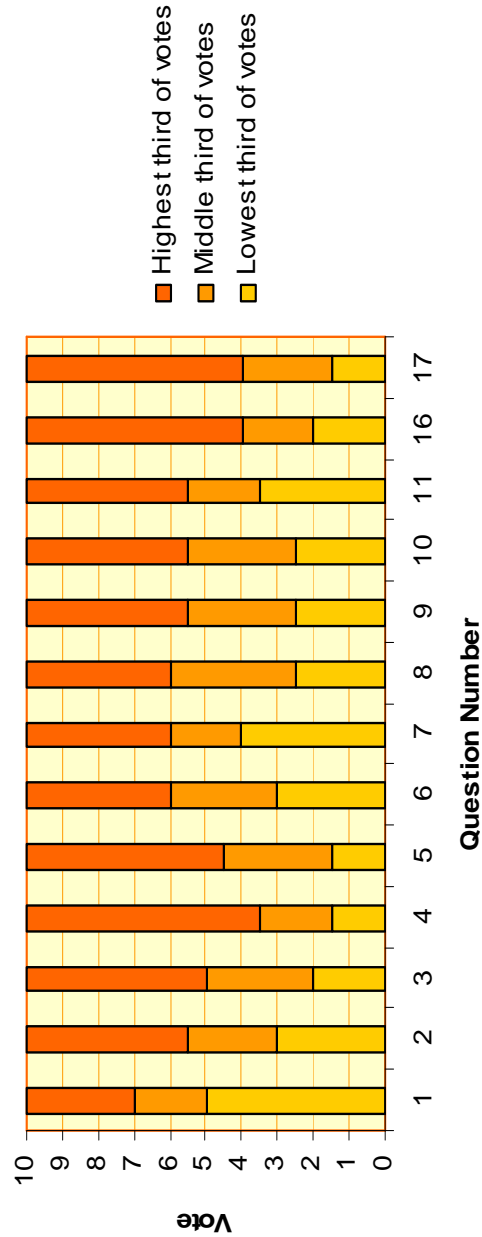
OVERALL VOTE DISTRIBUTION – MARKET-BASED INSTRUMENTS



Source: Thesis Merle Lückemeyer

Figure .21: Overall Survey Votes; Market-Based Instruments

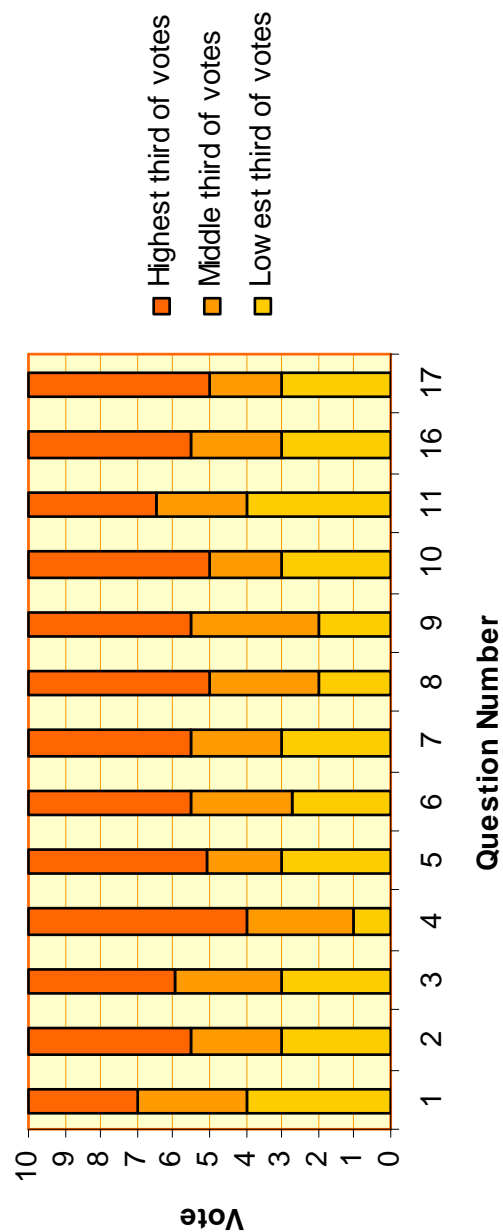
OVERALL VOTE DISTRIBUTION – ECONOMIC INCENTIVES



Source: Thesis Merle Lückemeyer

Figure .22: Overall Survey Votes: Economic Incentives

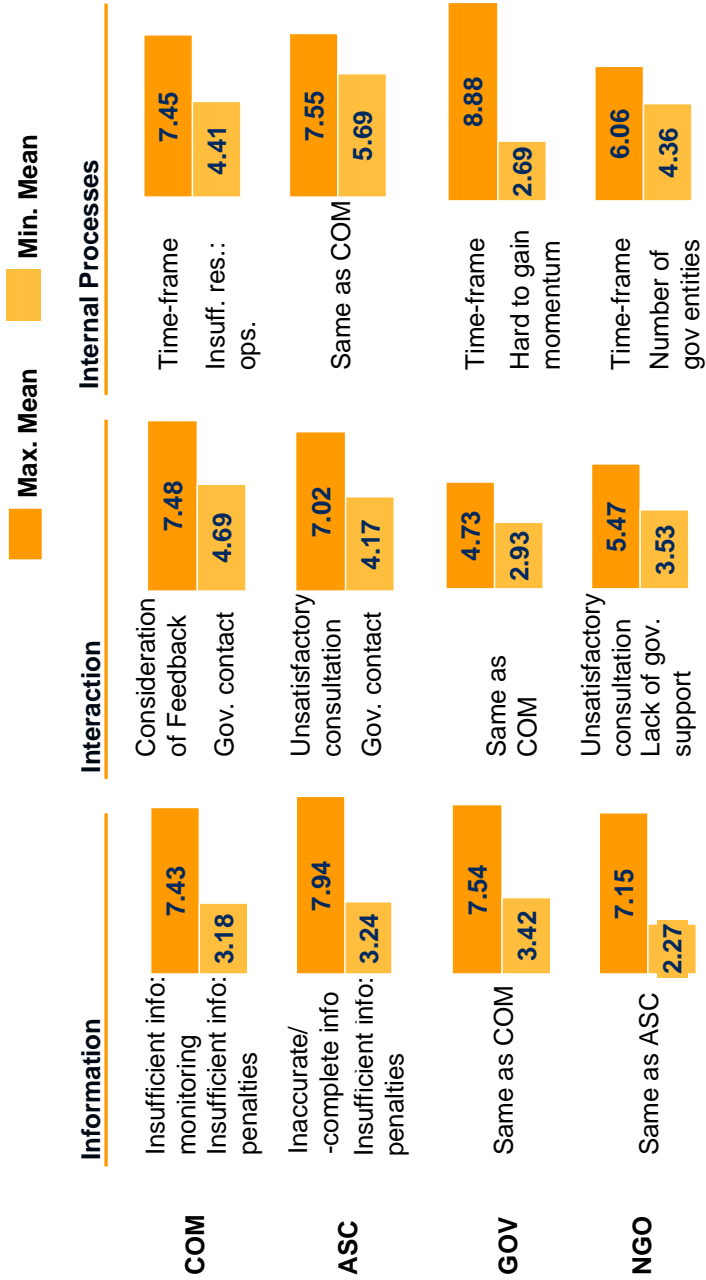
OVERALL VOTE DISTRIBUTION – RULES AND STANDARDS



Source: Thesis Merle Lückemeyer

Figure .23: Overall Survey Votes: Rules and Standards

GROUPS: MAIN AND LEAST CONCERNS (MARKET-BASED)



Source: Thesis Merle Lückemeyer

Figure .24: Groups: Concerns (Market-Based Instruments)

GROUPS: STATISTICS – MARKET-BASED INSTRUMENTS

Information		Mean	Median	Grouped Median	Standard Deviation
COM	Highest	7.43		8	2.52
	Lowest	3.18	3	2.43	2.46
ASC	Highest	7.94	8	8.17	2.21
	Lowest	3.24	2	2.38	2.5
GOV	Highest	7.54	7	7.25	1.76
	Lowest	3.42	3	3	2.57
NGO	Highest	7.15	8	7.5	2.49
	Lowest	2.27	1	1.5	2.28

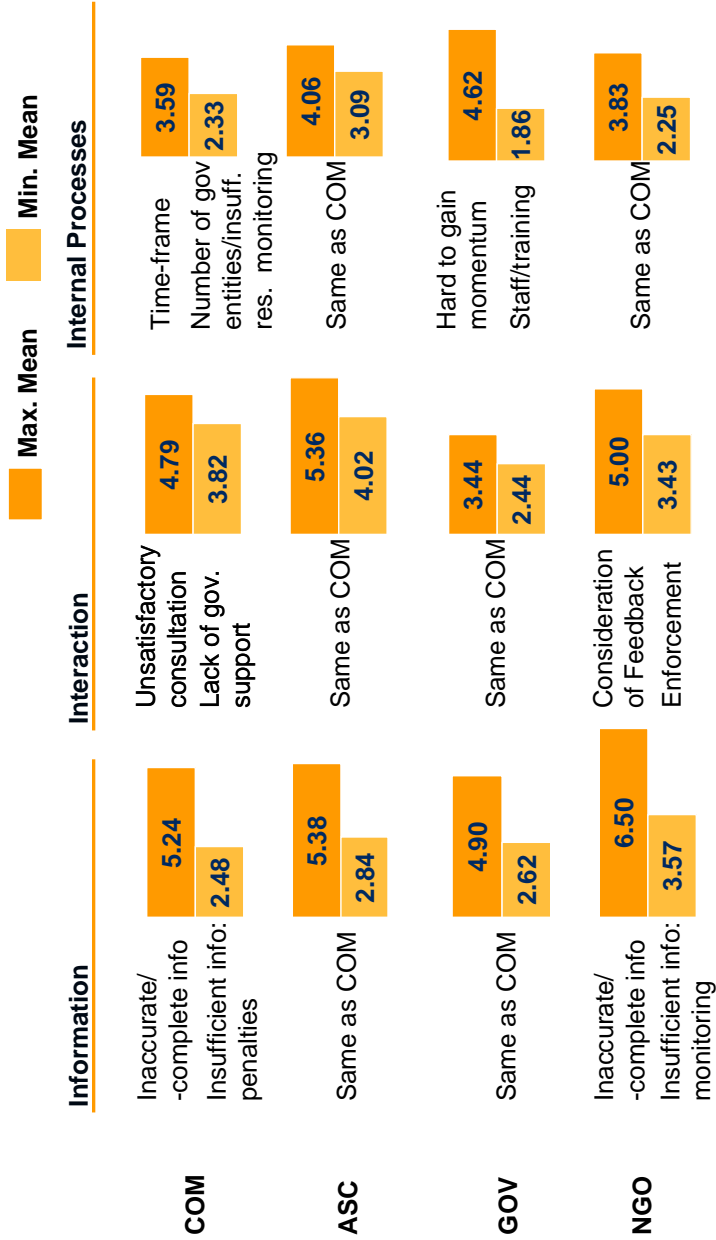
Interaction		Mean	Median	Grouped Median	Standard Deviation
COM	Highest	7.48		8	2.62
	Lowest	4.69	4	4	3.15
ASC	Highest	7.02	7.5	7.55	2.81
	Lowest	4.17	3	2.89	3.07
GOV	Highest	4.73	5	5.14	2
	Lowest	2.93	3	3.25	1.59
NGO	Highest	5.47	5	5.4	3.12
	Lowest	3.53	3	3	2.47

Internal Processes		Mean	Median	Grouped Median	Standard Deviation
COM	Highest	7.45	8	8.59	3
	Lowest	4.41	4	4.29	2.52
ASC	Highest	7.55	8	7.96	2.62
	Lowest	5.69	5	5.3	2.24
GOV	Highest	8.88	10	9.27	1.45
	Lowest	2.69	2	2.43	1.55
NGO	Highest	6.06	8	6.8	3.31
	Lowest	4.36	4.5	4.4	2.84

Source: Thesis Merle Lückemeyer

Figure .25: Groups: Statistics (Market-Based Instruments)

GROUPS: MAIN AND LEAST CONCERNS (ECONOMIC INCENTIVES)



Source: Thesis Merle Lückemeyer

Figure .26: Groups: Concerns (Economic Incentives)

GROUPS: STATISTICS – ECONOMIC INCENTIVES

Information					
		Mean	Median	Grouped Median	Standard Deviation
COM	Highest	5.24	5	5.2	2.92
	Lowest	2.48	1	1.67	2.12
ASC	Highest	5.38	6	5.72	2.71
	Lowest	2.84	1	1.83	2.57
GOV	Highest	4.9	4.5	4.5	2.51
	Lowest	2.62	2.5	2.5	1.41
NGO	Highest	6.5	6.5	6.5	2.2
	Lowest	3.57	3	3	3.05

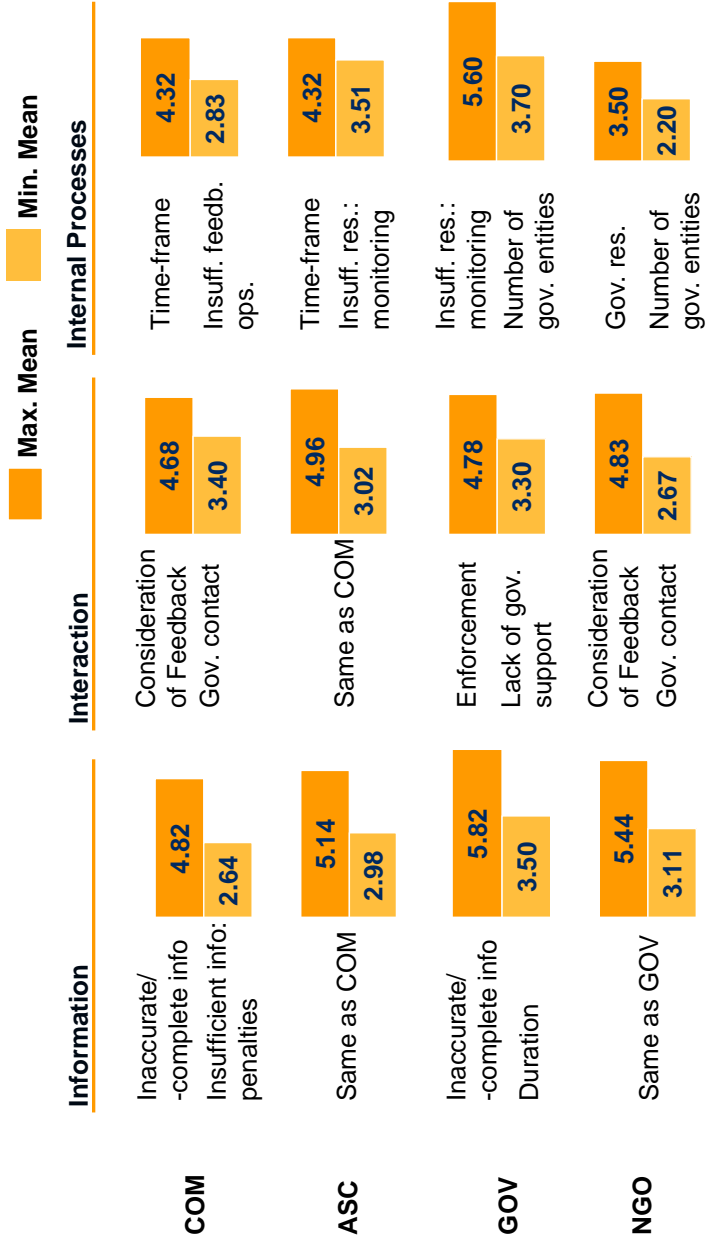
Interaction					
		Mean	Median	Grouped Median	Standard Deviation
COM	Highest	4.79	5	4.8	2.76
	Lowest	3.82	3	3.38	2.57
ASC	Highest	5.36	5.5	5.58	2.52
	Lowest	4.02	4	3.88	2.59
GOV	Highest	3.44	4	3.5	1.94
	Lowest	2.44	3	2.4	1.33
NGO	Highest	5.12	4.5	5	3.79
	Lowest	3.43	4	4	2.99

Internal Processes					
		Mean	Median	Grouped Median	Standard Deviation
COM	Highest	3.59	3	3	2.63
	Lowest	2.33	1	1.6	1.97
ASC	Highest	4.06	4	4	2.67
	Lowest	3.09	2	2.17	2.52
GOV	Highest	4.62	4.5	4.5	2.97
	Lowest	1.86	1	1.3	1.86
NGO	Highest	3.83	5	5	3.92
	Lowest	2.25	1	2.25	2.5

Source: Thesis Merle Lückemeyer

Figure .27: Groups: Statistics (Economic Incentives)

GROUPS: MAIN AND LEAST CONCERNS (RULES/STANDARDS)



Source: Thesis Merle Lückemeyer

Figure .28: Groups: Concerns (Rules and Standards)

GROUPS: STATISTICS – RULES/STANDARDS

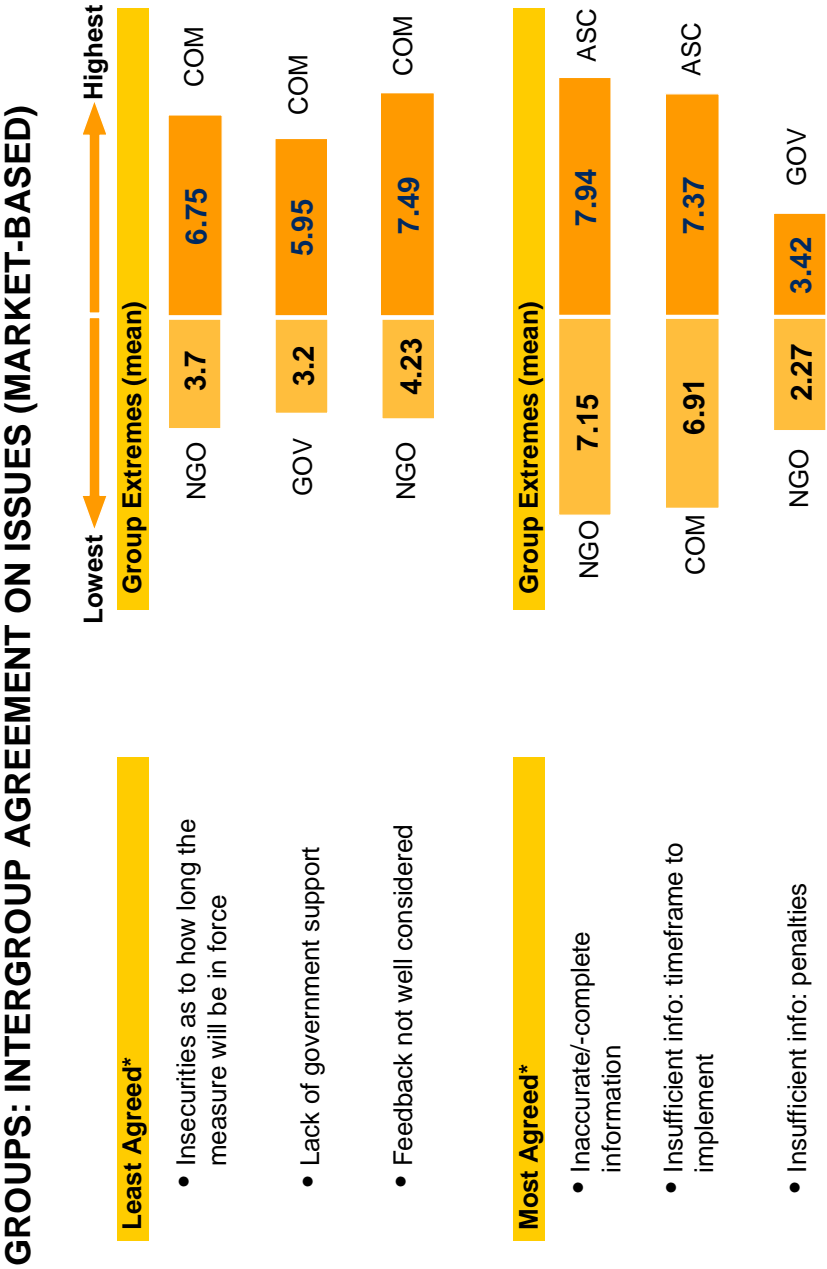
Information		Mean	Median	Grouped Median	Standard Deviation
COM	Highest	4.82		5	4.8
	Lowest	2.64	1	1.17	2.21
ASC	Highest	5.14	5	5.22	2.87
	Lowest	2.98	2	2.25	2.28
GOV	Highest	5.82	6	5.71	1.83
	Lowest	3.5	3	3.2	2.27
NGO	Highest	5.44	6	5.67	2.83
	Lowest	3.11	2	1.83	2.8

Interaction		Mean	Median	Grouped Median	Standard Deviation
COM	Highest	4.68		5	4.74
	Lowest	3.4	3	2.65	2.27
ASC	Highest	4.96		5	4.78
	Lowest	3.02	2.65	2.53	2.61
GOV	Highest	4.78		5	5.4
	Lowest	3.3	3	3	2.77
NGO	Highest	4.83		5	4.67
	Lowest	2.67	1.5	1.75	3.25

Internal Processes		Mean	Median	Grouped Median	Standard Deviation
COM	Highest	4.32		5	4.5
	Lowest	2.83	2.7	2.61	2.78
ASC	Highest	4.32	5	4.54	2.01
	Lowest	3.51	3	3.22	2.49
GOV	Highest	5.6	6.5	6.25	2.06
	Lowest	3.7	3	3	2.84
NGO	Highest	3.5	3.5	3.5	2.45
	Lowest	2.2	1	1.5	2.43

Source: Thesis Merle Lückemeyer

Figure .29: Groups: Statistics (Rules and Standards)

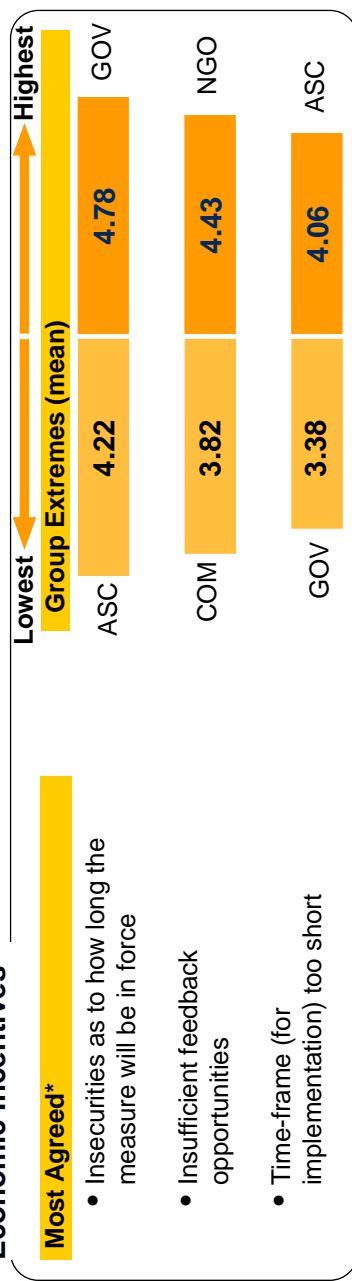


Source: Thesis Merle Lückemeyer, * sorted by significance of Kruskal-Wallis-Test

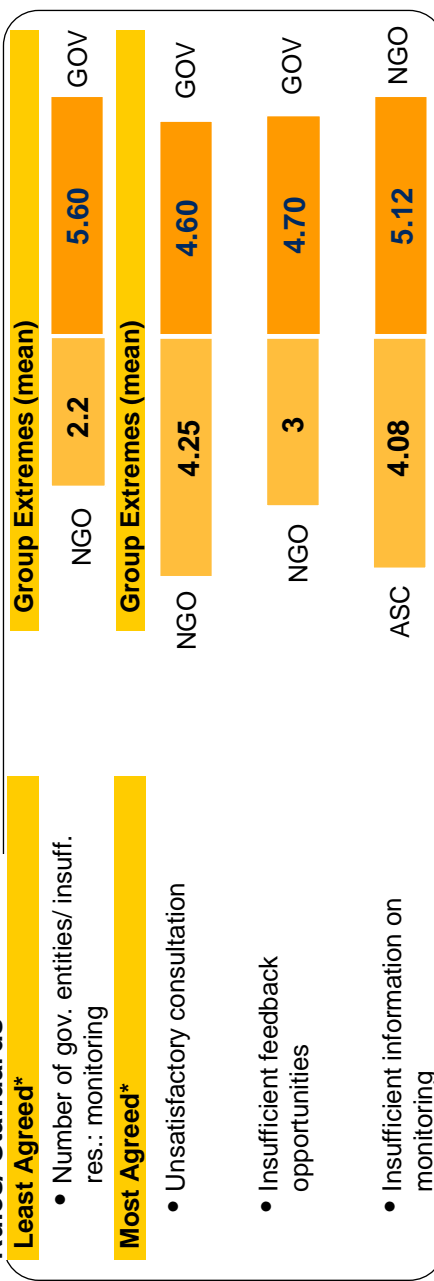
Figure .30: Groups: Intergroup Agreement (Market-Based Instruments)

GROUPS: INTERGROUP AGREEMENT ON ISSUES

Economic Incentives



Rules/ Standards

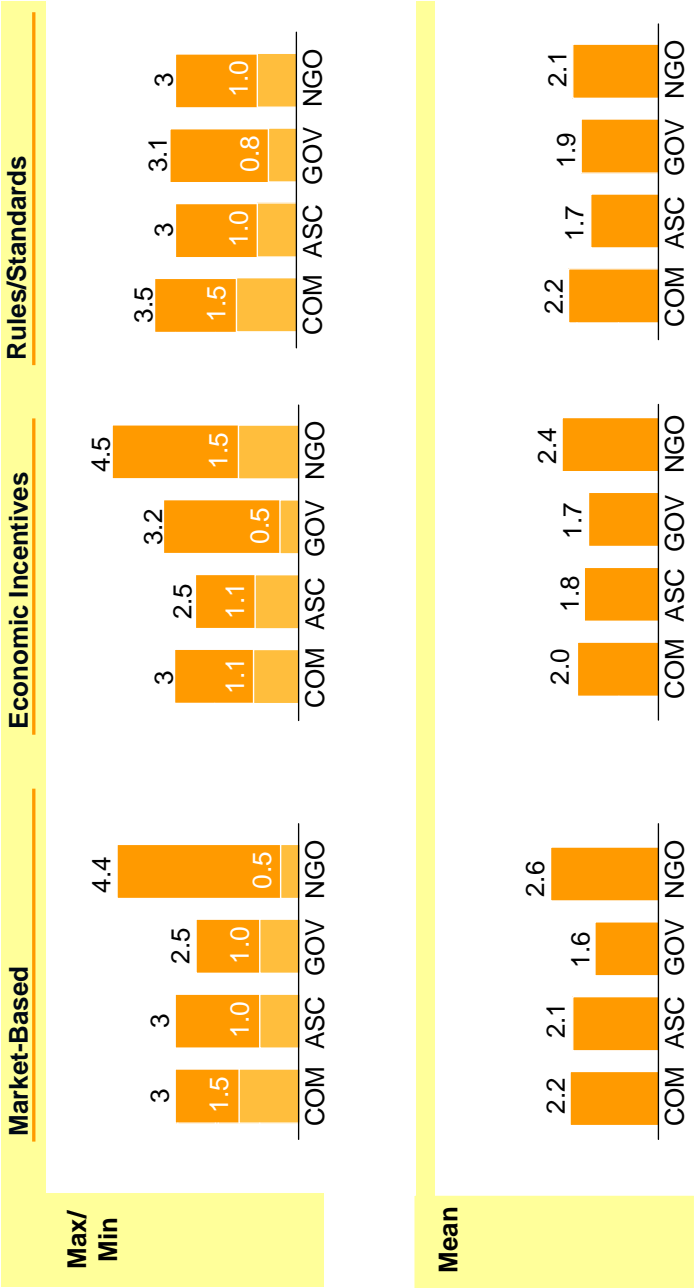


Source: Thesis Merle Lückemeyer, * sorted by significance of Kruskal-Wallis-Test, Least Agreed Group is empty for economic incentives, as no test was significant

Figure .31: Groups: Intergroup Agreement (Other Instruments)

GROUPS: INTRAGROUP AGREEMENT (ALL BLOCKS)

in medium quartile distance



Source: Thesis Merle Lückemeyer

Figure .32: Groups: Intragroup Agreement

GROUPS: SKEWNESS OF VOTE (MARKET-BASED)

in percent of votes by category of vote

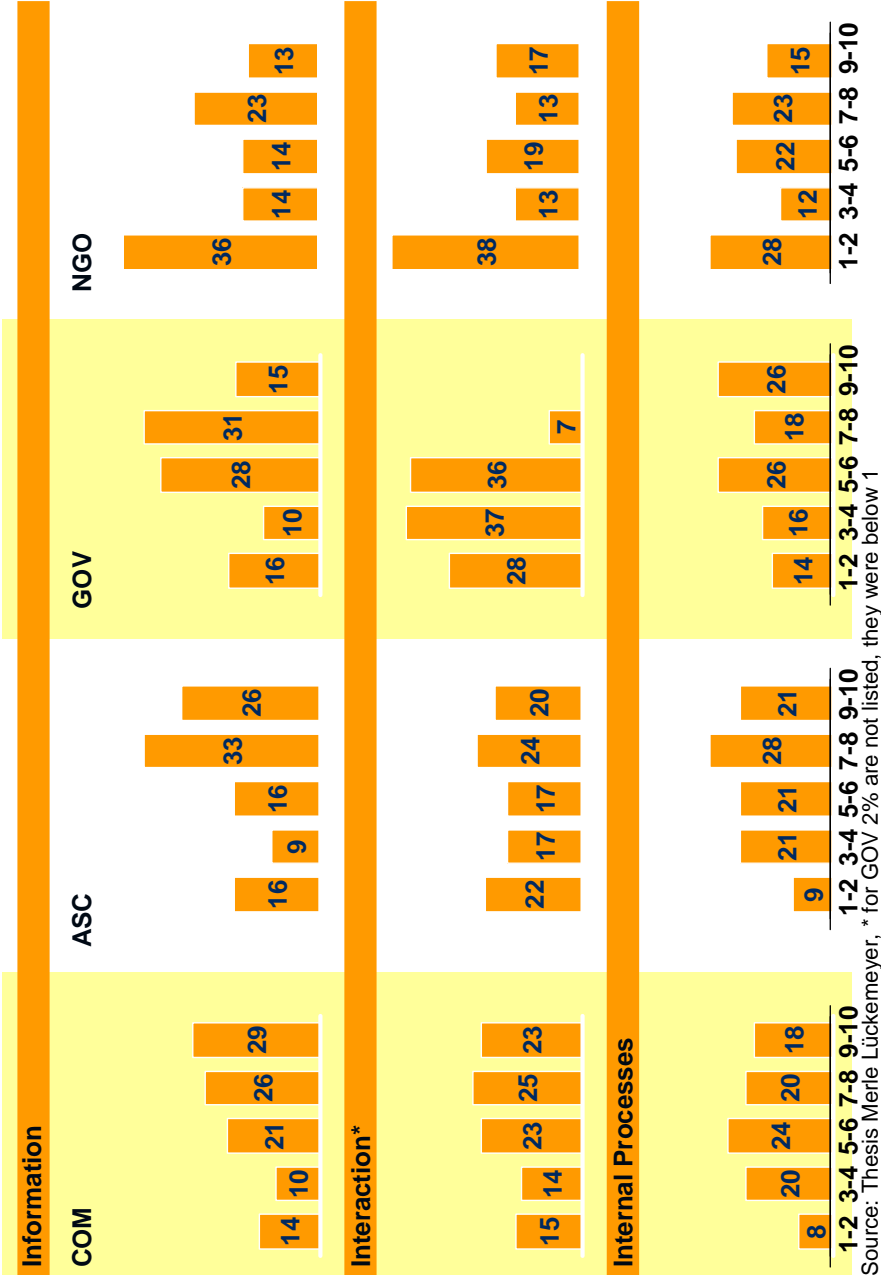


Figure .33: Groups: Skewness of Vote (Market-Based Instruments)

GROUPS: SKEWNESS OF VOTE (ECONOMIC INCENTIVES)

in percent of votes by category of vote

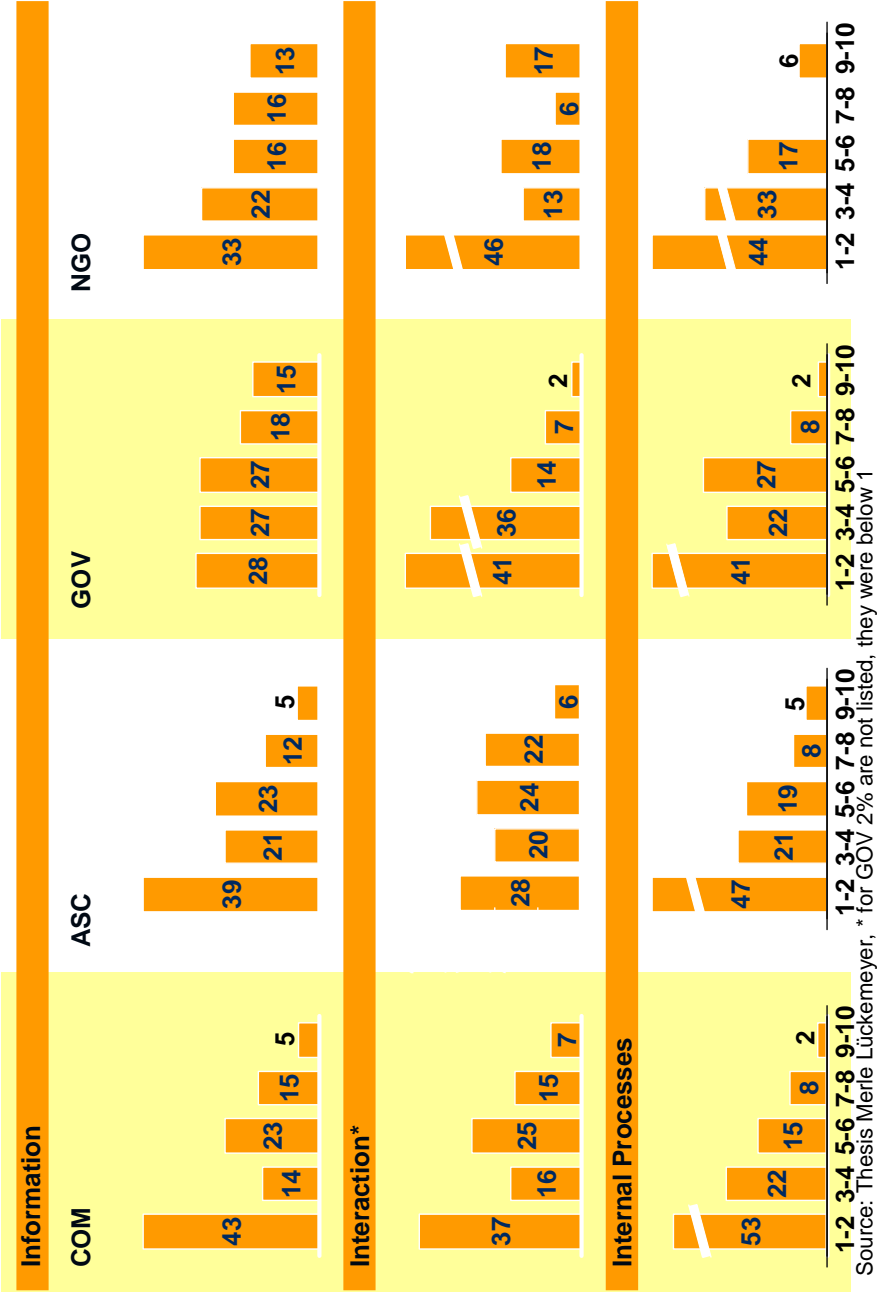
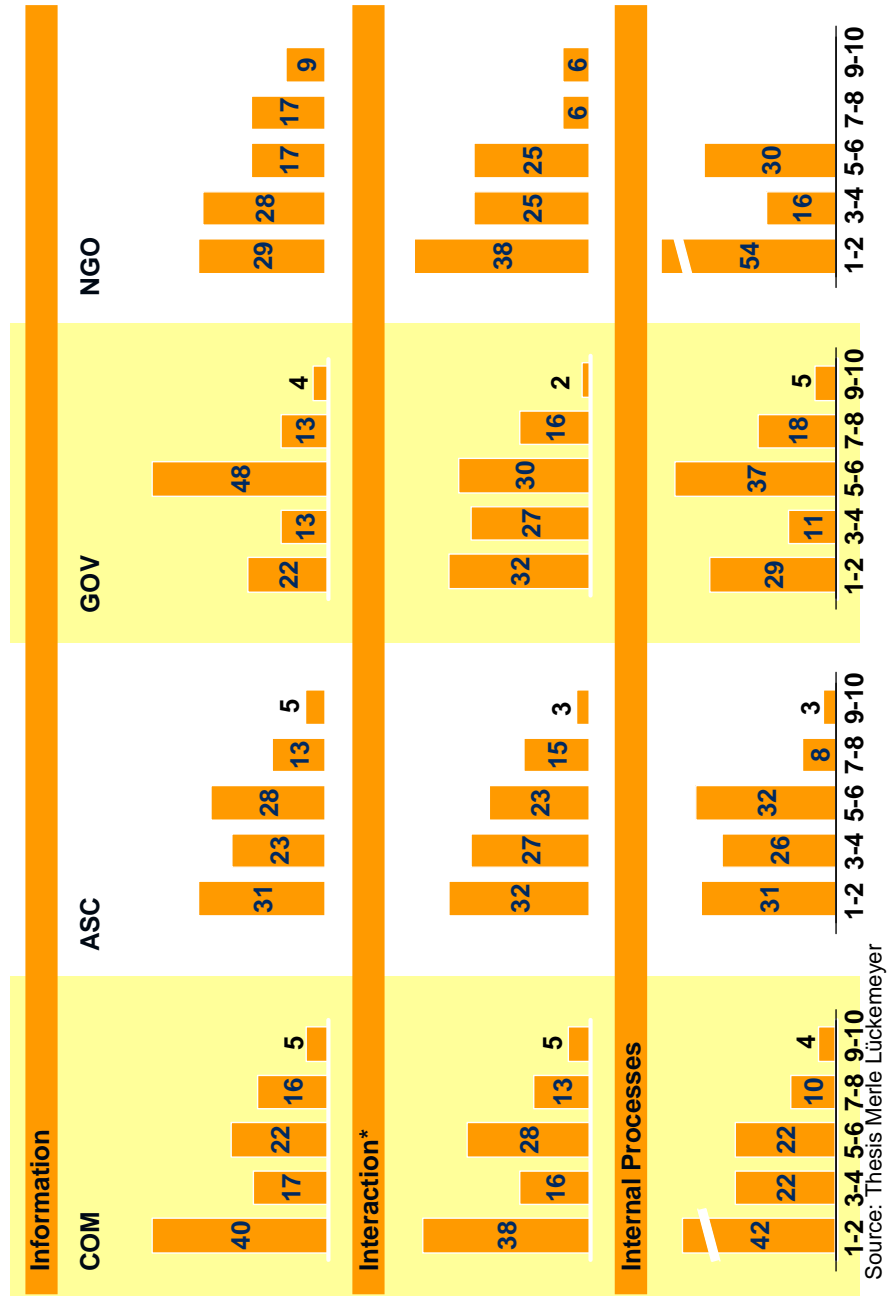


Figure .34: Groups: Skewness of Vote (Economic Incentives)

GROUPS: SKEWNESS OF VOTE (RULES/STANDARDS)

in percent of votes by category of vote



Source: Thesis Merle Lückemeyer

Figure .35: Groups: Skewness of Vote (Rules and Standards)

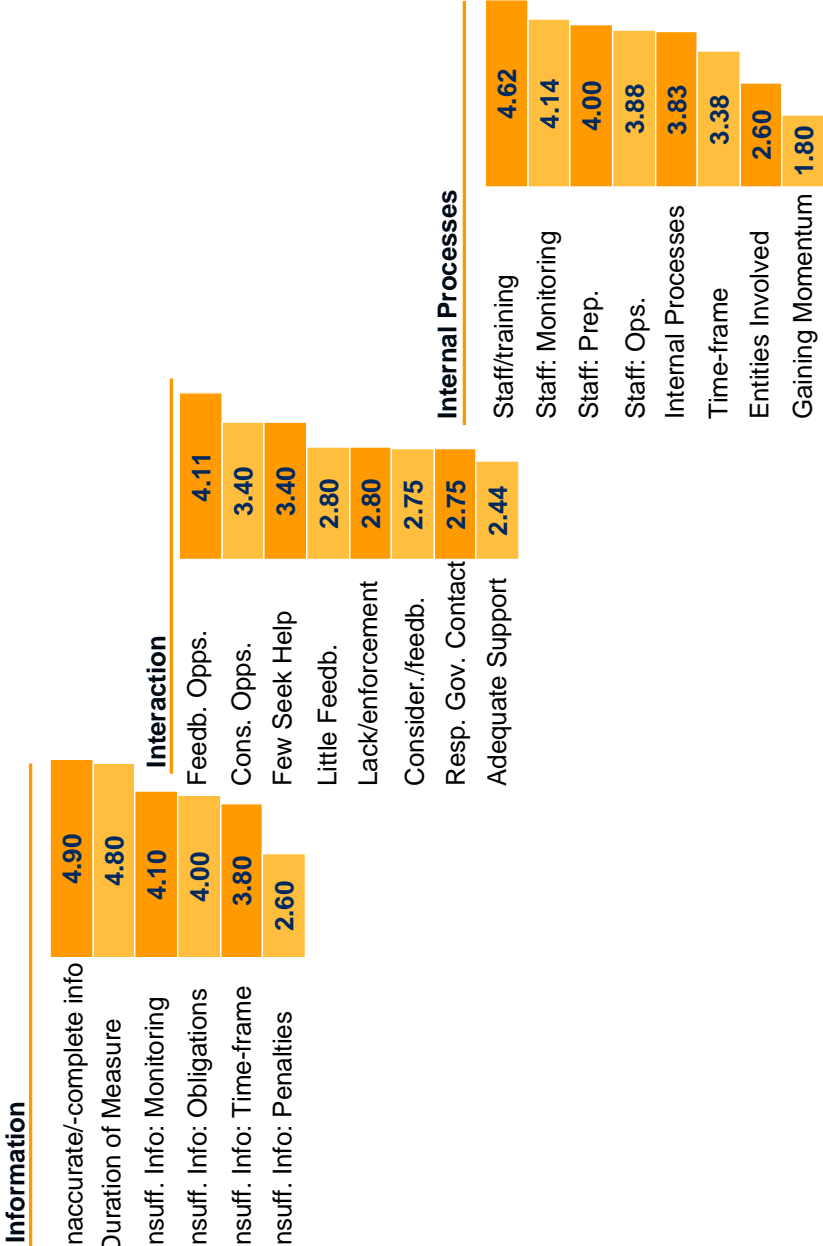
GOVERNMENTS' CONCERNS – MARKET-BASED INSTRUMENTS

Information	Grouped		
	Mean	Median	Stdev.
Providing accurate and complete information during pre-law phase so that companies may adjust early	7.5	7.5	7.4
Providing sufficient and clear information once the measure has been passed concerning the following provisions:			
obligations to be met	5.6	5	5.7
monitoring process	7.5	7	7.2
penalties	3.4	3	3
time-frame to implement	6.9	8	7.5
Providing reliable information how long the measure will be in force at minimum until it is replaced or repealed	4	3	3.7
Interaction with companies/affected groups			
Few opportunities for companies/groups to participate in consultation before the measure was passed	4.1	5	4.4
During implementation, it is maybe not clear enough for companies who the responsible government contact is in case they need help	2.9	3	3.2
During implementation, few companies seek help when they need it, even though they know who to contact	3	3	3
During implementation, we maybe do not support companies adequately	3.6	3	3.4
There may be a lack of enforcement (monitoring etc.)	3.8	3	3.5
We create few opportunities for providing feedback once the measure is in force	3.2	3	3
Few companies give feedback, even though they have the opportunity	3.8	5	3.7
It is hard to consider feedback adequately in revisions of measure	4.7	5	5.1
Internal processes of government entity/entities			
Time-frame for implementation too short	8.9	10	9.3
Insufficient resources/personnel:			
during preparation	7.8	7.5	7.6
during operation	7.1	7.5	7.3
during monitoring (if applicable)	6.7	7	7
Staff needs training to cope with new tasks	6.5	6	6.25
Internal processes/organisation need to be reshaped to implement measure	4.8	5	5
Too many different government entities share the responsibility for implementation	3.5	3	3.2
It is hard to gain momentum, because the new issue is comparatively low on our agenda	2.7	2	2.4

Source: Thesis Merle Lückemeyer

Figure .36: Governments: Statistics (Market-Based Instruments)

GOVERNMENTS' CONCERNS – ECONOMIC INCENTIVES



Source: Thesis Merle Lückemeyer

Figure .37: Governments: Details Economic Incentives)

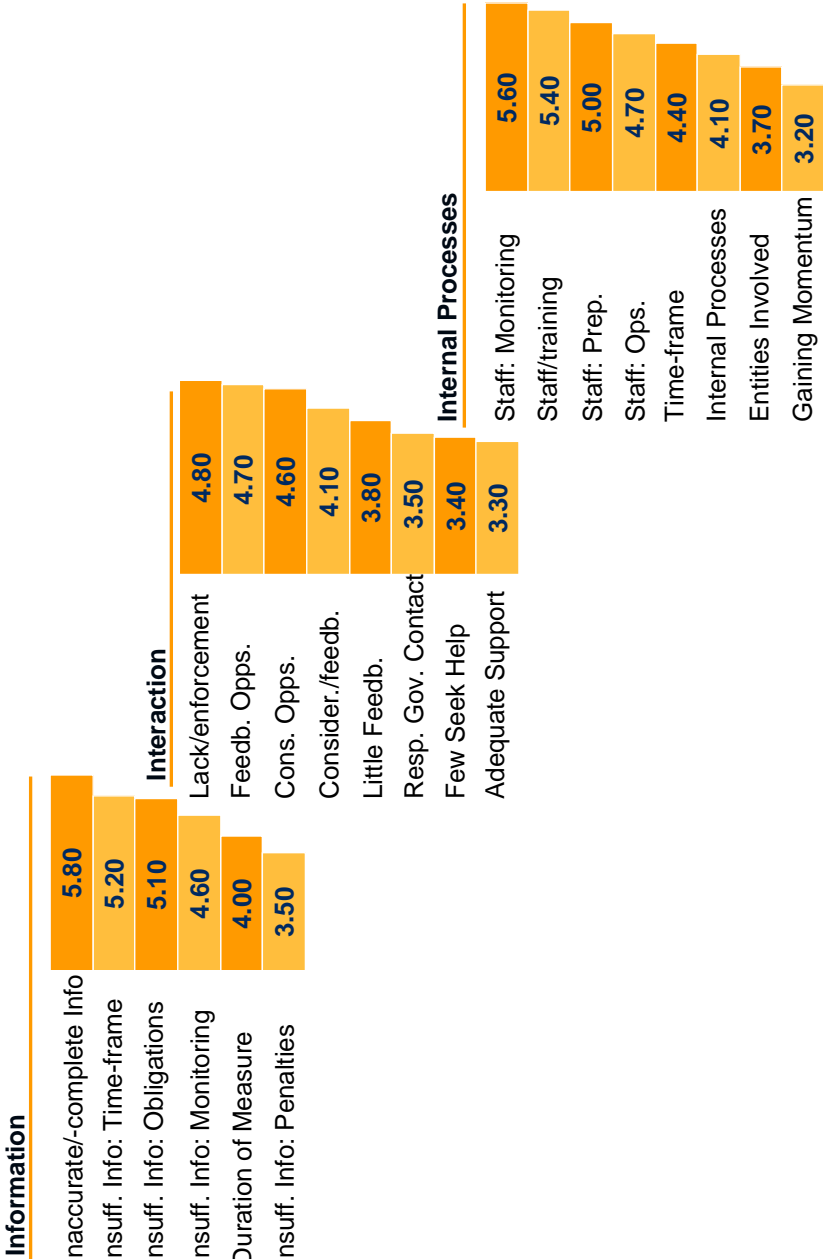
GOVERNMENTS' CONCERNS – ECONOMIC INCENTIVES

Information	Mean	Median	Grouped Median	Stdev.
Providing accurate and complete information during pre-law phase so that companies may adjust early	4.9	4.5	4.5	2.51
Providing sufficient and clear information once the measure has been passed concerning the following provisions:				
obligations to be met	4	3.5	3.8	2.3
monitoring process	4.1	4	4	2.39
penalties	2.6	2.5	2.5	1.41
time-frame to implement	3.8	5	3.7	1.86
Providing reliable information how long the measure will be in force at minimum until it is replaced or repealed	4.8	5	4.8	2.33
Interaction with companies/affected groups				
Few opportunities for companies/groups to participate in consultation before the measure was passed	3.4	4	3.5	1.94
During implementation, it is maybe not clear enough for companies who the responsible government contact is in case they need help	2.8	3	3	1.58
During implementation, few companies seek help when they need it, even though they know who to contact	3.4	4	3.5	1.62
During implementation, we maybe do not support companies adequately	2.4	3	2.4	1.33
There may be a lack of enforcement (monitoring etc.)	2.8	3	2.5	2.04
We create few opportunities for providing feedback once the measure is in force	4.1	4	3.3	3.18
Few companies give feedback, even though they have the opportunity	2.8	2	2	1.91
It is hard to consider feedback adequately in revisions of measure	2.8	3	2.7	1.67
Internal processes of government entity/entities				
Time-frame for implementation too short	3.4	3.5	3.5	1.92
Insufficient resources/personnel:				
during preparation	4	5	4.2	2.14
during operation	3.9	4	3.6	2.3
during monitoring (if applicable)	4.1	4	4	2.41
Staff needs training to cope with new tasks	4.6	4.5	4.5	2.97
Internal processes/organisation need to be reshaped to implement measure	3.8	4.5	4.3	2.4
Too many different government entities share the responsibility for implementation				
It is hard to gain momentum, because the new issue is comparatively low on our agenda	2.6	2	2.3	1.51
	1.8	1	1.3	1.86

Source: Thesis Merle Lückemeyer

Figure .38: Governments: Statistics (Economic Incentives)

GOVERNMENTS’ CONCERNS – RULES AND STANDARDS



Source: Thesis Merle Lückemeyer

Figure .39: Governments: Details (Rules and Standards)

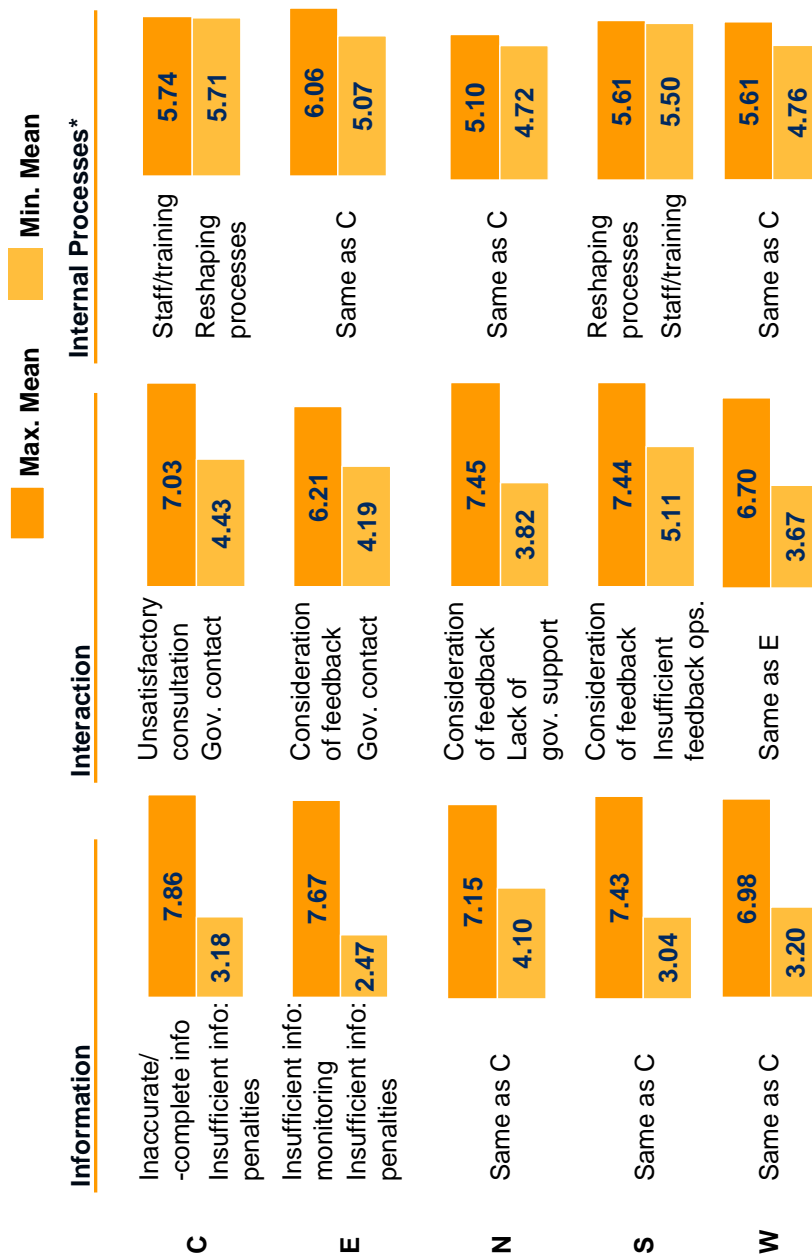
GOVERNMENTS' CONCERNS – RULES AND STANDARDS

Information	Mean			Grouped Median			Stdev.
Providing accurate and complete information during pre-law phase so that companies may adjust early	5.8	6	5.7	1.8			
Providing sufficient and clear information once the measure has been passed concerning the following provisions:							
obligations to be met	5.1	5	5.2	2.8			
monitoring process	4.6	5	5	1.43			
penalties	4	3.5	3.8	2.54			
time-frame to implement	5.2	5	5.2	1.62			
Providing reliable information how long the measure will be in force at minimum until it is replaced or repealed	3.5	3	3.2	2.27			
Interaction with companies/affected groups							
Few opportunities for companies/groups to participate in consultation before the measure was passed	4.6	5	4.8	2.72			
During implementation, it is maybe not clear enough for companies who the responsible government contact is in case they need help	3.5	3	3.3	1.96			
During implementation, few companies seek help when they need it, even though they know who to contact	3.4	4	3.5	1.59			
During implementation, we maybe do not support companies adequately	3.3	3	3	2.11			
There may be a lack of enforcement (monitoring etc.)	4.8	5	5.4	2.77			
We create few opportunities for providing feedback once the measure is in force	4.7	4	4	3.05			
Few companies give feedback, even though they have the opportunity	3.8	5	3.7	1.86			
It is hard to consider feedback adequately in revisions of measure	4.1	5	4.4	2.42			
Internal processes of government entity/entities							
Time-frame for implementation too short	4.4	5	4.5	2.37			
Insufficient resources/personnel:							
during preparation	5	5	5.2	2.98			
during operation	4.7	5	4.8	2.67			
during monitoring (if applicable)	5.6	6.5	6.2	2.84			
Staff needs training to cope with new tasks	5.4	5.5	5.7	3.02			
Internal processes/organisation need to be reshaped to implement measure	4.1	5	4.7	2.03			
Too many different government entities share the responsibility for implementation	3.7	3	3	2.45			
It is hard to gain momentum, because the new issue is comparatively low on our agenda	3.2	4	3.3	1.99			

Source: Thesis Merle Lückemeyer

Figure .40: Governments: Statistics (Rules and Standards)

REGIONS: MAIN AND LEAST CONCERNS (MARKET-BASED)



* in block C, only Q 16 and Q 17 were comparable among groups. In groups A and B Q 1 to Q 11 were comparable
Source: Thesis Merle Lückemeyer

Figure .41: Regions: Concerns (Market-Based Instruments)

REGIONS: STATISTICS – MARKET-BASED INSTRUMENTS

Information				
	Mean	Median	Grouped Median	Standard Deviation
C	Highest	7.86	8	8
	Lowest	3.18	2	2.56
E	Highest	7.67	8	8
	Lowest	2.47	1	1.6
N	Highest	7.15	7	7.33
	Lowest	4.1	3	3
S	Highest	7.43	8	7.89
	Lowest	3.04	2.5	2.5
W	Highest	6.98	8	7.33
	Lowest	3.2	2	2.31

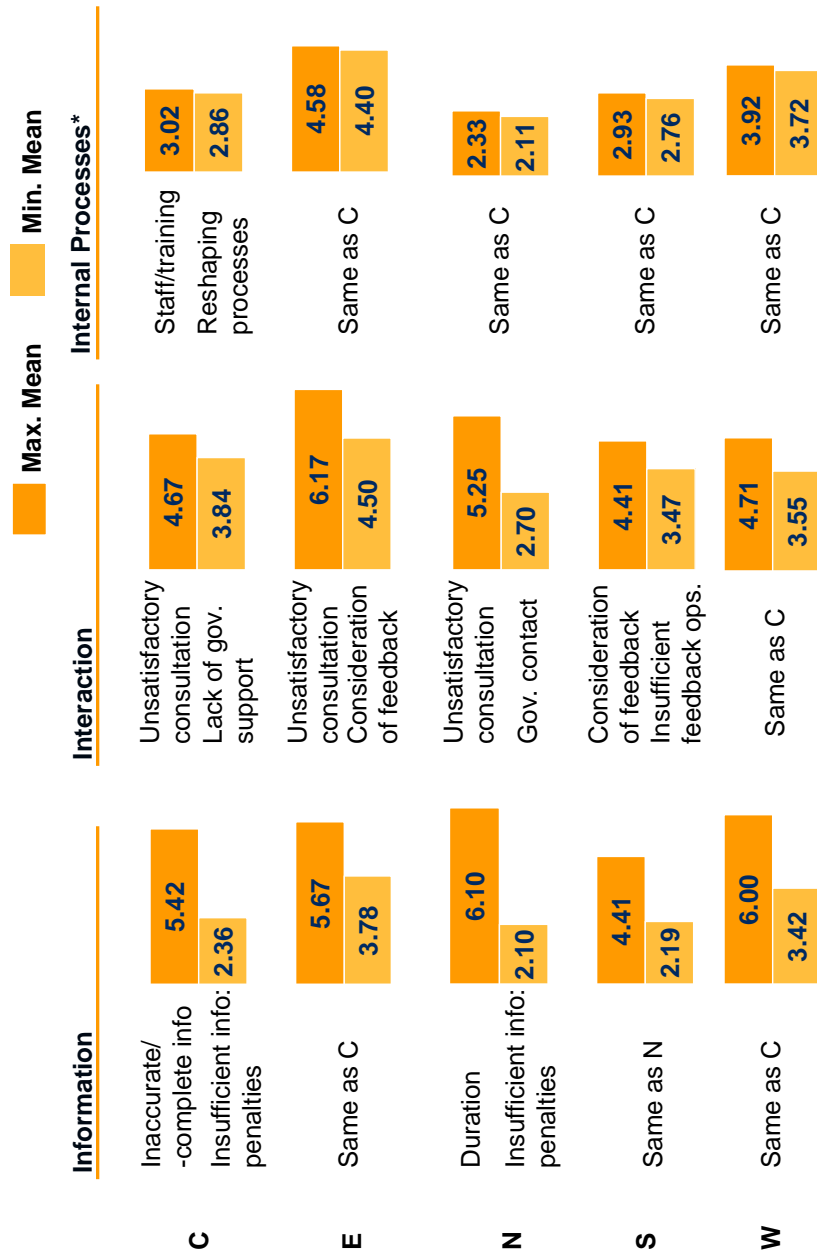
Interaction				
	Mean	Median	Grouped Median	Standard Deviation
C	Highest	7.03	7.5	7.6
	Lowest	4.43	4	3.64
E	Highest	6.21	6.5	6.5
	Lowest	4.19	3	3.25
N	Highest	7.45	9	9
	Lowest	3.82	3	3.33
S	Highest	7.44	8	8.2
	Lowest	5.11	5	3.18
W	Highest	6.7	7	6.78
	Lowest	3.67	2.5	2.45

Internal Processes				
	Mean	Median	Grouped Median	Standard Deviation
C	Highest	5.74	5	5.35
	Lowest	5.71	5	5
E	Highest	6.06	5.5	5.67
	Lowest	5.07	3.5	3.88
N	Highest	5.1	5	5
	Lowest	4.72	5	4.8
S	Highest	5.61	5	5.41
	Lowest	5.5	5.5	5.67
W	Highest	5.61	6	5.9
	Lowest	4.76	5	4.67

Source: Thesis Merle Lückemeyer

Figure .42: Regions: Statistics (Market-Based Instruments)

REGIONS: MAIN AND LEAST CONCERNS (ECONOMIC INCENTIVES)



* in block C, only Q 16 and Q 17 were comparable among groups. In groups A and B Q 1 to Q 11 were comparable
Source: Thesis Merle Lückemeyer

REGIONS: STATISTICS – ECONOMIC INCENTIVES

Information				
	Mean	Median	Grouped Median	Standard Deviation
C	Highest	5.42	5	2.52
	Lowest	2.36	1	1.95
E	Highest	5.67	7.5	3.77
	Lowest	3.78	4	2.62
N	Highest	6.1	7.5	3.37
	Lowest	2.1	1	1.91
S	Highest	4.41	5	3
	Lowest	2.19	1	1.68
W	Highest	6	6.5	2.67
	Lowest	3.42	2	2.9

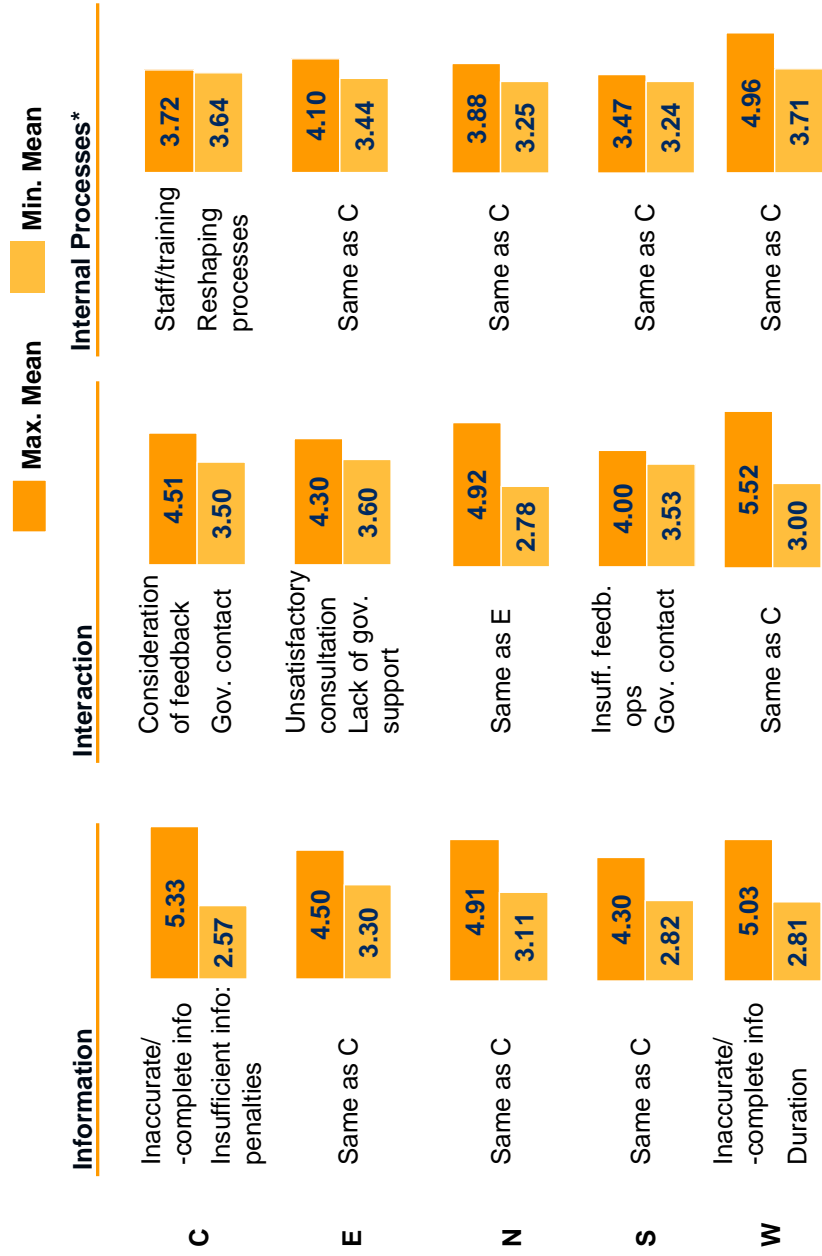
Interaction				
	Mean	Median	Grouped Median	Standard Deviation
C	Highest	4.67	5	2.32
	Lowest	3.84	3.3	2.48
E	Highest	6.17	7	3.81
	Lowest	4.5	3.5	3.66
N	Highest	5.25	5	2.9
	Lowest	2.7	1.5	2.45
S	Highest	4.41	5	3.1
	Lowest	3.47	3	2.47
W	Highest	4.71	5	2.71
	Lowest	3.55	3	2.66

Internal Processes				
	Mean	Median	Grouped Median	Standard Deviation
C	Highest	3.02	3	1.77
	Lowest	2.86	2	1.78
E	Highest	4.58	3.5	3.55
	Lowest	4.4	3	3.44
N	Highest	2.33	2	1.22
	Lowest	2.11	1	1.69
S	Highest	2.93	3	1.7
	Lowest	2.76	2	2.02
W	Highest	3.92	3	2.6
	Lowest	3.72	4	2.44

Source: Thesis Merle Lückemeyer

Figure .44: Regions: Statistics (Economic Incentives)

REGIONS: MAIN AND LEAST CONCERNS (RULES/STANDARDS)



* in block C, only Q 16 and Q 17 were comparable among groups. In groups A and B Q 1 to Q 11 were comparable
Source: Thesis Merle Lückemeyer

REGIONS: STATISTICS – RULES AND STANDARDS

Information					
	Mean	Median	Grouped	Median	Standard Deviation
C	Highest	5.33	5	5.27	2.64
	Lowest	2.57	1.6	1.6	2.02
E	Highest	4.5	4.5	4.5	3.34
	Lowest	3.3	2.5	3.5	2.75
N	Highest	4.91	5	5	2.84
	Lowest	3.11	2	2	2.42
S	Highest	4.3	4.5	4.33	2.94
	Lowest	2.82	1	1.64	2.9
W	Highest	5.03	5	5.28	2.92
	Lowest	2.81	2	2.25	2.04

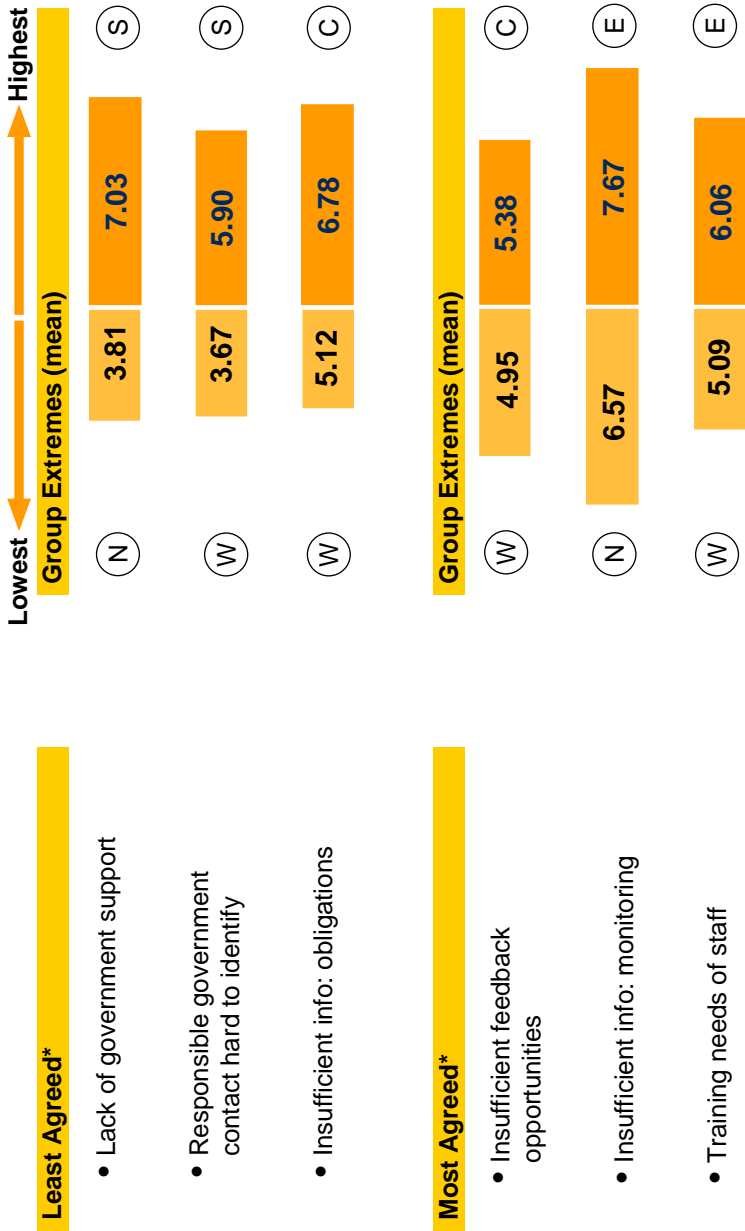
Interaction					
	Mean	Median	Grouped	Median	Standard Deviation
C	Highest	4.51	4	4.44	2.57
	Lowest	3.5	3	3	2.27
E	Highest	4.3	5	5	3.02
	Lowest	3.6	2	2.67	3.34
N	Highest	4.92	5	5	2.35
	Lowest	2.78	1	1.67	2.59
S	Highest	4	3	3	3.3
	Lowest	3.53	3	2.67	2.92
W	Highest	5.52	6	5.9	2.73
	Lowest	3	3	2.43	2.15

Internal Processes					
	Mean	Median	Grouped	Median	Standard Deviation
C	Highest	3.72	4	4	1.68
	Lowest	3.64	3.3	3.26	1.66
E	Highest	4.1	3.5	3.5	3.38
	Lowest	3.44	3	3	2.55
N	Highest	3.88	4	4	2.3
	Lowest	3.25	3	3	2.43
S	Highest	3.47	3	3.2	2.35
	Lowest	3.24	3	3	2.11
W	Highest	4.96	5	4.86	3.19
	Lowest	3.71	4	3.43	2.64

Source: Thesis Merle Lückemeyer

Figure .46: Regions: Statistics (Rules and Standards)

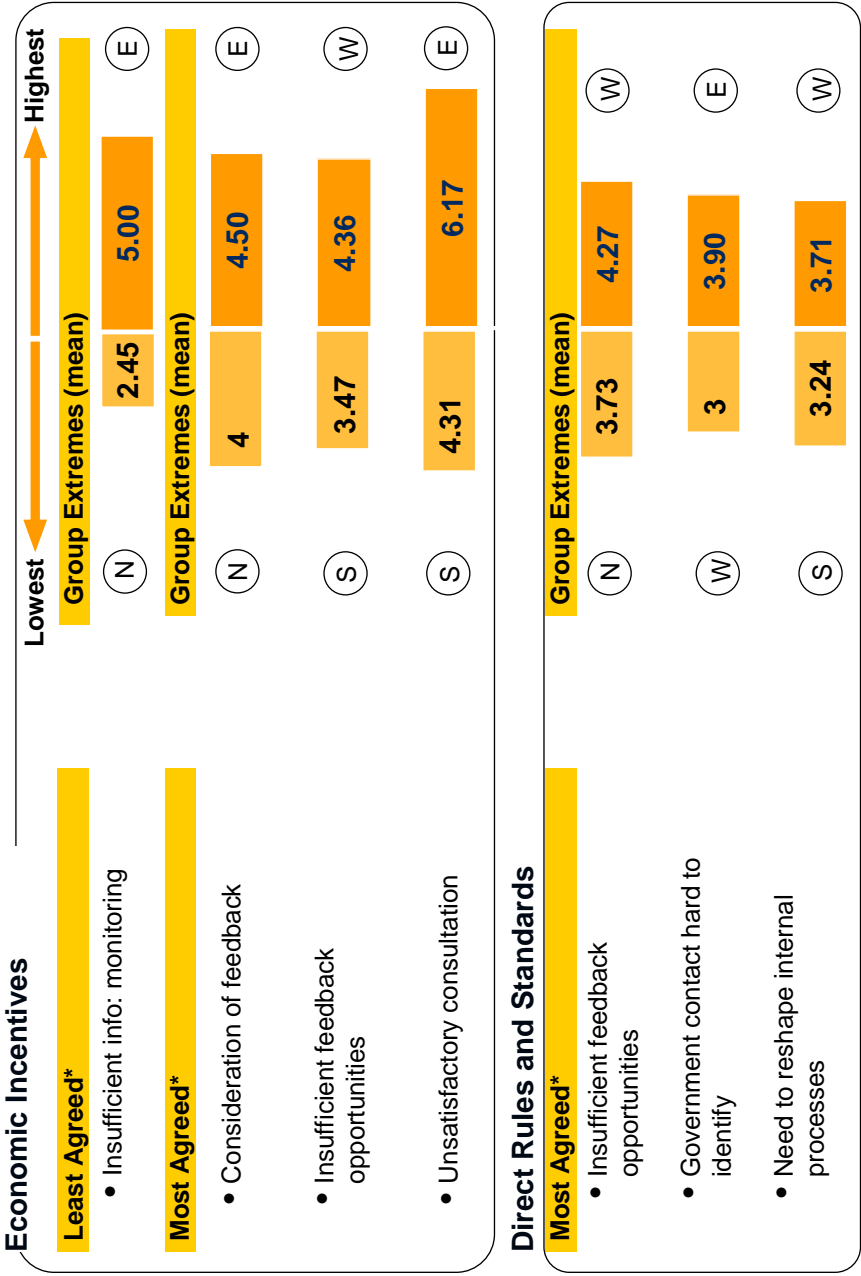
REGIONS: INTERGROUP AGREEMENT ON ISSUES (MARKET-BASED)



Source: Thesis Merle Lückemeyer, * sorted by significance of Kruskal-Wallis-Test

Figure .47: Regions: Intergroup Agreement (Market-Based Instruments)

REGIONS: INTERGROUP AGREEMENT ON ISSUES

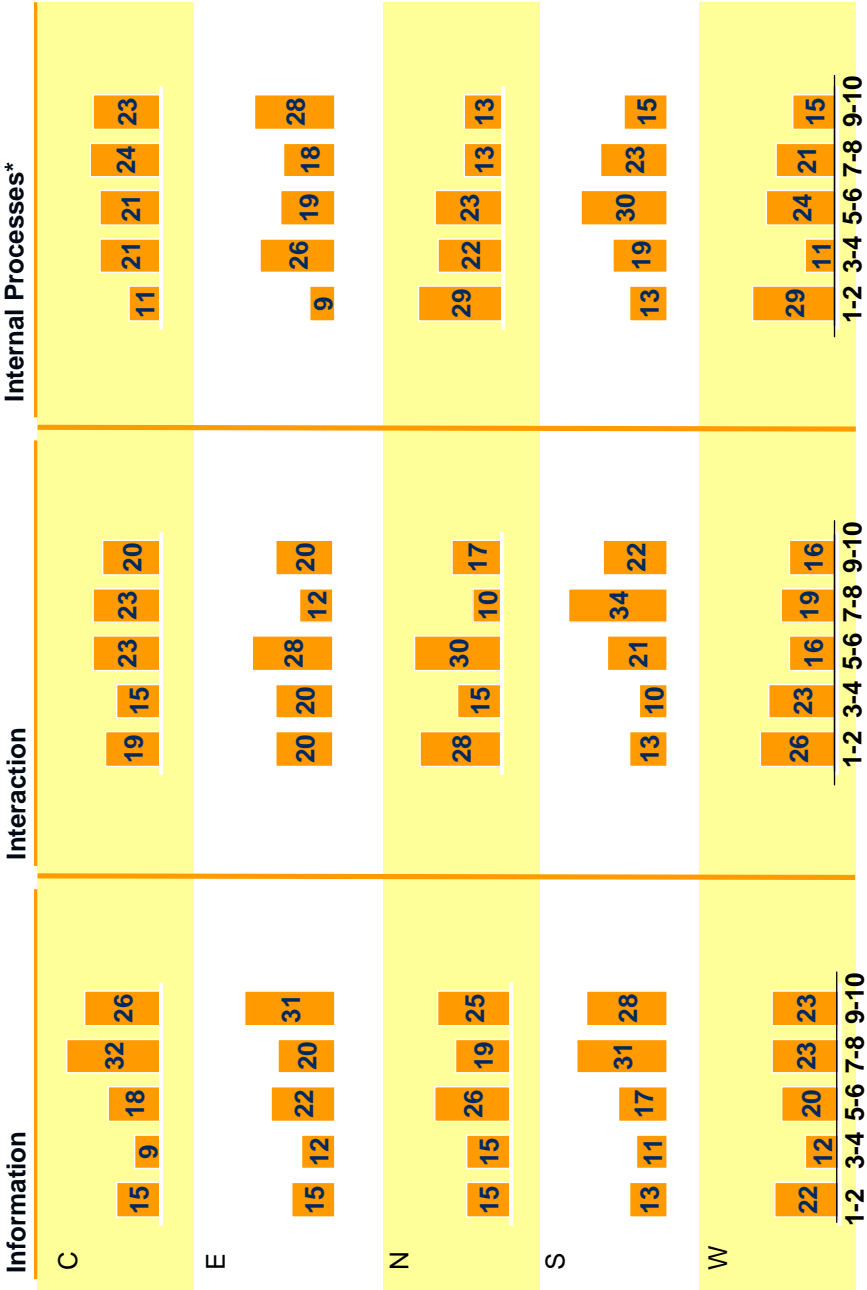


Source: Thesis Merle Lückemeyer, * sorted by significance of Kruskal-Wallis-Test, Least Agreed Group is empty for Rules and Standards, as no test was significant

Figure .48: Regions: Intergroup Agreement (Other Instruments)

REGIONS: SKEWNESS OF VOTE (MARKET-BASED)

in percent of votes by category of vote



Source: Thesis Merle Lückemeyer

Figure .49: Regions: Skewness of Vote (Market-Based Instruments)

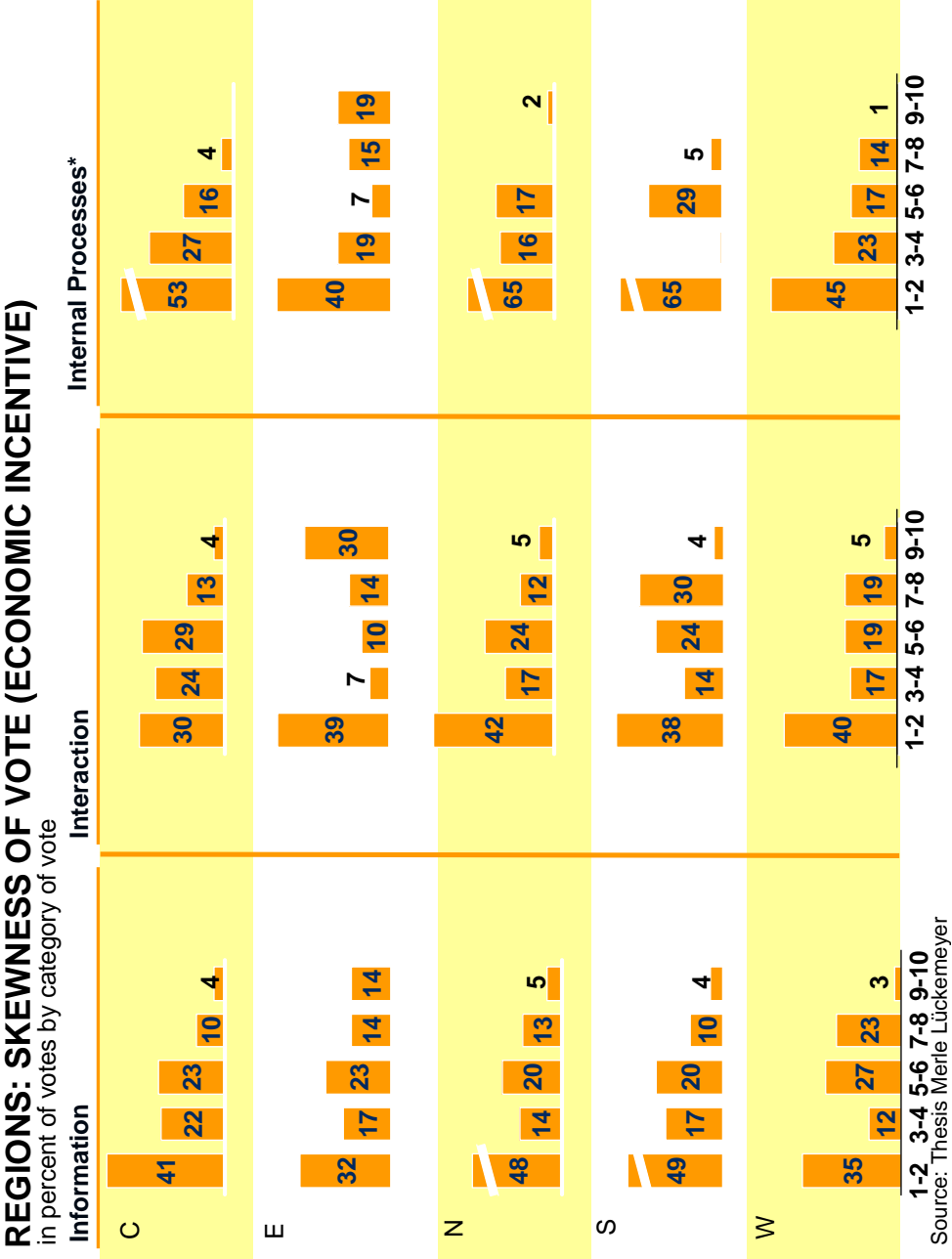
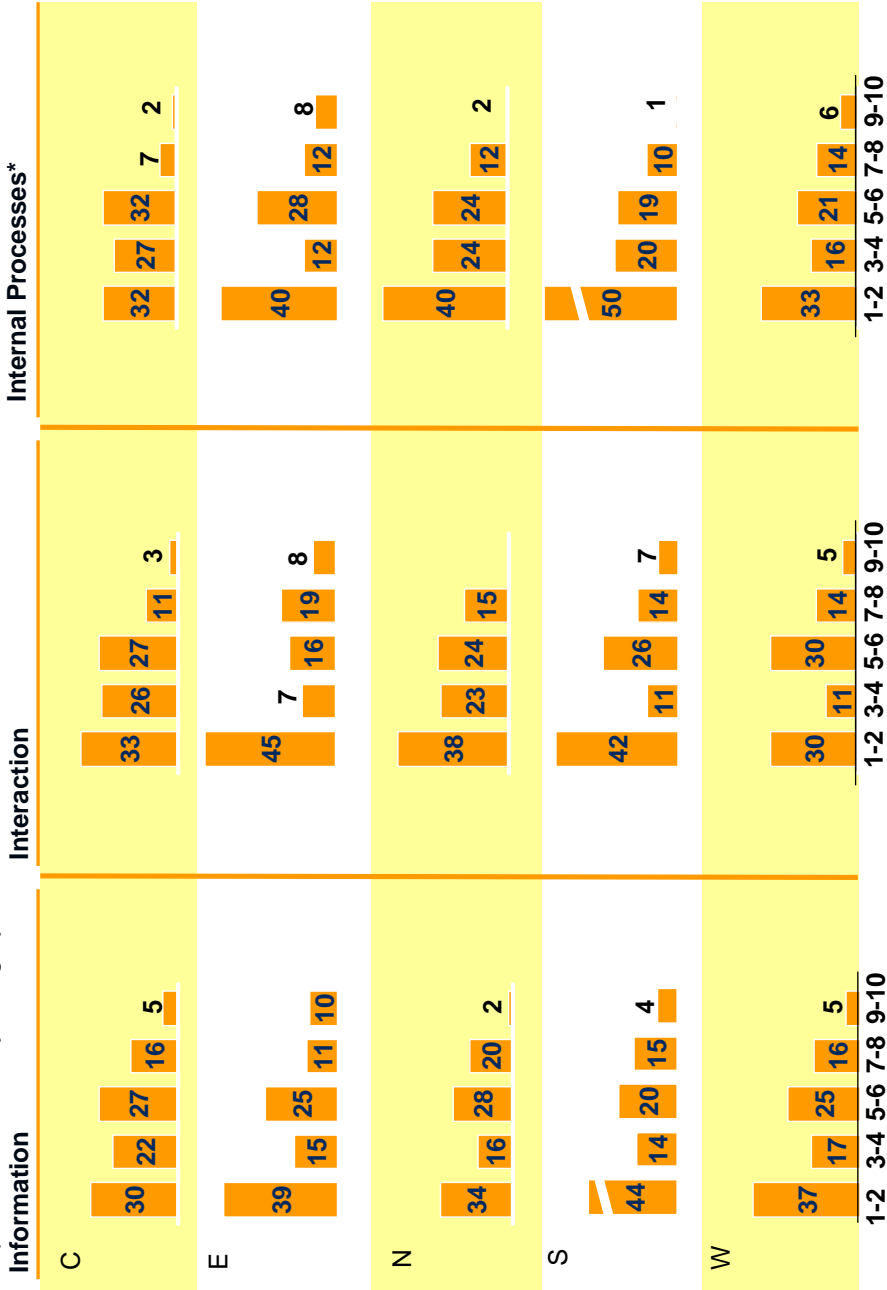


Figure .50: Regions: Skewness of Vote (Economic Incentives)

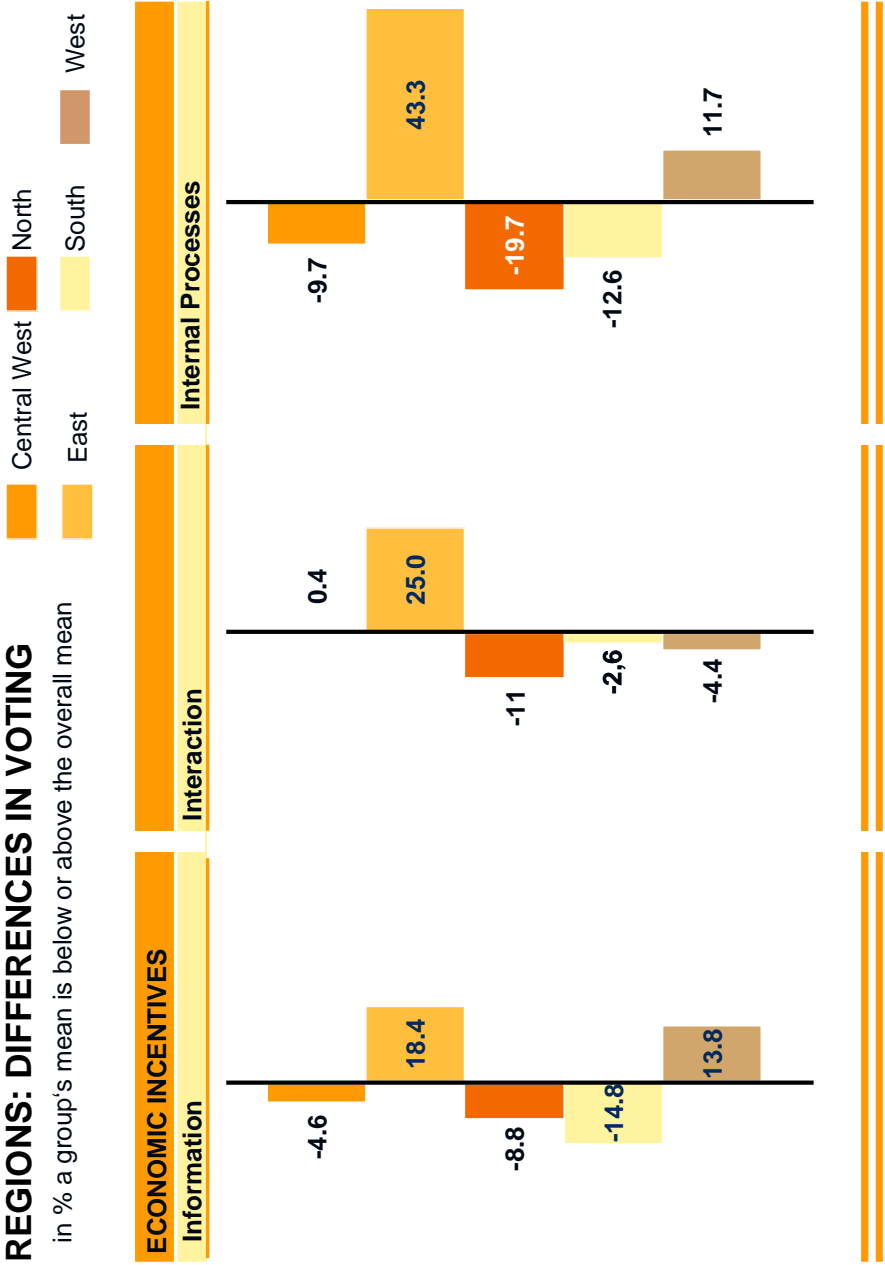
REGIONS: SKEWNESS OF VOTE (RULES/STANDARDS)

in percent of votes by category of vote



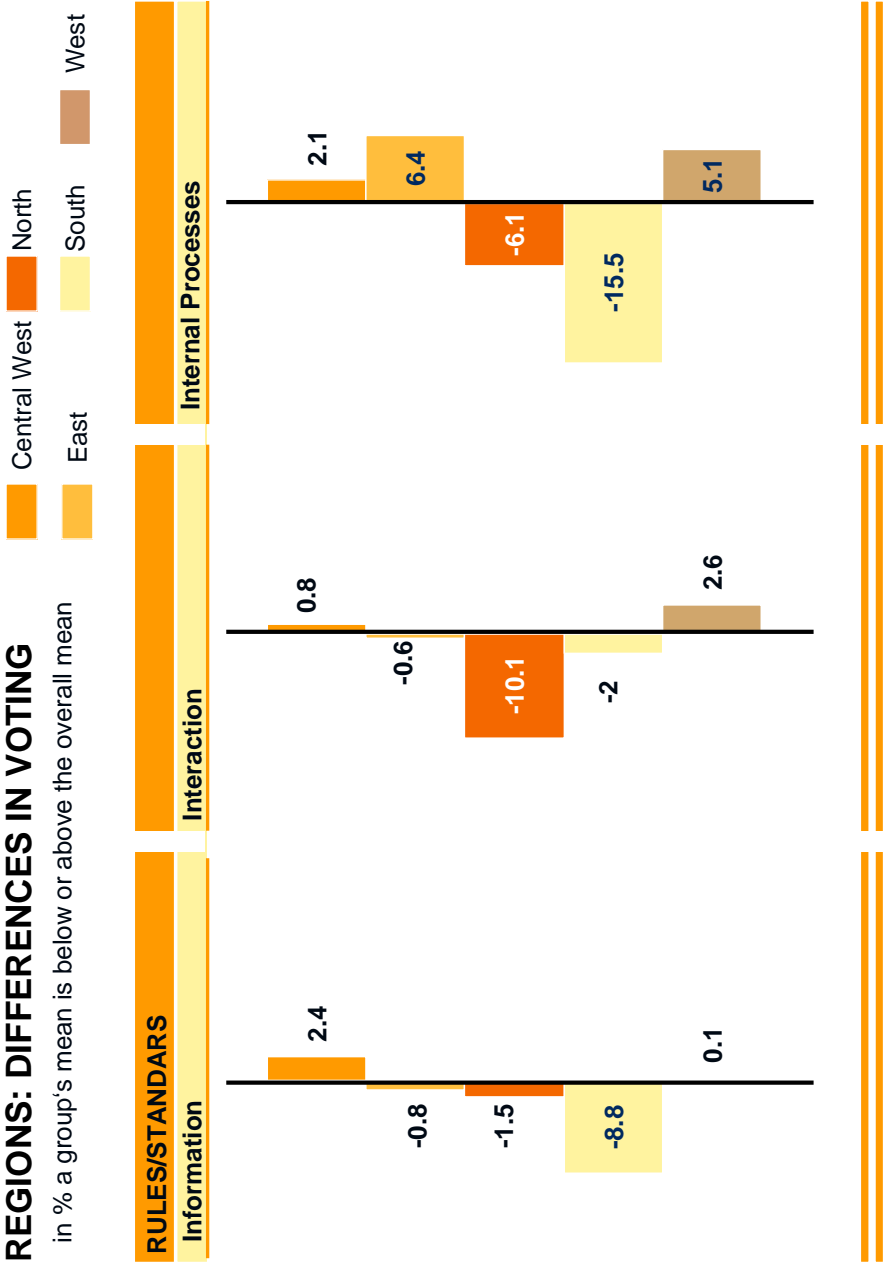
Source: Thesis Merle Lückemeyer

Figure .51: Regions: Skewness of Vote (Rules and Standards)



Source: Thesis Merle Lückemeyer

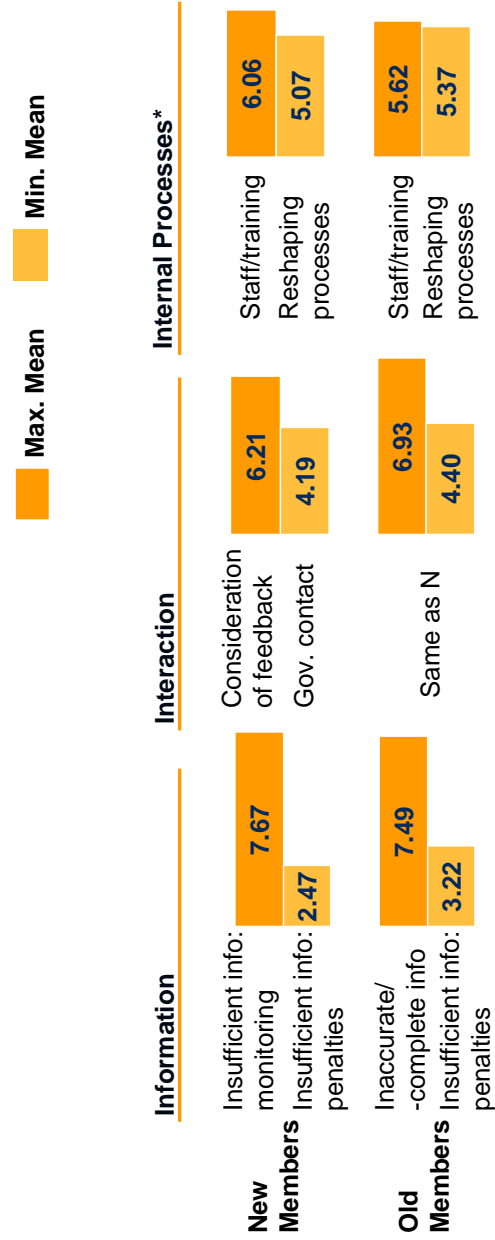
Figure .52: Regions: Voting (Economic Incentives)



Source: Thesis Merle Lückemeyer

Figure .53: Regions: Voting (Rules and Standards)

MEMBERS: MAIN AND LEAST CONCERNS (MARKET-BASED)



* in block C, only Q 16 and Q 17 were comparable among groups. In groups A and B Q 1 to Q 11 were comparable
Source: Thesis Merle Lückemeyer

Figure .54: Members: Concerns (Market-Based Instruments)

MEMBERS: STATISTICS – MARKET-BASED INSTRUMENTS

Information					
New Members	Highest	Mean	Median	Grouped Median	Standard Deviation
	Lowest	7.67	2.47	8	2.29
			1	1.6	2.36
Old Members	Highest	7.49	8	7.98	2.33
	Lowest	3.22	2	2.46	2.47

Interaction					
New Members	Highest	Mean	Median	Grouped Median	Standard Deviation
	Lowest	6.21	6.5	6.5	3.17
		4.19	3	3.25	3.06
Old Members	Highest	6.93	7.5	7.39	2.96
	Lowest	4.4	4	3.61	3.07

Internal Processes					
New Members	Highest	Mean	Median	Grouped Median	Standard Deviation
	Lowest	6.06	5.5	5.67	2.67
		5.07	3.5	3.88	2.56
Old Members	Highest	5.62	5	5.56	2.66
	Lowest	5.37	5	4.98	2.59

Source: Thesis Merle Lückemeyer

Figure .55: Members: Statistics (Market-Based Instruments)

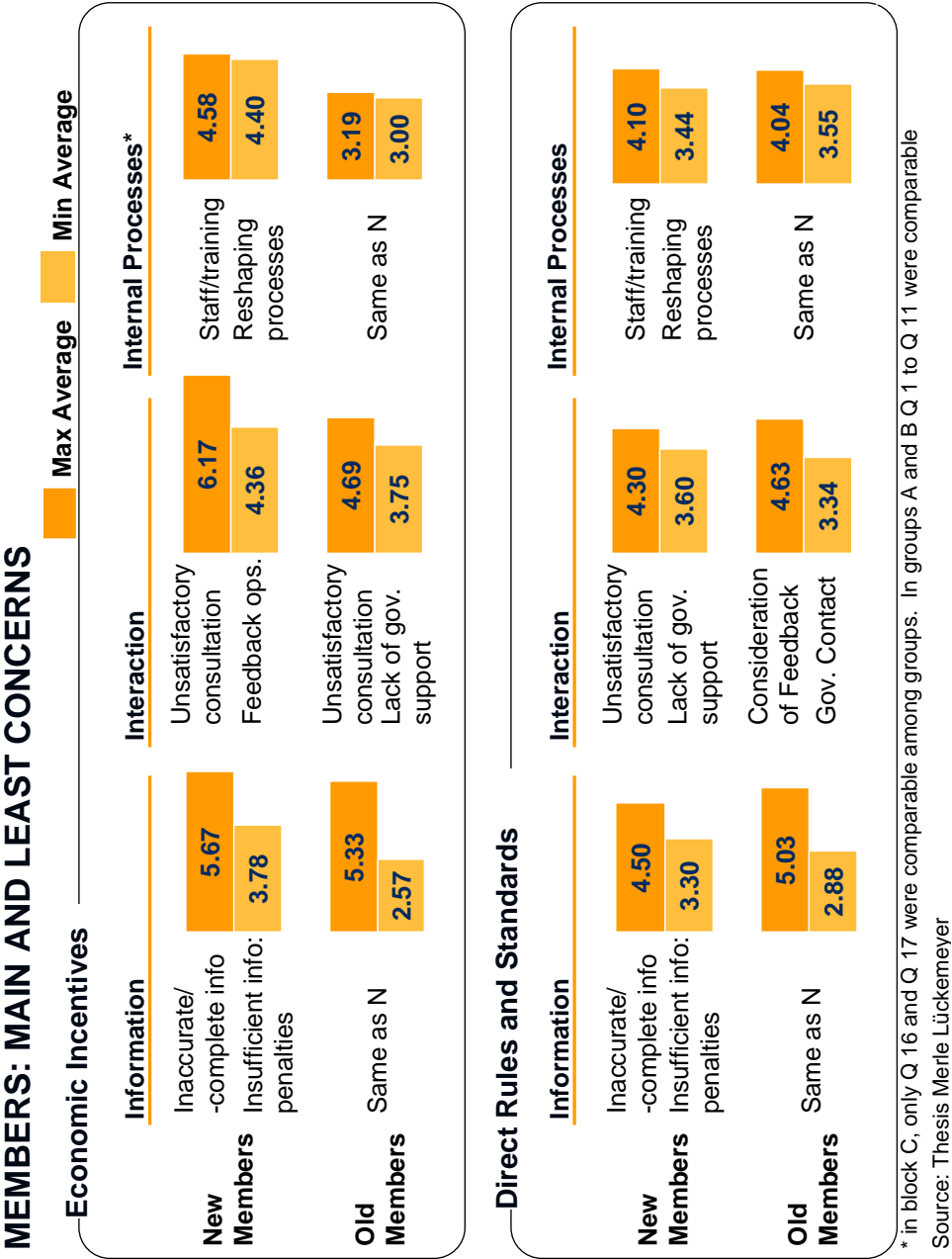


Figure .56: Members: Concerns (Economic Incentives)

MEMBERS: STATISTICS – ECONOMIC INCENTIVES

Information					
New Members		Mean		Median	
		Highest	Lowest	Highest	Lowest
Old Members	Highest	5.67	3.78	7.5	4
	Lowest	5.33	2.57	5	1
				Grouped Median	Standard Deviation
				7.25	3.77
				4	3.11
				5.56	2.68
				1.75	2.21

Interaction					
New Members		Mean		Median	
		Highest	Lowest	Highest	Lowest
Old Members	Highest	6.17	4.36	7	5
	Lowest	4.69	3.75	5	3.3
				Grouped Median	Standard Deviation
				4.43	3.81
				4.79	3.56
				3.27	2.52
				2.6	

Internal Processes					
New Members		Mean		Median	
		Highest	Lowest	Highest	Lowest
Old Members	Highest	4.58	4.4	7	3
	Lowest	3.19	3	3	2
				Grouped Median	Standard Deviation
				6.67	4.03
				3.5	3.44
				2.82	2.02
				2.36	2.05

Source: Thesis Merle Lückemeyer

Figure .57: Members: Statistics (Economic Incentives)

MEMBERS: STATISTICS – RULES AND STANDARDS

Information					
New Members	Highest	Mean		Median	
		4.5	4.5	4.5	4.5
Old Members	Highest	3.3		2.5	
		5.03	5	5.12	2.78
	Lowest	2.88		2	
				1.88	2.32

Interaction					
New Members	Highest	Mean		Median	
		4.3	5	5	3.02
Old Members	Highest	3.6		2	
		4.63	5	4.67	2.67
	Lowest	3.34		3	
				2.78	2.35

Internal Processes					
New Members	Highest	Mean		Median	
		4.1	3.5	3.5	3.81
Old Members	Highest	3.44		3	
		4.04	4	4.05	2.39
	Lowest	3.55		3.15	
				3.23	2.09

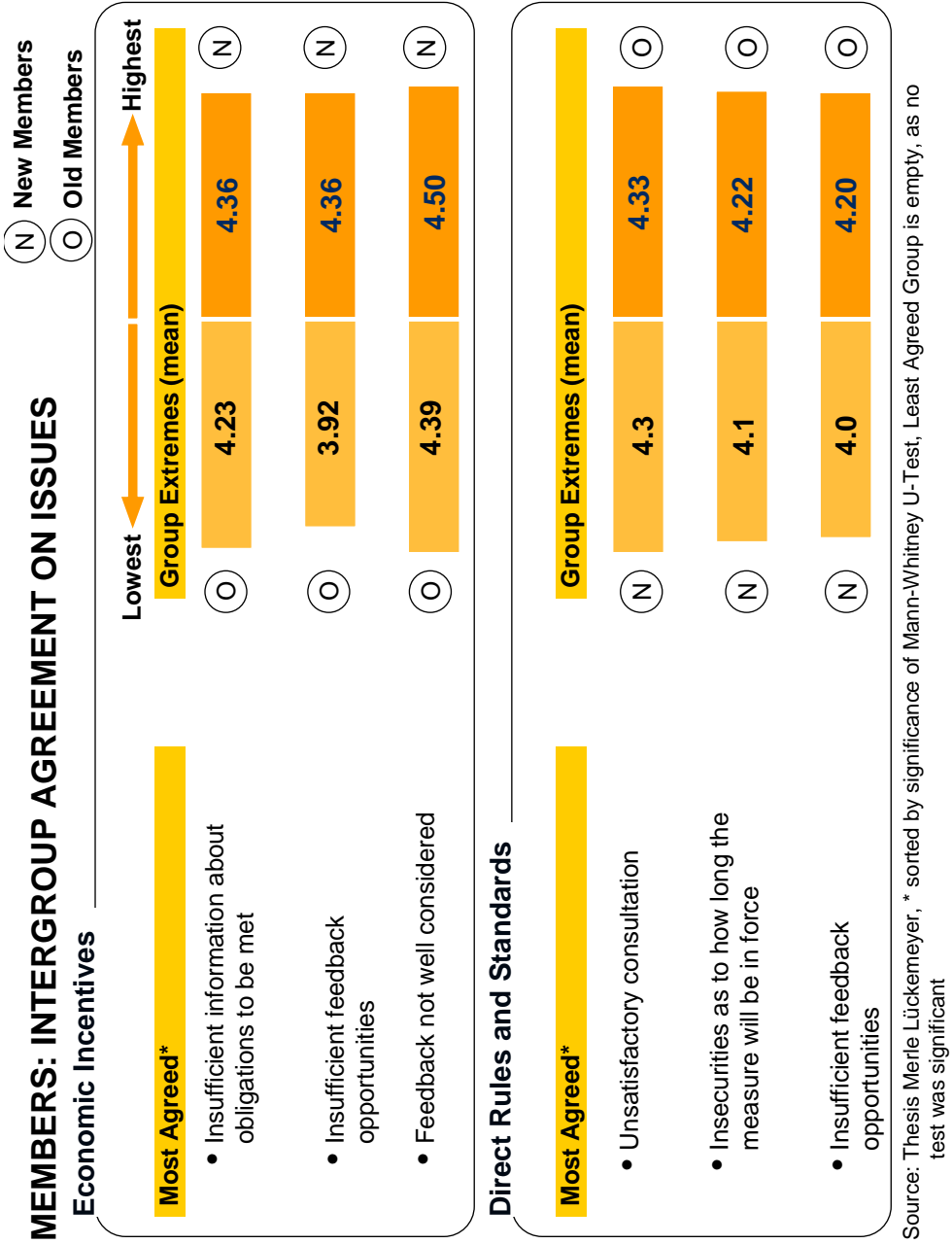
Source: Thesis Merle Lückemeyer

Figure .58: Members: Statistics (Rules and Standards)



* sorted by significance of Mann-Whitney U-Test
 Source: Thesis Merle Lückemeyer

Figure .59: Members: Intergroup Agreement (Market-Based Instruments)



Most Agreed*

• Unsatisfactory consultation

• Insecurities as to how long the measure will be in force

• Insufficient feedback opportunities

New Members

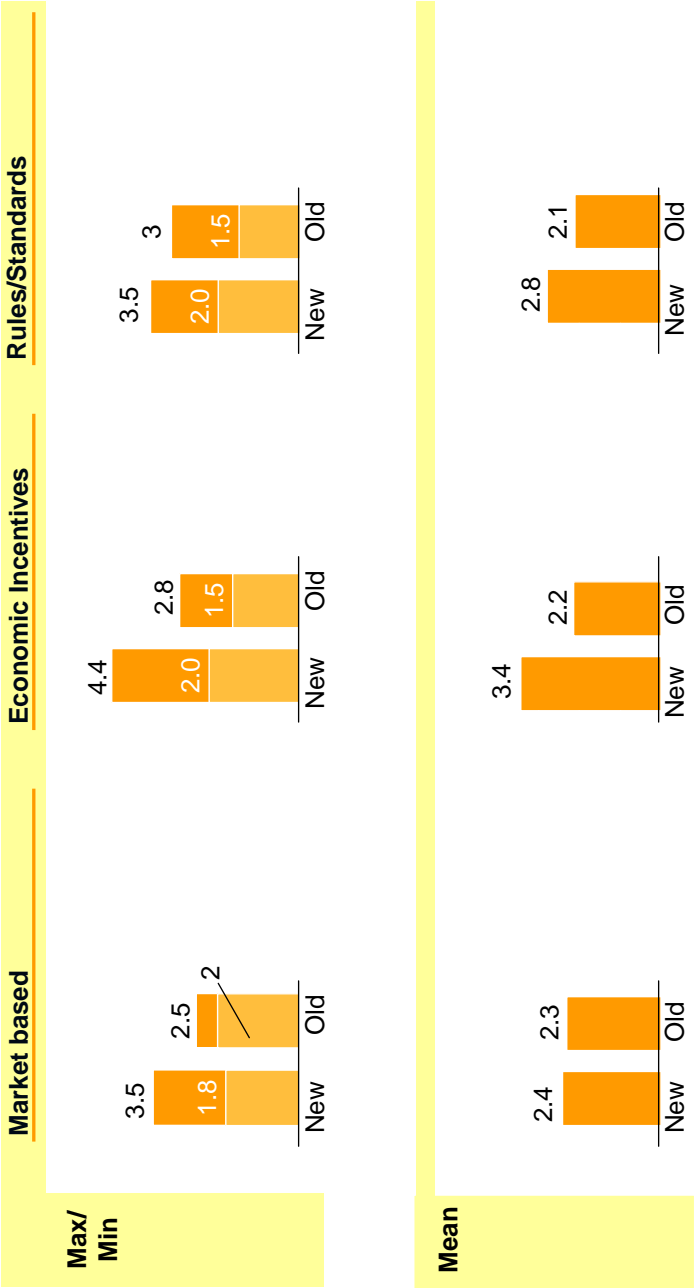
Old Members

Source: Thesis Merle Lückemeyer. * sorted by significance of Mann-Whitney U-Test, Least Agreed Group is empty, as no test was significant

Figure .60: Members: Intergroup Agreement (Other Instruments)

MEMBERS: INTRAGROUP AGREEMENT (ALL BLOCKS)

in medium quartile distance



Source: Thesis Merle Lückemeyer

Figure .61: Members: Intragroup Agreement

MEMBERS: SKEWNESS OF VOTE
in percent of votes by category of vote

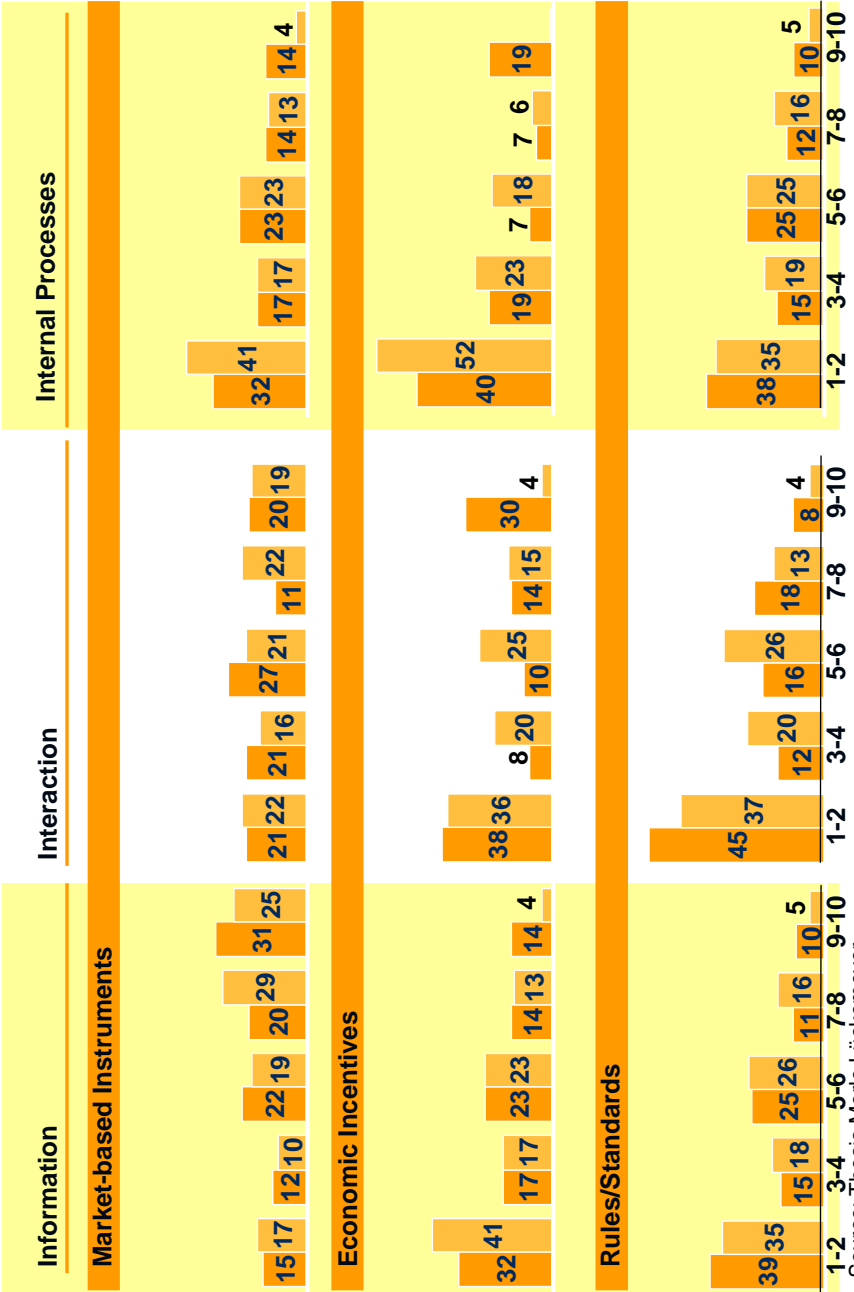
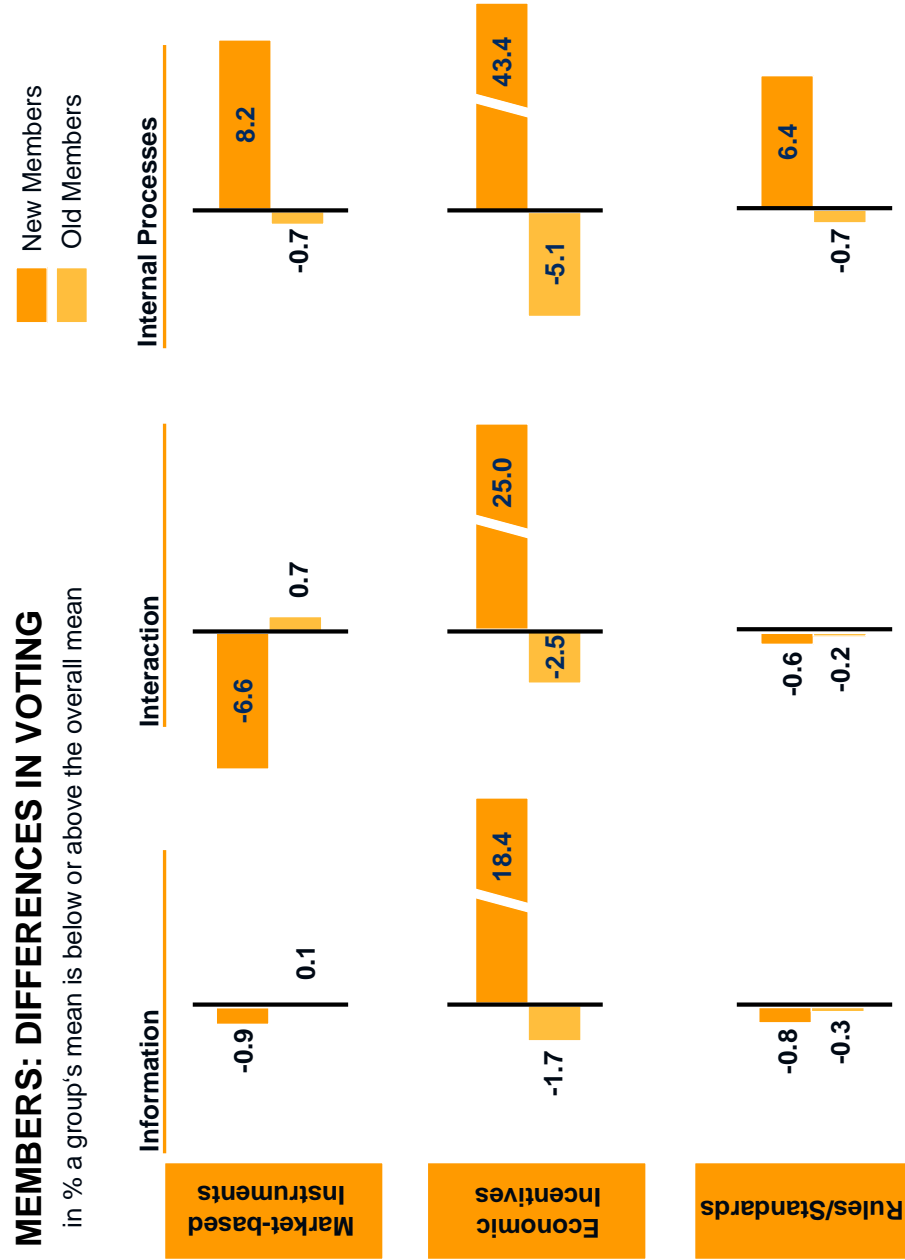


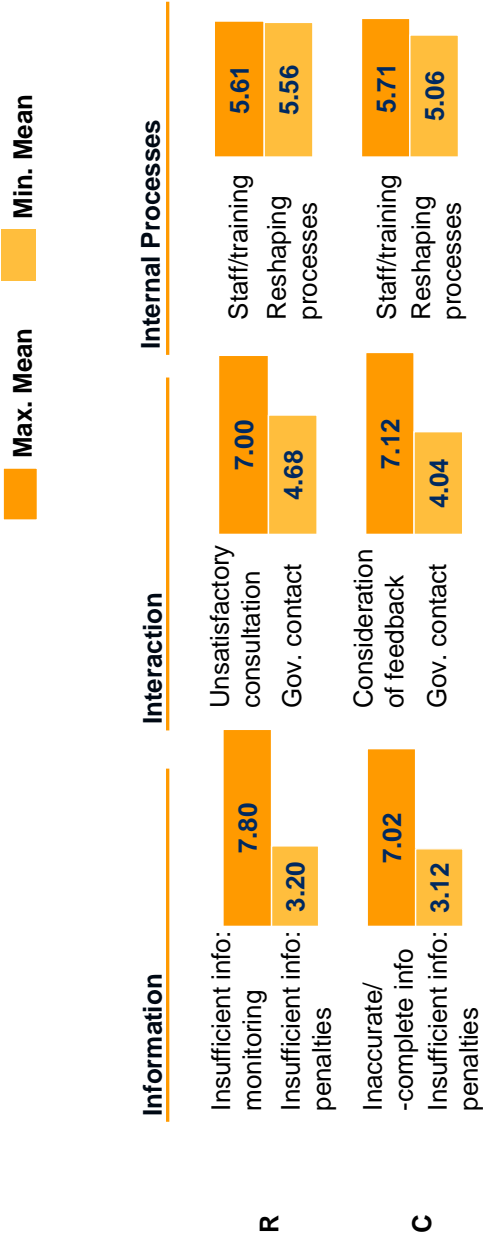
Figure .62: Members: Skewness of Vote



*for Rules/Standards, group's means as compared to overall mean do not quite add up, as one participant is missing
Source: Thesis Merle Lückemeyer

Figure .63: Members: Voting

STATES: MAIN AND LEAST CONCERNS (MARKET-BASED)



* in block C, only Q 16 and Q 17 were comparable among groups. In groups A and B Q 1 to Q 11 were comparable
Source: Thesis Merle Lückemeyer

Figure .64: States: Concerns (Market-Based Instruments)

STATES: STATISTICS – MARKET-BASED INSTRUMENTS

Information		Mean	Median	Grouped Median	Standard Deviation
Regional	Highest	7.8	8	8.07	2.1
	Lowest	3.2	2	2.45	2.47
Central	Highest	7.02	8	7.93	2.5
	Lowest	3.12	2	2.13	2.47

Interaction		Mean	Median	Grouped Median	Standard Deviation
Regional	Highest	7	8	7.69	7.8
	Lowest	4.68	4	3.94	3.21
Central	Highest	7.12	8	7.76	2.79
	Lowest	4.04	3	3.19	2.85

Internal Processes		Mean	Median	Grouped Median	Standard Deviation
Regional	Highest	5.61	5	5.48	2.65
	Lowest	5.56	5	5.07	2.74
Central	Highest	5.71	5.5	5.69	2.69
	Lowest	5.06	5	4.75	2.34

Source: Thesis Merle Lückemeyer

Figure .65: States: Statistics (Market-Based Instruments)

STATES: MAIN AND LEAST CONCERNS



* in block C, only Q 16 and Q 17 were comparable among groups. In groups A and B Q 1 to Q 11 were comparable
Source: Thesis Merle Lückemeyer

Figure .66: States: Concerns (Other Instruments)

STATES: STATISTICS – ECONOMIC INCENTIVES

Information		Mean	Median	Grouped Median	Standard Deviation
Regional	Highest	5.59	6	5.71	2.7
	Lowest	2.8	2	1.92	2.37
Central	Highest	5.1	5	5.47	2.86
	Lowest	2.47	1	1.61	2.2

Interaction		Mean	Median	Grouped Median	Standard Deviation
Regional	Highest	4.82	5	4.92	2.4
	Lowest	4.29	4	4.13	2.58
Central	Highest	4.86	5	4.78	3.04
	Lowest	3.45	2	2.17	3.02

Internal Processes		Mean	Median	Grouped Median	Standard Deviation
Regional	Highest	3.62	3	3.2	2.19
	Lowest	3.48	3	3.08	2.13
Central	Highest	3.04	3	3.43	2.35
	Lowest	2.75	2	1.94	2.34

Source: Thesis Merle Lückemeyer

Figure .67: States: Statistics (Economic Incentives)

STATES: STATISTICS – RULES AND STANDARDS

Information						
Regional	Highest	Mean	Median	Grouped Median	Standard Deviation	
		5.5	5	5.45	2.73	
		Lowest	3.14	2.5	2.4	2.42
		Highest	4.44	5	4.56	2.82
Central	Lowest	2.6	1	1.15	2.23	

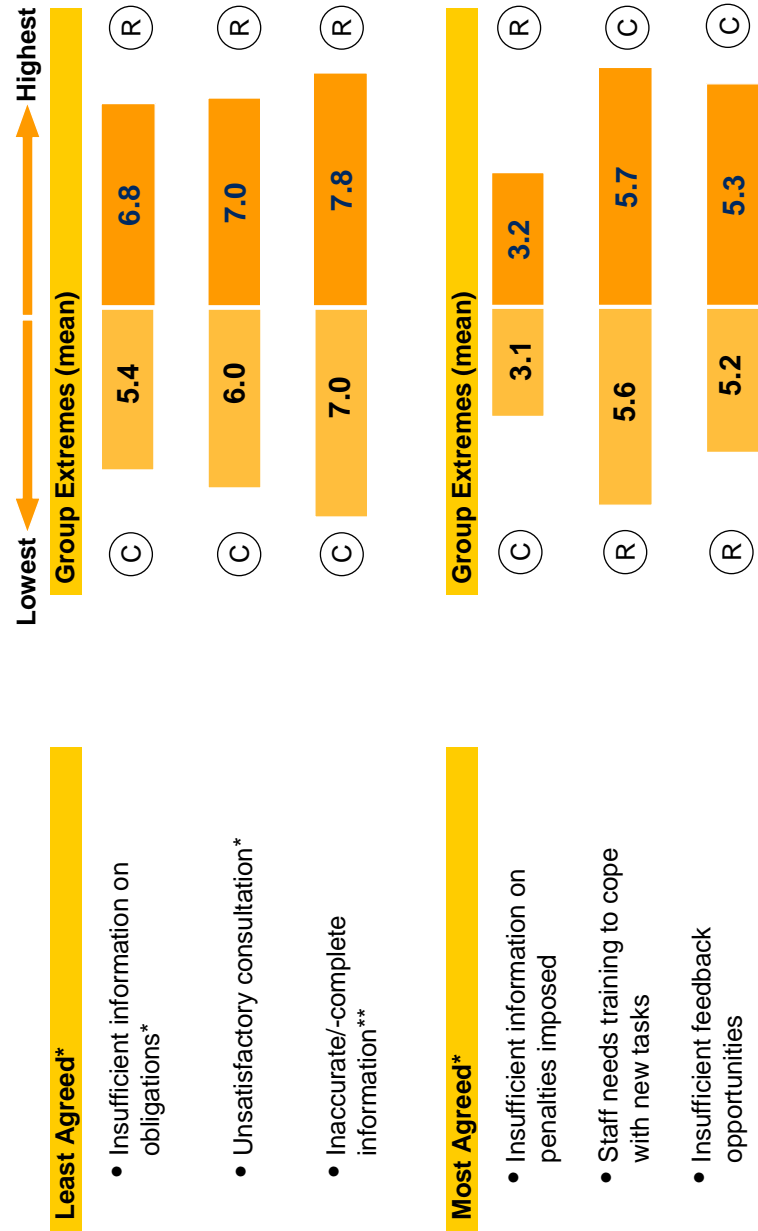
Interaction						
Regional	Highest	Mean	Median	Grouped Median	Standard Deviation	
		4.93	5	4.95	2.7	
		Lowest	3.73	3	3.36	2.43
		Highest	4.17	4	4.2	2.67
Central	Lowest	3	2.15	2.08	2.45	

Internal Processes						
Regional	Highest	Mean	Median	Grouped Median	Standard Deviation	
		4.21	5	4.44	2.22	
		Lowest	3.86	4	3.74	2.04
		Highest	3.86	3	3.28	2.75
Central	Lowest	3.17	3	3	2.18	

Source: Thesis Merle Lückemeyer

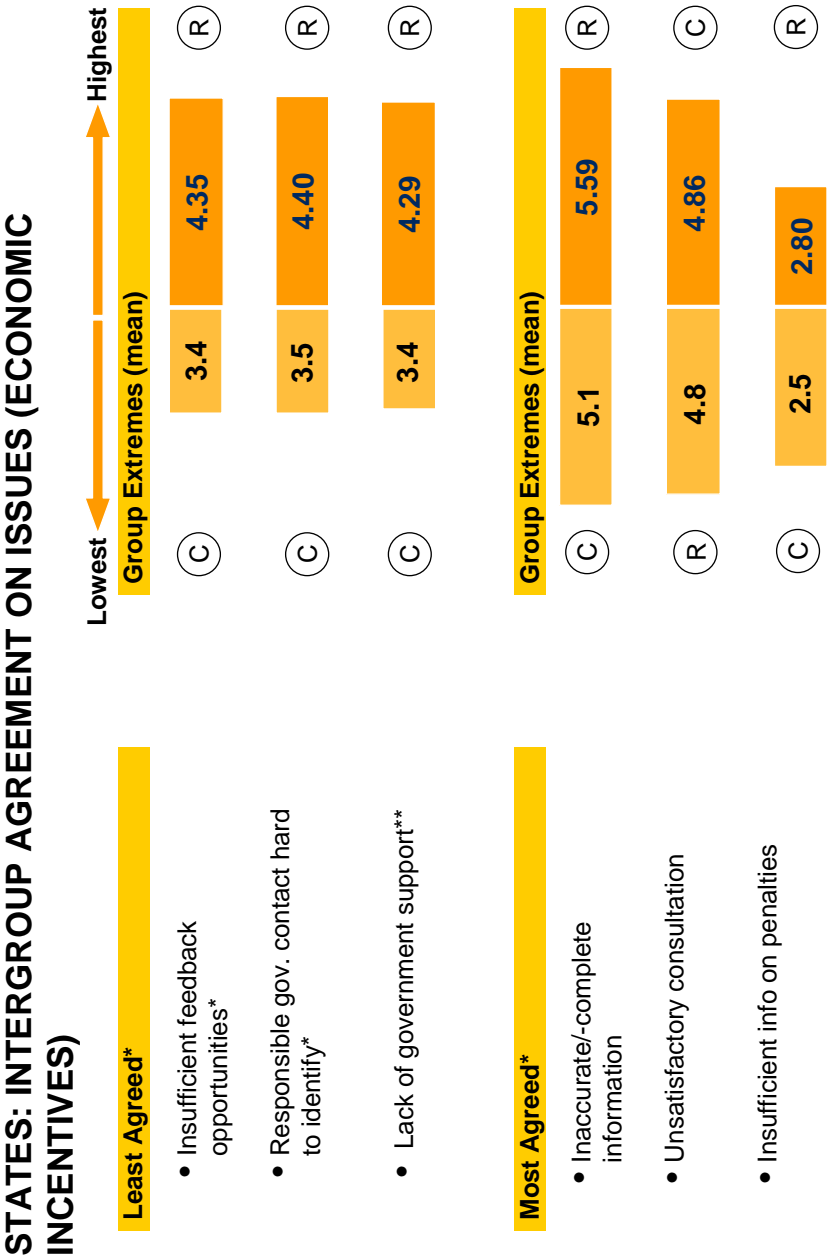
Figure .68: States: Statistics (Rules and Standards)

STATES: INTERGROUP AGREEMENT ON ISSUES (MARKET-BASED)



Source: Thesis Merle Lückemeyer, * sorted by significance of Kolmogorov-Smirnov Test and Mann-Whitney U-test, **only significant for Mann-Whitney U-test

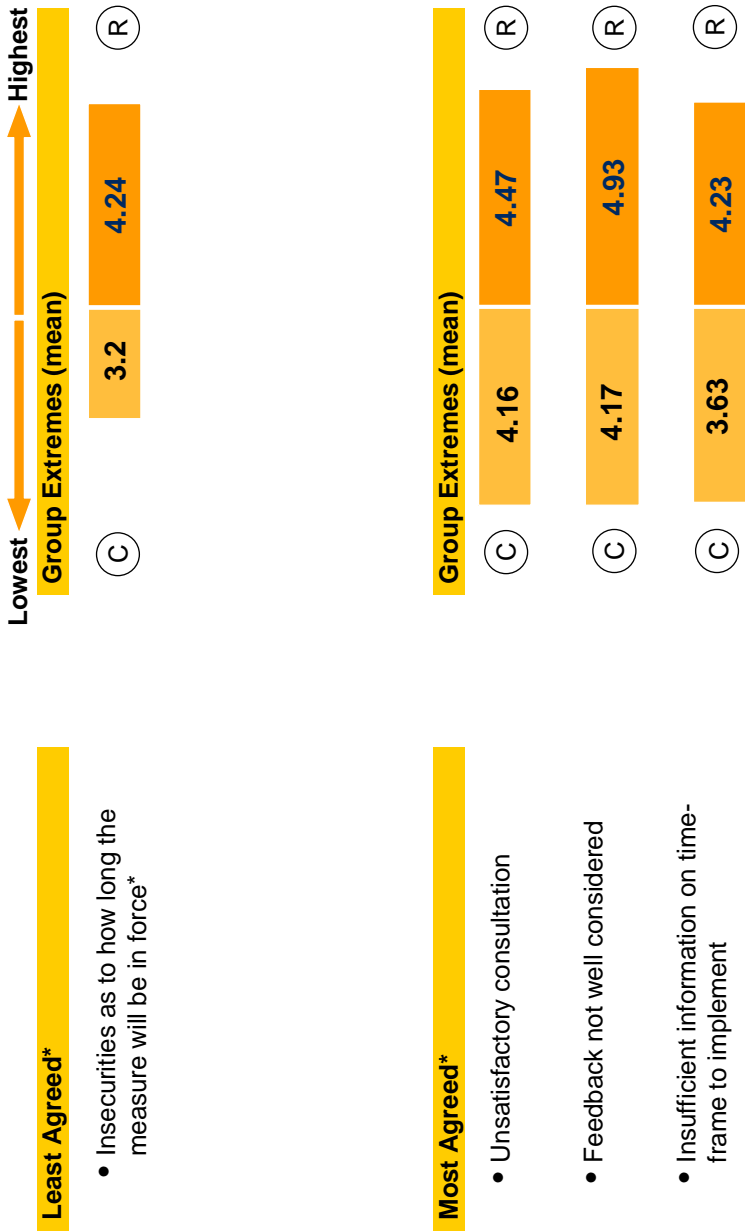
Figure .69: States: Intergroup Agreement (Market-Based Instruments)



Source: Thesis Merle Lückemeyer, * sorted by significance of Kolmogorov-Smirnov Test and Mann-Whitney U-test, **only significant for Mann-Whitney U-test

Figure .70: States: Intergroup Agreement (Economic Incentives)

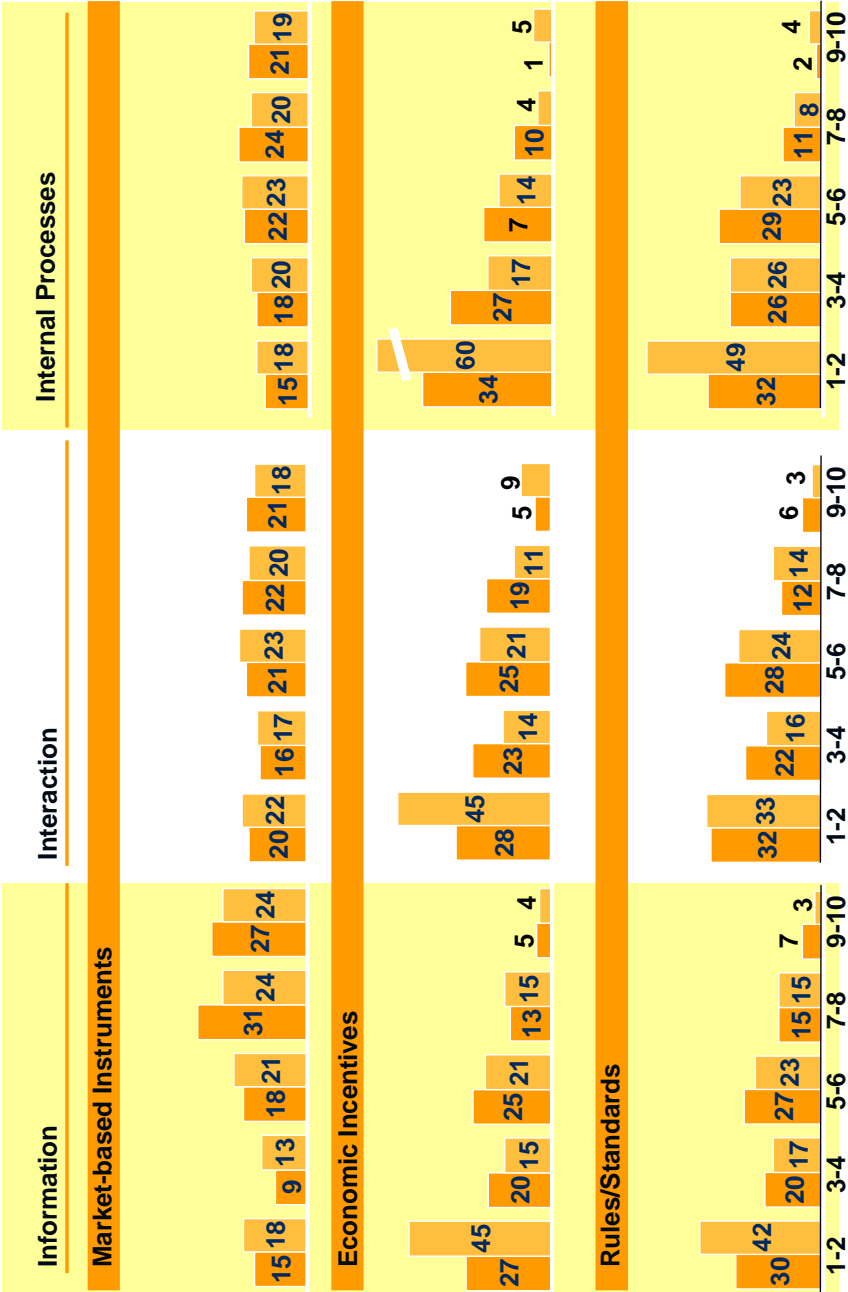
STATES: INTERGROUP AGREEMENT ON ISSUES (RULES/STANDARDS)



Source: Thesis Merle Lückemeyer, * sorted by significance of Kolmogorov-Smirnov Test and Mann-Whitney U-test

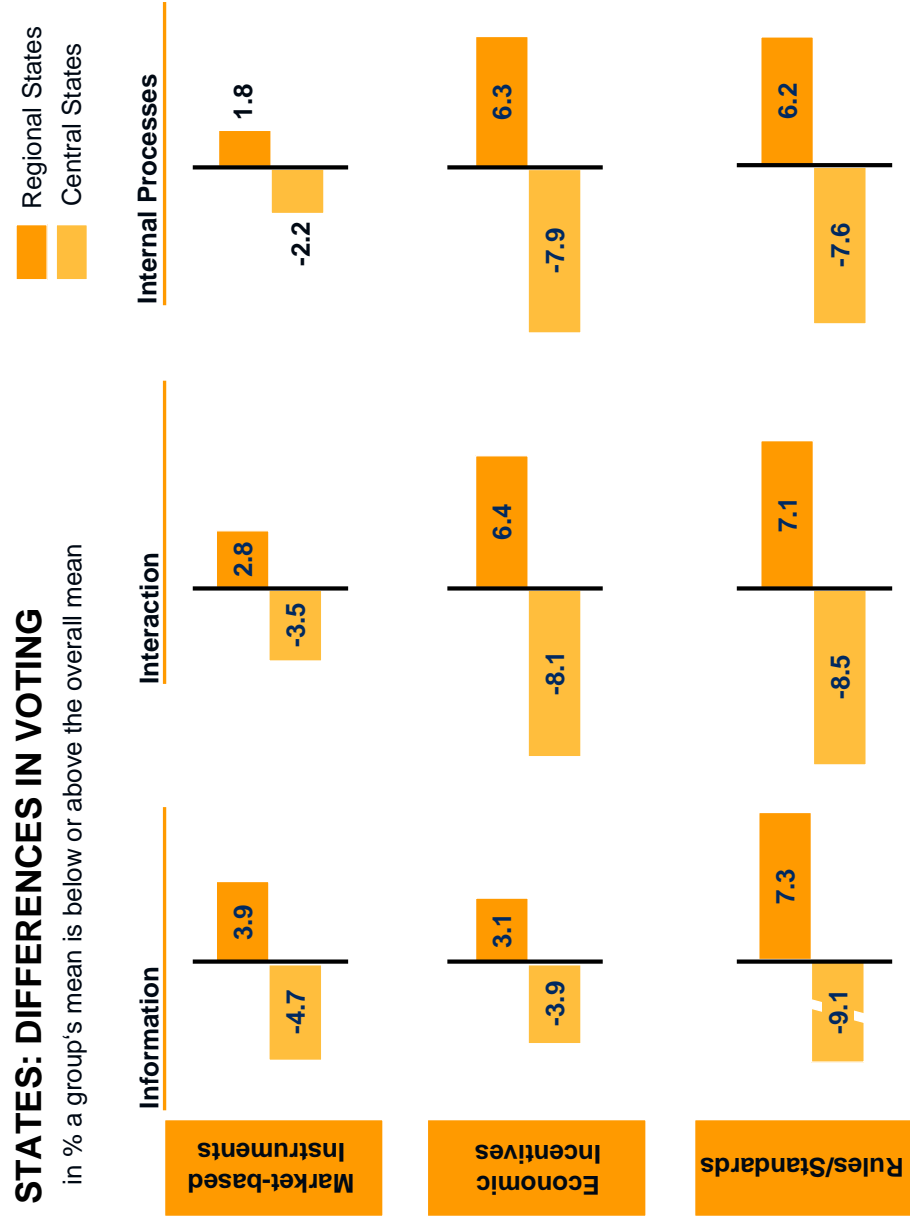
Figure .71: States: Intergroup Agreement (Rules and Standards)

STATES: SKEWNESS OF VOTE
in percent of votes by category of vote



Source: Thesis Merle Lückemeyer

Figure .72: States: Skewness of Vote



Source: Thesis Merle Lückemeyer

Figure .73: States: Voting

ADVANCE LETTER

Sehr geehrte/r Frau/Herr XXX,

ich promoviere zur Zeit bei Herrn Prof. Dr. D. Herz an der Universität Erfurt* über das Thema "Einflussfaktoren auf die Umsetzung von Umwelt- und insbesondere Klimaschutzmaßnahmen". Ziel der Promotion ist, Umsetzungsprozesse und Einflüsse auf die Prozesse zu untersuchen. Anhand der gewonnenen Erkenntnisse entwickle ich anschließend Standard-Prozessmodelle der Implementierungstheorie weiter.

In diesem Zusammenhang habe ich mich mit einer Reihe von Richtlinien beschäftigt, darunter auch mit **der/den Richtlinie/n XXX. [Diese werden bei der EU unter der Rubrik "Umwelt" geführt, deswegen beziehe ich sie ein, obwohl sie möglicherweise nicht unmittelbar mit meinem Thema zu tun haben.]**

Ich würde mich sehr freuen, wenn Sie oder eine/r Ihrer MitarbeiterInnen für **jede der Richtlinien** für ein zirka halbstündiges bis einstündiges Interview über die Umsetzung zur Verfügung stehen könnten. Darin würde ich einige generelle Fragen zur Umsetzung stellen und speziell den Umsetzungsprozess verstehen wollen.

Vorab kann ich Ihnen natürlich einen Interviewleitfaden zur Ansicht zukommen lassen, damit Sie einen genaueren Eindruck von der Arbeit und den Zielen des Interviews erhalten. Alle Angaben, die Sie im Interview machen, werden absolut vertraulich behandelt und ausschließlich aggregiert verwendet.

Die Ergebnisse meiner Promotion werden auch eine praktische Relevanz haben, denn meine Arbeit begibt sich mit der systematischen Erforschung der Einflussfaktoren sowie mit einer innovativen Auswertungsmethode auf neues Terrain:

- Einflussfaktoren auf Umsetzungsprozesse wurden bislang nur theoretisch oder in Fallstudien betrachtet. In diesem Projekt werden die Faktoren systematisch und breit angelegt sowohl über eine Umfrage als auch über Interviews erhoben
- Welche von den vielen möglichen Einflussfaktoren sich positiv oder negativ auf die Umsetzung von Maßnahmen auswirken, wurde bislang allenfalls über statistische Methoden bestimmt. In dieser Arbeit wird eine neue, flexiblere Methode angewendet. Die Analyse erfolgt mittels eines sog. logikbasierten, intelligenten Systems

Einige der Resultate sind möglicherweise für Sie von Interesse. Nach Abschluss meiner Arbeit stelle ich Ihnen gerne Ergebnisse zur Verfügung.

Ich werde mich in den nächsten Tagen wegen einer Terminabsprache bei Ihnen telefonisch melden. Über eine Zusage würde ich mich sehr freuen. Sie können mich jederzeit per E-Mail oder unter der unten angegebenen Mobilfunknummer erreichen.

Vielen Dank im voraus für Ihre Unterstützung meiner Dissertation,
mit freundlichen Grüßen,
Merle Lückemeyer

*Für meine Promotion bin ich vollzeitig von meinem Arbeitgeber freigestellt.

INTERVIEW QUESTIONNAIRE (1/9)

QUESTIONNAIRE		
Name to be included in interviewee list		<input type="checkbox"/> Yes <input type="checkbox"/> No (there will be a list of Directives and interviewees in the appendix of the dissertation. Should you wish not to be included, please check "No")
Name: <input type="text"/>		
Agency: <input type="text"/>		
Position: <input type="text"/>		
Department: <input type="text"/>		
Working Group (Referat): <input type="text"/>		
1	How long did implementation take (from date EU legislation was passed until it the measure was fully implemented)? Implementation time _____ YEARS	<input type="checkbox"/> prefer not to answer
2	If national implementation started even before the EU Directive was passed (e.g. through national measure) then how long before EU legislation was passed did you start to implement? _____ YEARS earlier / _____ MONTHS earlier	<input type="checkbox"/> prefer not to answer
3	When did you start implementation? <input type="checkbox"/> before Directive was due implemented <input type="checkbox"/> after Directive was due implemented	<input type="checkbox"/> prefer not to answer
4	What percentage of the implementation time was approximately spent on... + <input type="checkbox"/> % ... data collection + <input type="checkbox"/> % ... preparation of transposition legislation + <input type="checkbox"/> % ... passing transposition legislation (legislative process) + <input type="checkbox"/> % ... preparation of operation + <input type="checkbox"/> % ... enforcement + <input type="checkbox"/> % ... other <input type="text"/> 100%	<input type="checkbox"/> prefer not to answer
INFORMING THE PUBLIC		
5	During implementation, there are sometimes necessary changes to what has already been communicated to the public. How many changes in information have there been during the implementation of the Directive? <input type="checkbox"/> 1 None <input type="checkbox"/> 2 <input type="checkbox"/> 3 Some <input type="checkbox"/> 4 <input type="checkbox"/> 5 Many	<input type="checkbox"/> prefer not to answer

Source: Thesis Merle Lückemeyer

Figure .75: Questionnaire 1

INTERVIEW QUESTIONNAIRE (2/9)

6

To what extent have you been able to provide info to stakeholders so they could plan ahead and adjust their strategy?

1

2

3

4

5

No info on minimum length
Clear info on minimum length

prefer not to answer

7

How would you rate the overall schedule for stakeholders to prepare?

1

2

3

4

5

Loose
Moderate
Tight

prefer not to answer

8

ASSESSING THE CONTENT OF THE DIRECTIVE IN THE NATIONAL CONTEXT
In general, it can easily take three years or more for the EU to pass new legislation. National implementation then follows. In your opinion, what could be done to shorten this timeframe?

prefer not to answer

9

How many of your country's suggestions and/or hints as to possible limitations for implementation were considered during the lawmaking phase at EU level?

1

2

3

4

5

Implementation could not be any better, provisions of the Directive very much support it
Implementation could at times be better if more of our suggestions or limitations had been considered in the Directive
Implementation would be much better feasible if some provisions were different in the Directive

prefer not to answer

10

How many provisions, etc. were left open in the Directive and for which reasons?

1

2

3

4

5

None
Some
Many

Org./technical reasons
Political feasibility
Convenience
Other (please specify)

prefer not to answer

11

How vital to a fast, hassle-free implementation would a more precise specification have been?

1

2

3

4

5

Not important
Important
Very important

prefer not to answer

Source: Thesis Merle Lückemeyer

Figure .76: Questionnaire 2

INTERVIEW QUESTIONNAIRE (3/9)

12	How well does the Directive fit within your national environmental legislation? (i.e. how well and easily could it be integrated into national environmental legislation?) <div><div><div>1</div><div>2</div><div>3</div><div>4</div><div>5</div></div><div>Good fit Moderate fit Poor fit</div></div>	<div><div></div><div>prefer not to answer</div></div>
13	To which extent was there an overlap with existing national environmental legislation? <div><div><div></div><div></div><div></div><div></div><div></div></div><div>%</div></div>	<div><div></div><div>prefer not to answer</div></div>
14	How many changes were necessary to... <div><div><div>None</div><div>Many</div><div>1</div><div>2</div><div>3</div><div>4</div><div>5</div></div><div>Few</div></div> <div><div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div><div>...institutions</div></div> <div><div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div><div>...procedures</div></div> <div><div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div><div>...standards</div></div>	<div><div></div><div>prefer not to answer</div></div>
15	How pronounced was interference of national non-environmental legislation with the new Directive? (e.g. energy regulatory legislation, etc.) <div><div><div>1</div><div>2</div><div>3</div><div>4</div><div>5</div></div><div>Low Moderate fit High</div></div>	<div><div></div><div>prefer not to answer</div></div>
16	During transposition of the law, to which extent did the national legislative body take into account approaching deadlines set by the Directive? <div><div><div>1</div><div>2</div><div>3</div><div>4</div><div>5</div><div>6</div></div><div>To a large extent (legislative body at all times scheduled the hearings around the deadlines to be met) To a small extent (legislative body cannot tailor the schedule around all the deadlines imposed) No transposition was necessary ("gleitender Verweis")</div></div>	<div><div></div><div>prefer not to answer</div></div>
17	What is the degree of harmonization of this Directive across Member States? (e.g. all measures are the same, reporting systems are congruent, etc.) <div><div><div>1</div><div>2</div><div>3</div><div>4</div><div>5</div><div>6</div></div><div>Low degree of harmonization Moderate degree of harmonization High degree of harmonization Harmonization does not matter</div></div>	<div><div></div><div>prefer not to answer</div></div>

Source: Thesis Merle Lückemeyer

Figure .77: Questionnaire 3

INTERVIEW QUESTIONNAIRE (4/9)

18

In your opinion, what degree of harmonization is ideal in this case?

☐ Harmonization does not matter

☐ prefer not to answer

COLLECTING DATA FOR IMPLEMENTATION

19

How easy or hard is data collection (e.g. data for implementation data base)?

1 Very easy

2

3 Intermediate

4

5 Very hard

6 No data needed

☐ prefer not to answer

20

How many formal national requirements (resolutions, laws, etc.) were there before you could collect or generate data?

1 None

2

3 Some

4

5 Many

6 No data needed

☐ prefer not to answer

21

How easily or hard were data specifications met and data measured?

1 Very hard

2

3 Intermediate

4

5 Very easily

6 No data needed

☐ prefer not to answer

22

How was data collected?

1 No need for data collection. Data was fully sufficiently available

2 Through a study commissioned by us (Forschungsauftrag, etc.)

3 By the regional level ("Länder")

4 Other

☐ prefer not to answer

LAYING THE GROUND FOR IMPLEMENTATION - EU SIDE

23

How precise are EU implementation, reporting, etc. requirements?

1 Very precise (there is a standardized form that we have to fill out)

2

3 Moderately precise (No standardized form, but there have been no mistakes about what we were supposed to report and in which detail)

4

5 Very imprecise (there have been misunderstandings about what we were supposed to report and in which detail)

6 No reporting required

☐ prefer not to answer

Source: Thesis Merle Lückemeyer

Figure .78: Questionnaire 4

INTERVIEW QUESTIONNAIRE (5/9)

24	How were deadlines set by the EU...? (please circle appropriate number)	<table border="1"> <tr> <th>tight</th> <th>1</th> <th>2</th> <th>3</th> <th>4</th> <th>5</th> <th>loose</th> </tr> <tr> <td>1</td> <td>2</td> <td>3</td> <td>4</td> <td>5</td> <td>...</td> <td>concerning reporting</td> </tr> <tr> <td>1</td> <td>2</td> <td>3</td> <td>4</td> <td>5</td> <td>...</td> <td>concerning issues that had to be debated at national and EU level several times</td> </tr> <tr> <td>1</td> <td>2</td> <td>3</td> <td>4</td> <td>5</td> <td>...</td> <td>concerning duties of countries in the process</td> </tr> <tr> <td>1</td> <td>2</td> <td>3</td> <td>4</td> <td>5</td> <td>...</td> <td>concerning EU duties (like making decisions, sending back reports, etc.)</td> </tr> </table>	tight	1	2	3	4	5	loose	1	2	3	4	5	...	concerning reporting	1	2	3	4	5	...	concerning issues that had to be debated at national and EU level several times	1	2	3	4	5	...	concerning duties of countries in the process	1	2	3	4	5	...	concerning EU duties (like making decisions, sending back reports, etc.)	<input type="checkbox"/> prefer not to answer
tight	1	2	3	4	5	loose																																
1	2	3	4	5	...	concerning reporting																																
1	2	3	4	5	...	concerning issues that had to be debated at national and EU level several times																																
1	2	3	4	5	...	concerning duties of countries in the process																																
1	2	3	4	5	...	concerning EU duties (like making decisions, sending back reports, etc.)																																
25	Was there at any point in time an infringement procedure initiated by the EU?	<input type="checkbox"/> 1 Yes <input type="checkbox"/> 2 No	<input type="checkbox"/> prefer not to answer																																			
ORGANIZING IMPLEMENTATION																																						
26	What are make or break points for implementation? What in your experience is the hard part?	<div></div>	<input type="checkbox"/> prefer not to answer																																			
27	Was there one national or subnational organization/agency specifically created to implement the measures/Directive?	<input type="checkbox"/> 1 Yes <input type="checkbox"/> 2 No	<input type="checkbox"/> prefer not to answer																																			
28	How was interaction between national organizations coordinated?	<input type="checkbox"/> 1 Organizations start their members on a joint team/task force for implementation <input type="checkbox"/> 2 Organizations' implementers network through regular meetings <input type="checkbox"/> 3 Organizations' implementers do not meet, but use phone or internet to be in touch <input type="checkbox"/> 4 No such thing is necessary as each organization has a distinct task to tend to <input type="checkbox"/> 5 Other <div></div>	<input type="checkbox"/> prefer not to answer																																			
29	How was interaction within the national organizations coordinated?	<input type="checkbox"/> 1 Within organizations, there are teams/projects formed <input type="checkbox"/> 2 Within organizations, implementers network through regular meetings, no teams formed <input type="checkbox"/> 3 Within organizations, implementers use phone or internet to be in touch, no teams formed <input type="checkbox"/> 4 Implementers have a hierarchical relationship which chiefly coordinates interaction <input type="checkbox"/> 5 Other <div></div>	<input type="checkbox"/> prefer not to answer																																			
30	If the main way of organizing work is through projects/teams, are there..	<input type="checkbox"/> 1 ...an assigned project manager <input type="checkbox"/> 2 ...regular meetings ("Steuerkreis") <input type="checkbox"/> 3 not applicable	<input type="checkbox"/> prefer not to answer																																			

Source: Thesis Merle Lückemeyer

Figure .79: Questionnaire 5

INTERVIEW QUESTIONNAIRE (6/9)

31	<p>If there are regular meetings, who are the participants?</p> <p>1 Please name hierarchy levels and orgs. (level 1=Minister,...)</p> <p>2 Please name expertise of participants</p> <p style="text-align: center;"><input type="checkbox"/> 3 not applicable</p>	<input type="checkbox"/> prefer not to answer						
32	<p>How did you measure progress in the implementation process?</p> <p>1 We do not measure progress in the implementation process, we measure if the desired effect (e.g. CO2 reduction) has been achieved</p> <p>2 We have defined an end product for the implementation process that we check upon</p> <p>3 We have defined end product and milestones for the implementation process that are checked upon</p> <p>4 We have defined an end product and milestones and use a feedback system for systematic learning</p> <p>5 Other</p>	<input type="checkbox"/> prefer not to answer						
33	<p>Which of the following processes are standardized and to which degree? (please circle the appropriate number; 0=not at all standardized, 5= highly standardized)</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%;">1 2 3 4 5 ...communication between EU and nations</td> <td style="width: 15%;">1 2 3 4 5 ...feedback processes between EU and nations</td> <td style="width: 15%;">1 2 3 4 5 ...planning implementation in your organization</td> <td style="width: 15%;">1 2 3 4 5 ...distributing work among responsible</td> <td style="width: 15%;">1 2 3 4 5 ...piloting measures</td> <td style="width: 15%;">1 2 3 4 5 ...reporting</td> </tr> </table>	1 2 3 4 5 ...communication between EU and nations	1 2 3 4 5 ...feedback processes between EU and nations	1 2 3 4 5 ...planning implementation in your organization	1 2 3 4 5 ...distributing work among responsible	1 2 3 4 5 ...piloting measures	1 2 3 4 5 ...reporting	<input type="checkbox"/> prefer not to answer
1 2 3 4 5 ...communication between EU and nations	1 2 3 4 5 ...feedback processes between EU and nations	1 2 3 4 5 ...planning implementation in your organization	1 2 3 4 5 ...distributing work among responsible	1 2 3 4 5 ...piloting measures	1 2 3 4 5 ...reporting			
34	<p>How many participating national organizations/departments were there in total?</p> <p>No. of organizations ("Ressorts")</p> <p>No. of subsidiaries ("nachgeordnete Behörden")</p>	<input type="checkbox"/> prefer not to answer						
35	<p>How does this compare to usual implementation procedures?</p> <p>1 More</p> <p>2 Same</p> <p>3 Less</p> <p>4 Hard to say</p>	<input type="checkbox"/> prefer not to answer						
36	<p>How many different levels were involved in implementation? (please check all applicable boxes)</p> <p>1 National</p> <p>2 Regional (Länder)</p> <p>3 Subregional (Landkreise)</p> <p>4 Local (Gemeinden)</p>	<input type="checkbox"/> prefer not to answer						
PREPARING FOR IMPLEMENTATION								
37	<p>How did you prepare for implementation?</p> <p>1 A masterplan was designed, involving all affected institutions</p> <p>2 A masterplan was issued by the lead agency</p> <p>3 No masterplan was made, the task has to be integrated into daily work anyway</p>	<input type="checkbox"/> prefer not to answer						

Source: Thesis Merle Lückemeyer

Figure .80: Questionnaire 6

INTERVIEW QUESTIONNAIRE (7/9)

38	Clear specifications were made concerning...(please check all applicable boxes)	<div><div>1 ...responsibilities</div><div>2 ...end products</div><div>3 ...time line</div><div>4 ...milestones</div><div>5 ...quality gates</div><div>6 ...deadlines</div><div>7 ...meetings</div><div>8 ...the pilot</div></div>	<div><div></div><div>prefer not to answer</div></div>
39	Implementation options were chosen based on an assessment comprising...(please check all applicable boxes)	<div><div>1 ...cost-benefit analysis</div><div>2 ...several implementation scenarios</div><div>3 ...risk assessment</div><div>4 ...none of the above. We knew which option to choose without detailed assessment</div></div>	<div><div></div><div>prefer not to answer</div></div>
40	How were national implementers incentivized on the specific task?	<div><div>1 Their new task was explicitly added to their targets for the year</div><div>2 They received a performance report after the task has been completed</div><div>3 No explicit arrangements. Their new task was implicitly in their targets as it is part of their daily work</div><div>4 They did not have targets, but reported to a superior who takes responsibility</div></div>	<div><div></div><div>prefer not to answer</div></div>
FEDERAL AND STATE LEVEL			
41	When the Directive was transposed into national law, did you choose to include more restrictive provisions than necessary?	<div><div>1 Yes</div><div>2 No</div><div>3 There was a debate about it, but in the end we did not choose to be more restrictive</div></div>	<div><div></div><div>prefer not to answer</div></div>
42	How is the regions' ("Lander") timing concerning reporting requirements of the EU?	<div><div>1 Early ("Lander" send info to us well before our reporting deadline in Brussels)</div><div>2</div><div>3 Medium</div><div>4</div><div>5 Late ("Lander" send info to us close to or on our reporting deadline in Brussels)</div></div>	<div><div></div><div>prefer not to answer</div></div>
43	What are the main reasons for implementation being harder in federal systems than in unitary systems?	<div></div>	<div><div></div><div>prefer not to answer</div></div>

Source: Thesis Merle Lückemeyer

Figure .81: Questionnaire 7

INTERVIEW QUESTIONNAIRE (8/9)

44

The pending reform of federalism in Germany also includes a change in liability for implementation of EU legislation. "Bund" and "Länder" are then liable for an infringement if they primarily caused it (like the "polluter-pays-principle"). This implies that not only the absolute outcome of a measure (e.g. CO2 reduction) has to be monitored but also the implementation of a measure in order to be able to trace flaws in implementation back to their origin. How does this correspond to current practice? In your opinion, what has to be changed to make the new principle work?

☐ prefer not to answer

45

What are key elements (processes/other items) that could be improved in the relationship between the EU and Member States?

☐ prefer not to answer

46

What are key elements to be changed in the relationship between the national ("Bund") and regional ("Länder") level?

☐ prefer not to answer

MANAGING IMPLEMENTATION

47

How much resources did the project take up? (please circle appropriate numbers)

Much/many

1

2

3

4

5

Little/few

Monetary

Personnel

48

How was the total work volume?

1

2

3

4

5

Huge

Small

☐ prefer not to answer

Source: Thesis Merle Lückemeyer

Figure .82: Questionnaire 8

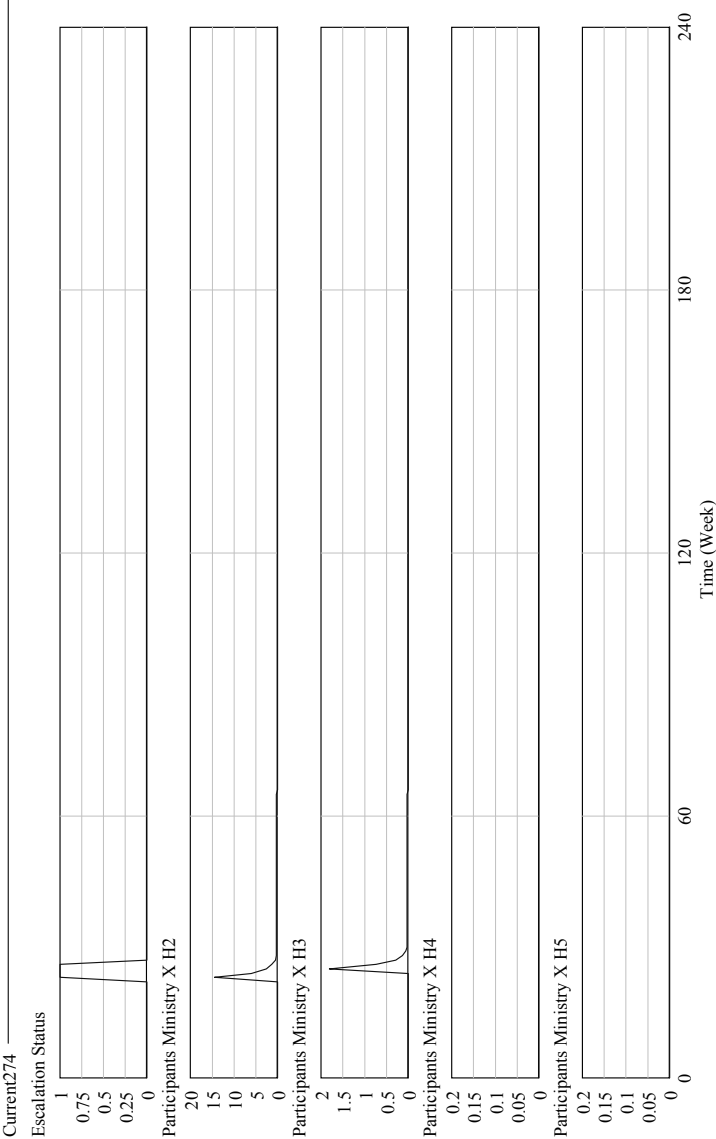
INTERVIEW QUESTIONNAIRE (9/9)

49	How complex was implementation? 1 Complex 2 3 4 5 Routine	<input type="checkbox"/> prefer not to answer
50	What are external key drivers of complexity? (Please check all applicable boxes) 1 Heterogeneity among the affected group/stakeholders/polluters 2 Market structure (e.g. regulation) 3 Initial levels of pollution (e.g. already reduced levels that can be reduced further only at great expense) 4 Low overall compliance rates of stakeholders (morale) 5 Level of public attention 6 Other	<input type="checkbox"/> prefer not to answer
51	What are the internal key drivers of complexity in implementation? 	<input type="checkbox"/> prefer not to answer
LEVERAGING SKILLS		
52	How much experience had been made with similar measures/Directives? (Please check one box) 1 The measure replaced a previous one or was an update of a previous one 2 The measure will be replacing a similar national measure 3 Parts of the measure were already in place through other measures, the rest was amended or otherwise added 4 The measure was completely new	<input type="checkbox"/> prefer not to answer
53	How did your organization take advantage of previous experience? (Please check all applicable boxes) 1 Implementers with a similar experience took part 2 Implementers had access to colleagues who took part in similar projects 3 Implementers had access to external specialists 4 Implementers could find codified previous experience on a (central) intranet 5 The measure was new in a way that no previous experience can be used 6 Other	<input type="checkbox"/> prefer not to answer
54	How would you rate the ease of implementation in this case? (0-10; 0= probably the easiest and fastest implementation we've ever had to do, 10= quite cumbersome, many key take aways and learnings for next time) Formal implementation (transposition, etc.) Practical implementation (actual implementation)	<input type="checkbox"/> prefer not to answer

Source: Thesis Merle Lückemeyer

Figure .83: Questionnaire 9

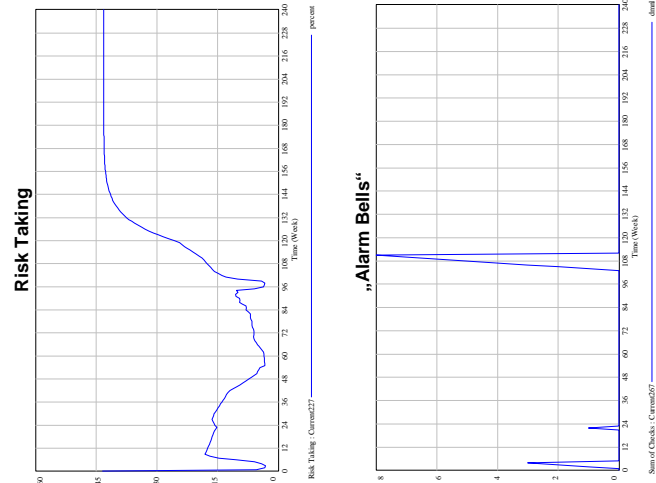
HIERARCHY INVOLVEMENT SCENARIO 2 (n n n)



Source: Thesis Merle Grobbel

Figure .84: Hierarchy Involvement Scenario 2

RESULTS SCENARIO 3 (y n y)



Source: Thesis Merle Lückemeyer

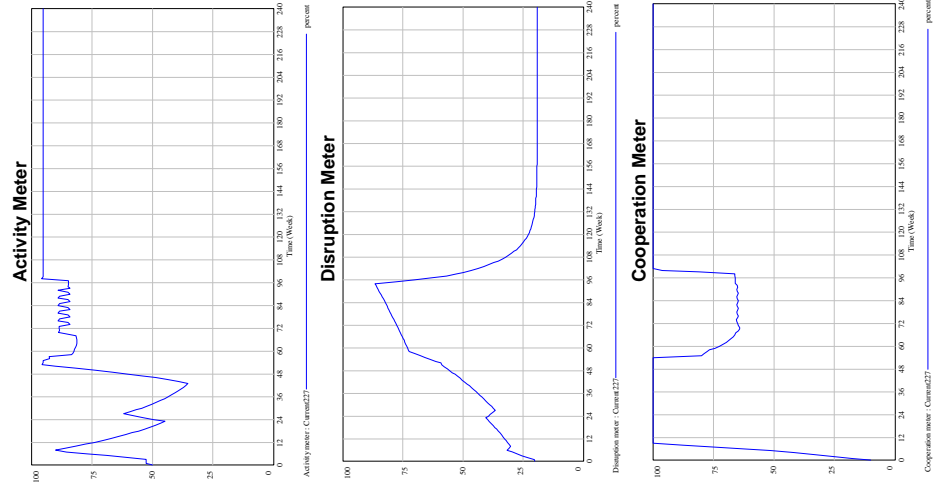
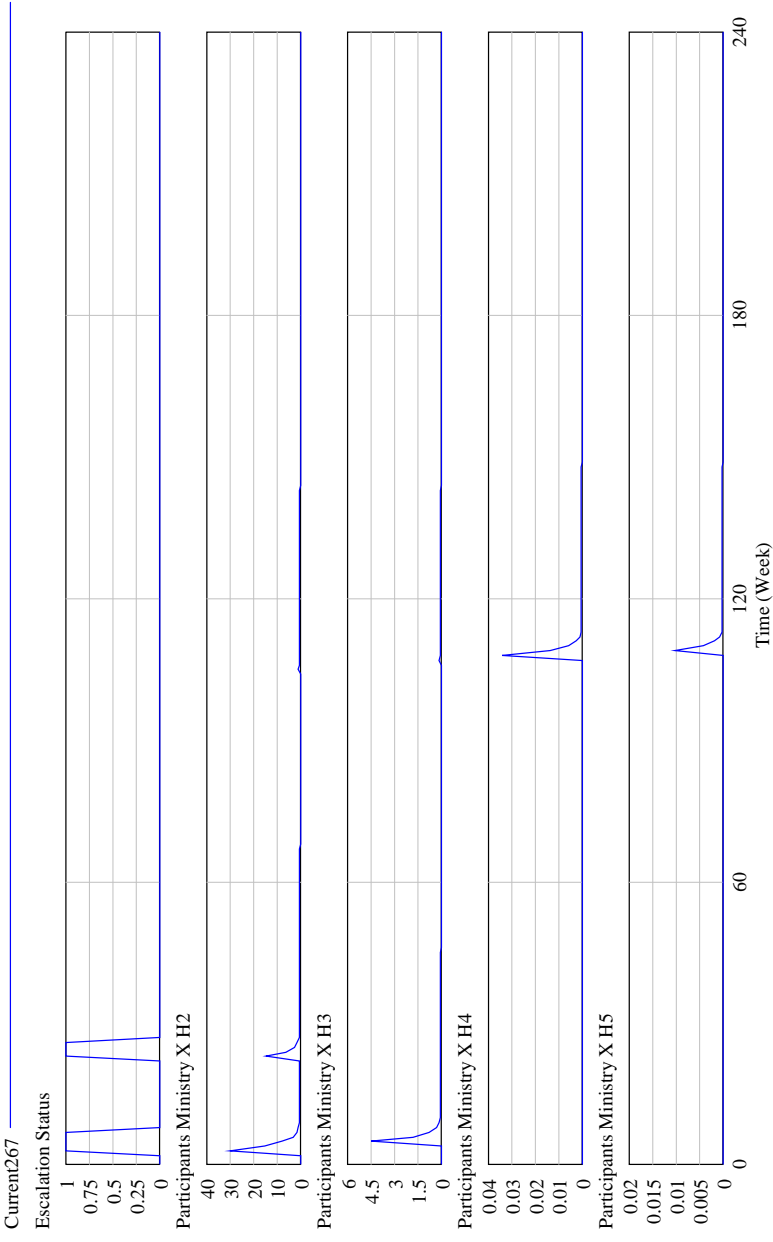


Figure .85: Results Scenario 3

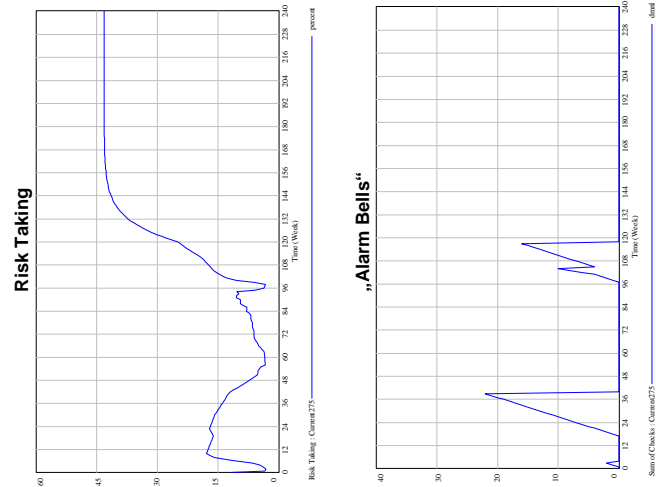
HIERARCHY INVOLVEMENT SCENARIO 3 (y n y)



Source: Thesis Merle Lückemeyer

Figure .86: Hierarchy Involvement Scenario 3

RESULTS SCENARIO 4 (y y n)



Source: Thesis Merle Lückemeyer

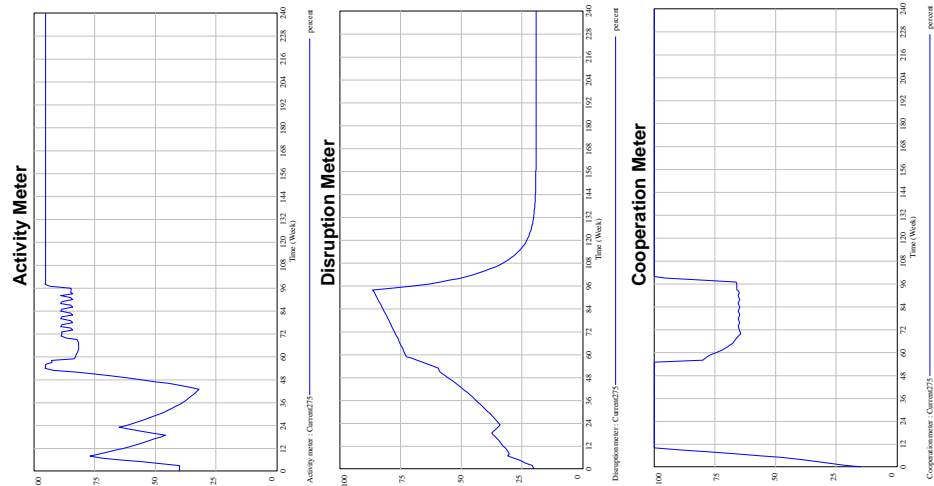
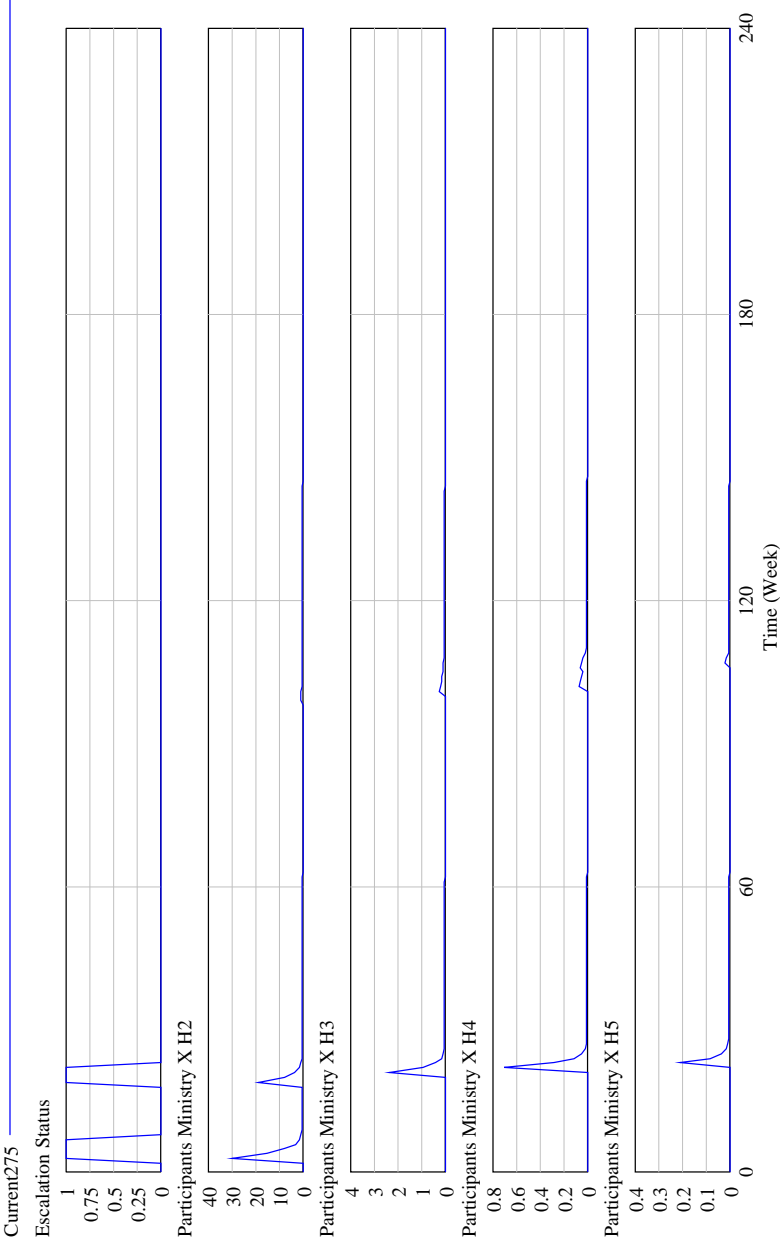


Figure .87: Results Scenario 4

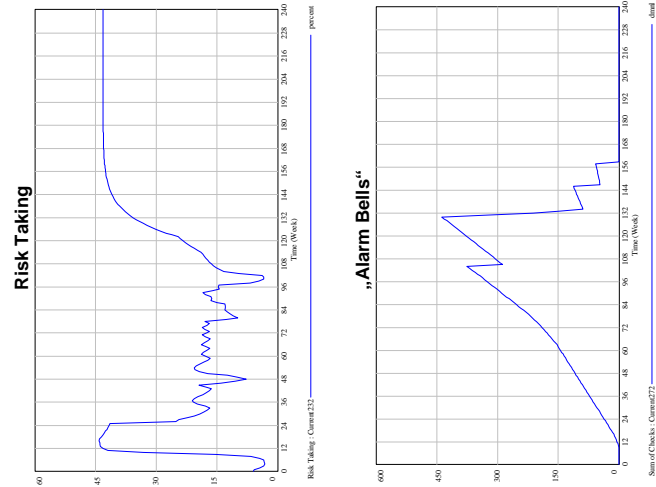
HIERARCHY INVOLVEMENT SCENARIO 4 (y y n)



Source: Thesis Merle Lückemeyer

Figure .88: Hierarchy Involvement Scenario 4

RESULTS SCENARIO 5 (n y y)



Source: Thesis Merle Lückemeyer

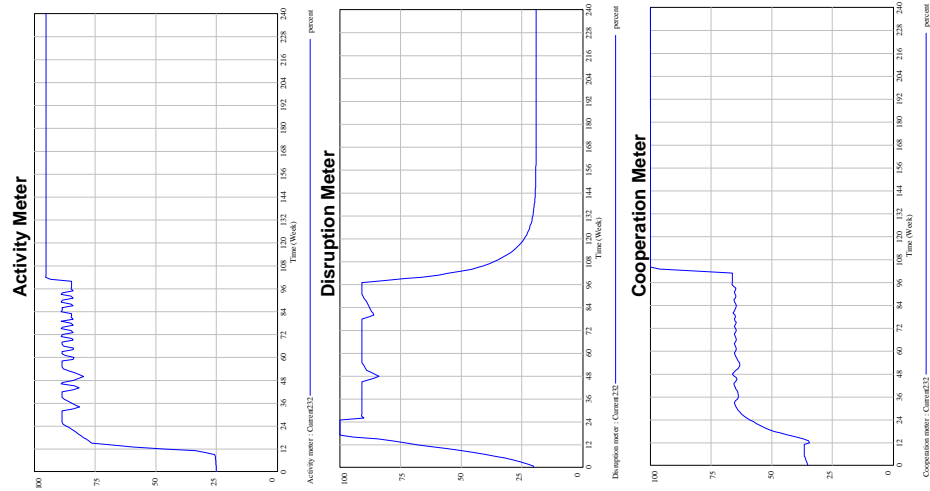
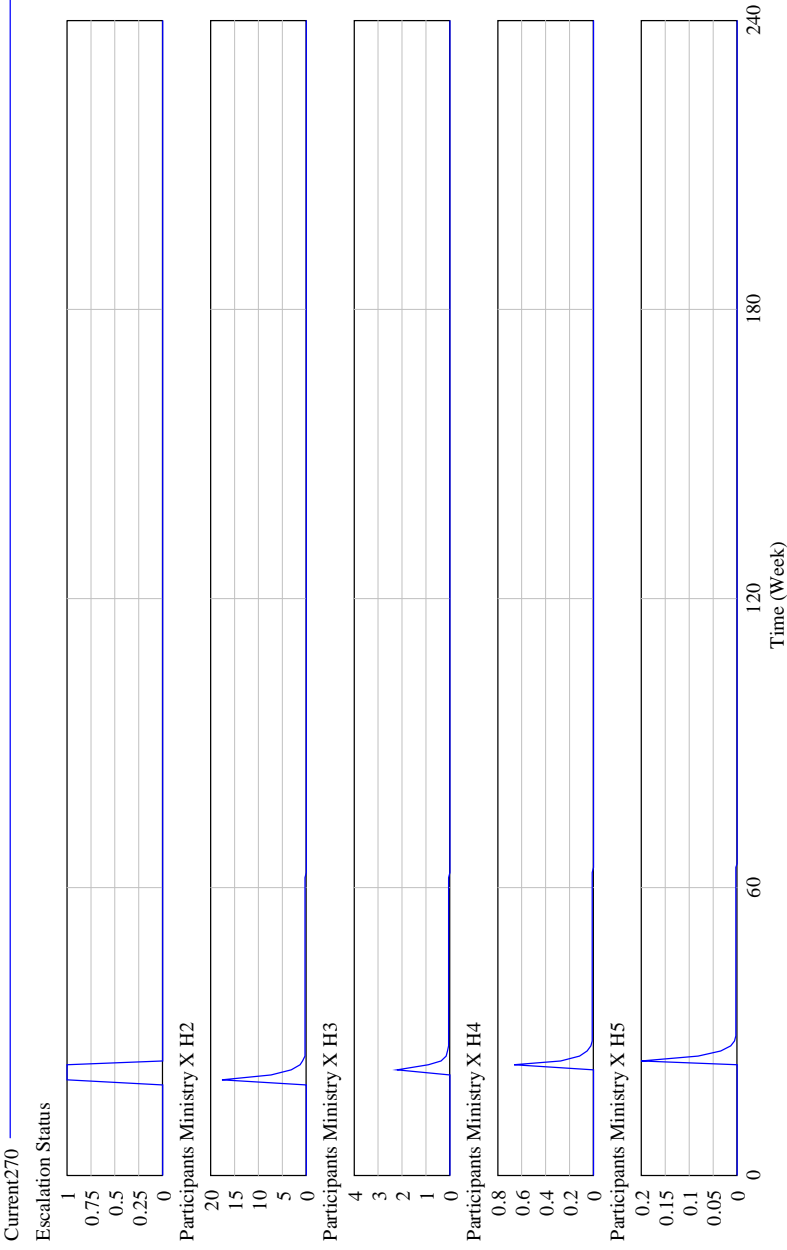


Figure .89: Results Scenario 5

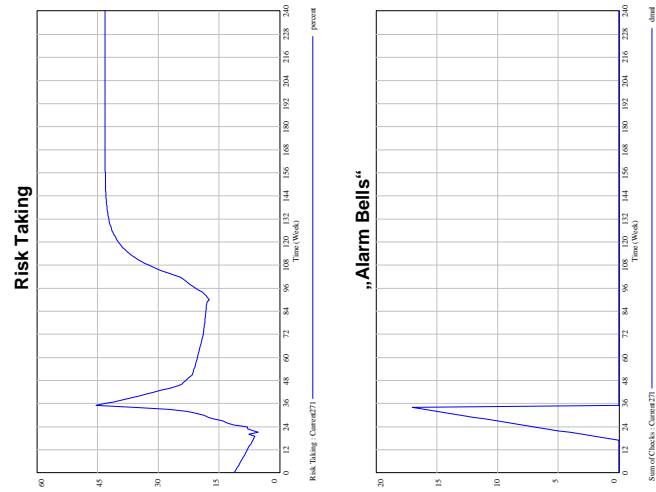
HIERARCHY INVOLVEMENT SCENARIO 6 (y n n)



Source: Thesis Merle Lückemeyer

Figure .90: Hierarchy Involvement Scenario 6

RESULTS SCENARIO 7 (n y n)



Source: Thesis Merle Lückemeyer

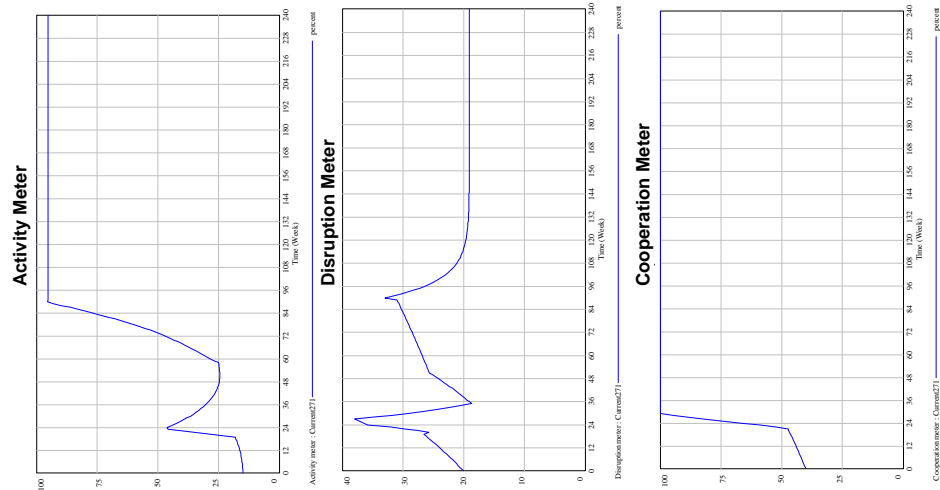
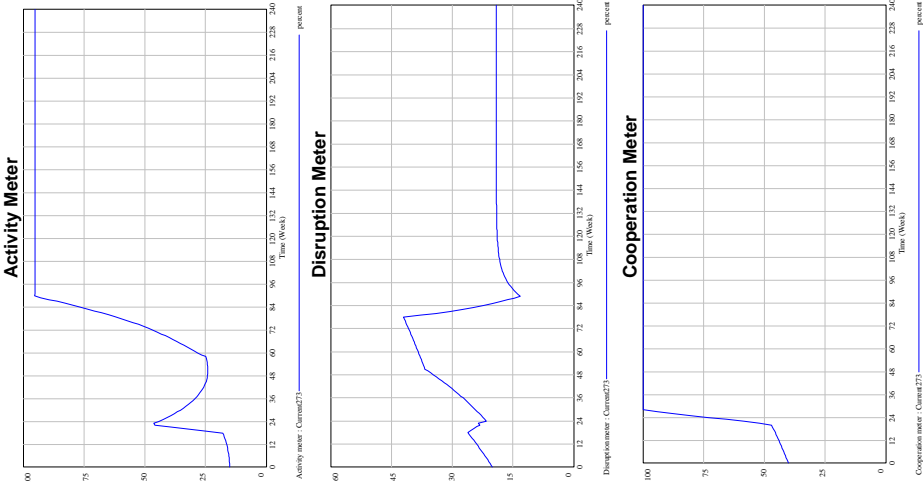
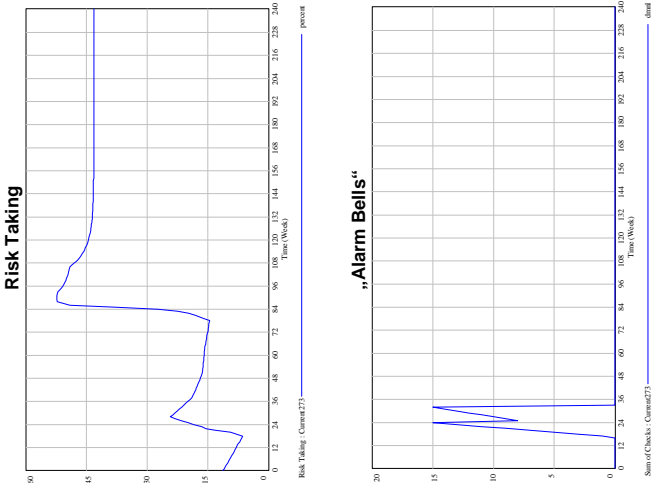


Figure .91: Results Scenario 7

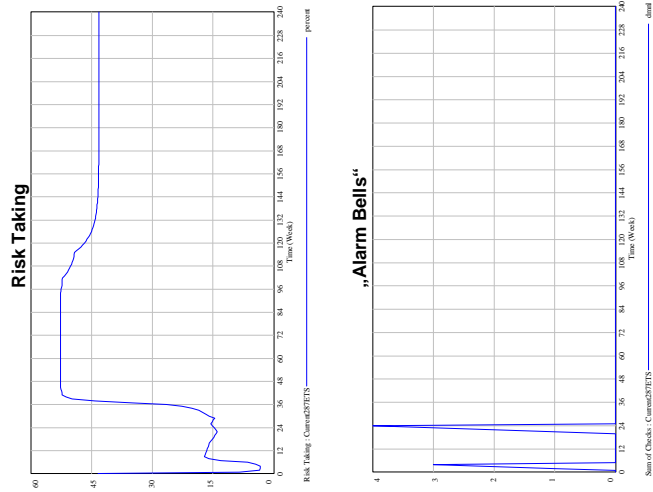
RESULTS SCENARIO 8 (n n y)



Source: Thesis Merle Lückemeyer

Figure .92: Results Scenario 8

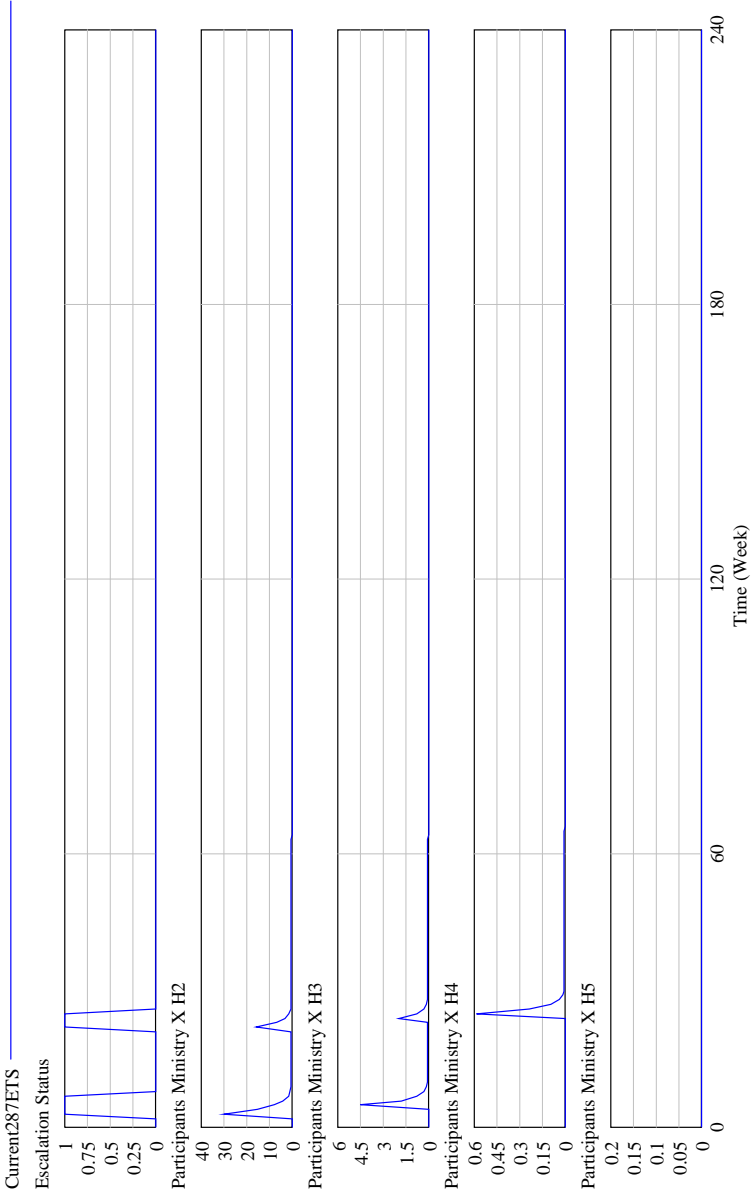
RESULTS BASE CASE ETS



Source: Thesis Merle Lückemeyer

Figure .93: Results Base Case

BASE CASE ETS: ESCALATION

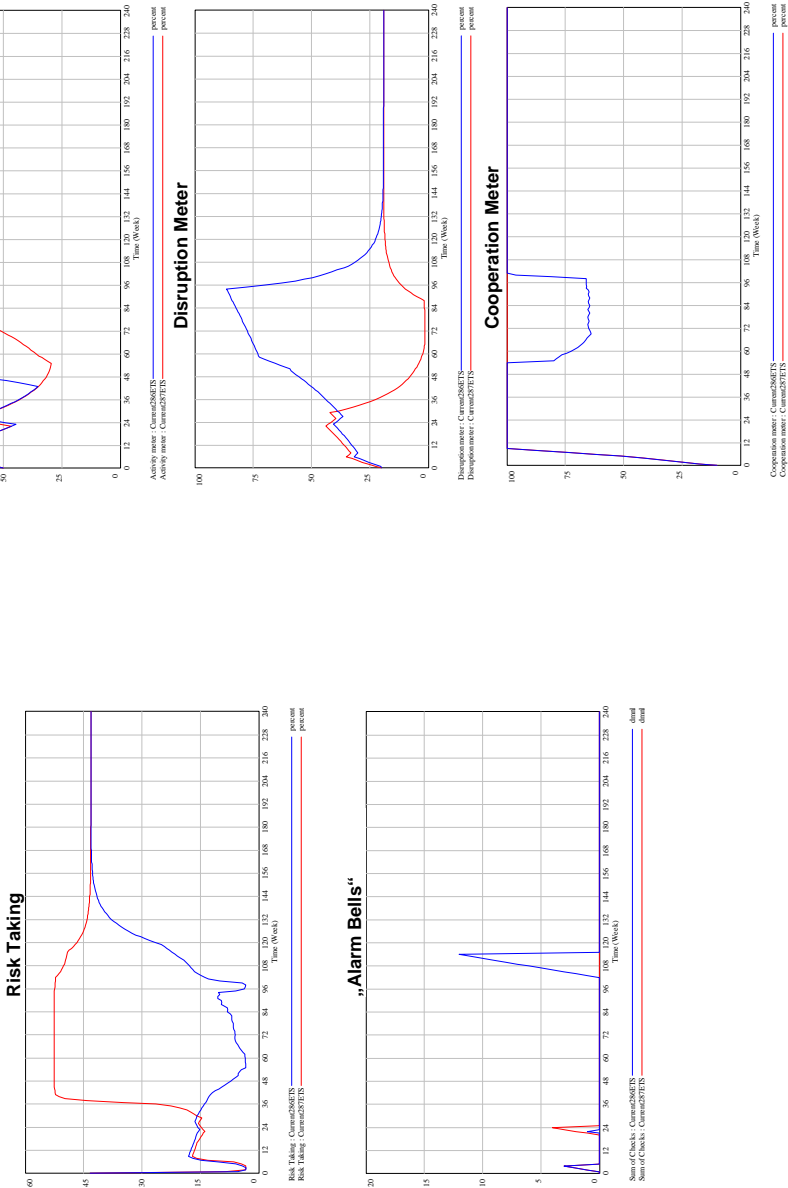


Source: Thesis Merle Lückemeyer

Figure .94: Hierarchy Involvement Base Case

RESULTS NO-LEARNING-SCENARIO

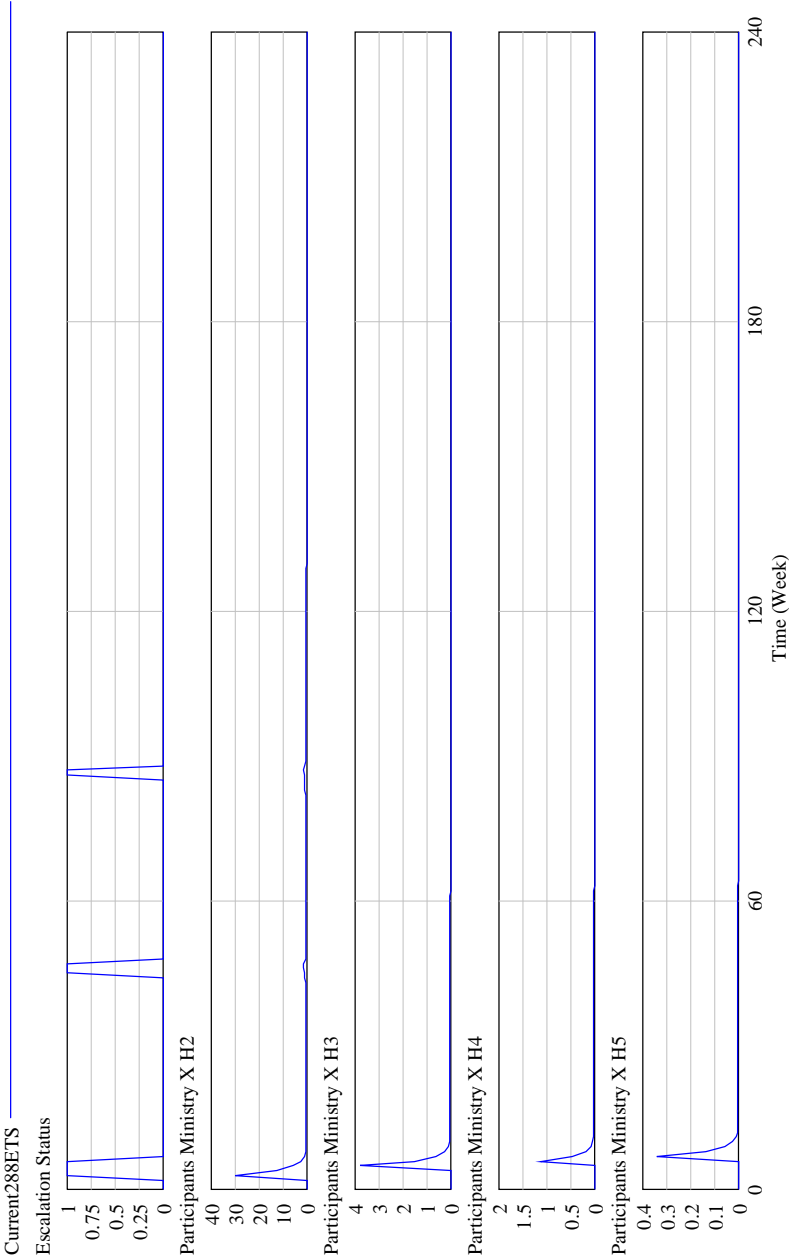
Comparison of Base Case (RED) and No-Learning-Scenario (BLUE)



Source: Thesis Merle Lückemeyer

Figure .95: Results No-Learning-Scenario

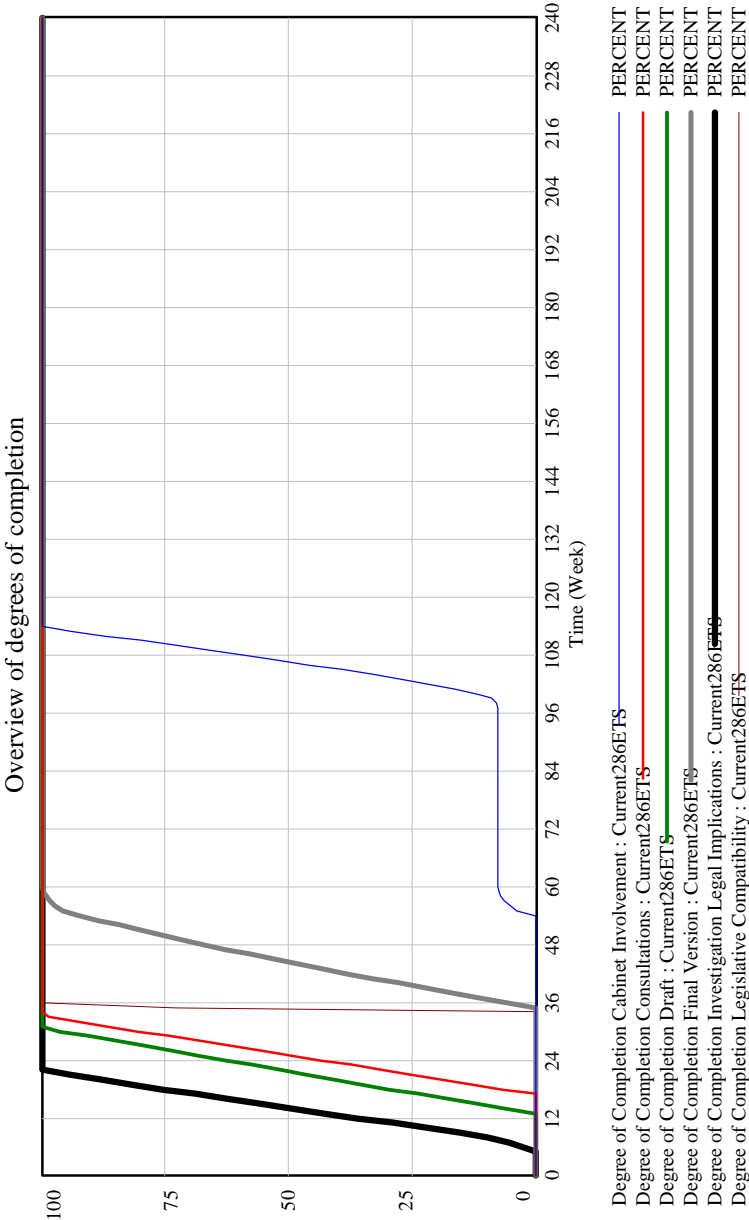
NO-TEAM-SCENARIO: ESCALATION



Source: Thesis Merle Lückemeyer

Figure .96: Hierarchy Involvement No-Learning-Scenario

COMPLETION OF IMPLEMENTATION PROCESS (NO-LEARNING)*

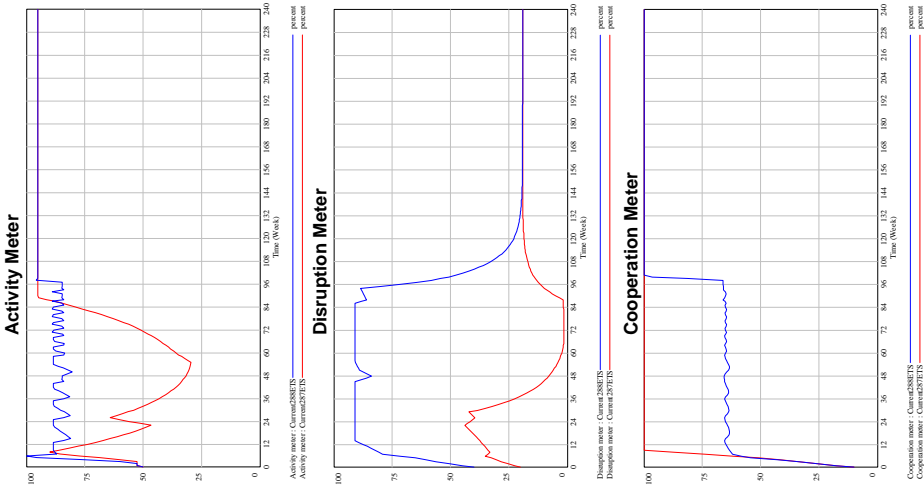
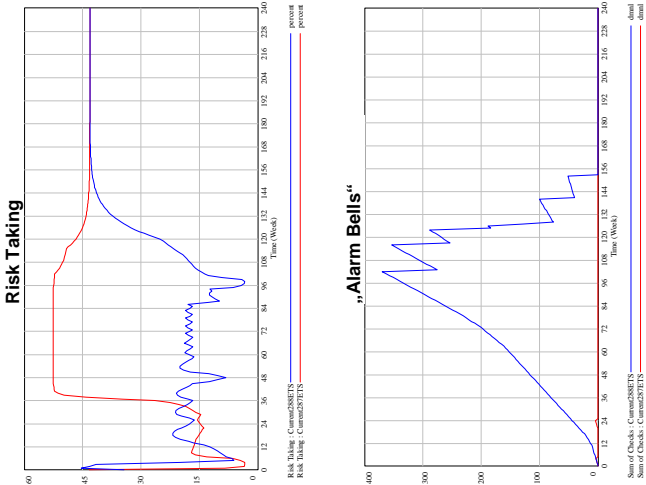


* The first stage is not depicted, since six stages were the maximum Vensim aggregates in one picture
Source: Thesis Merle Lückemeyer

Figure .97: Progress in Implementation No-Learning-Scenario

RESULTS NO-TEAM-SCENARIO

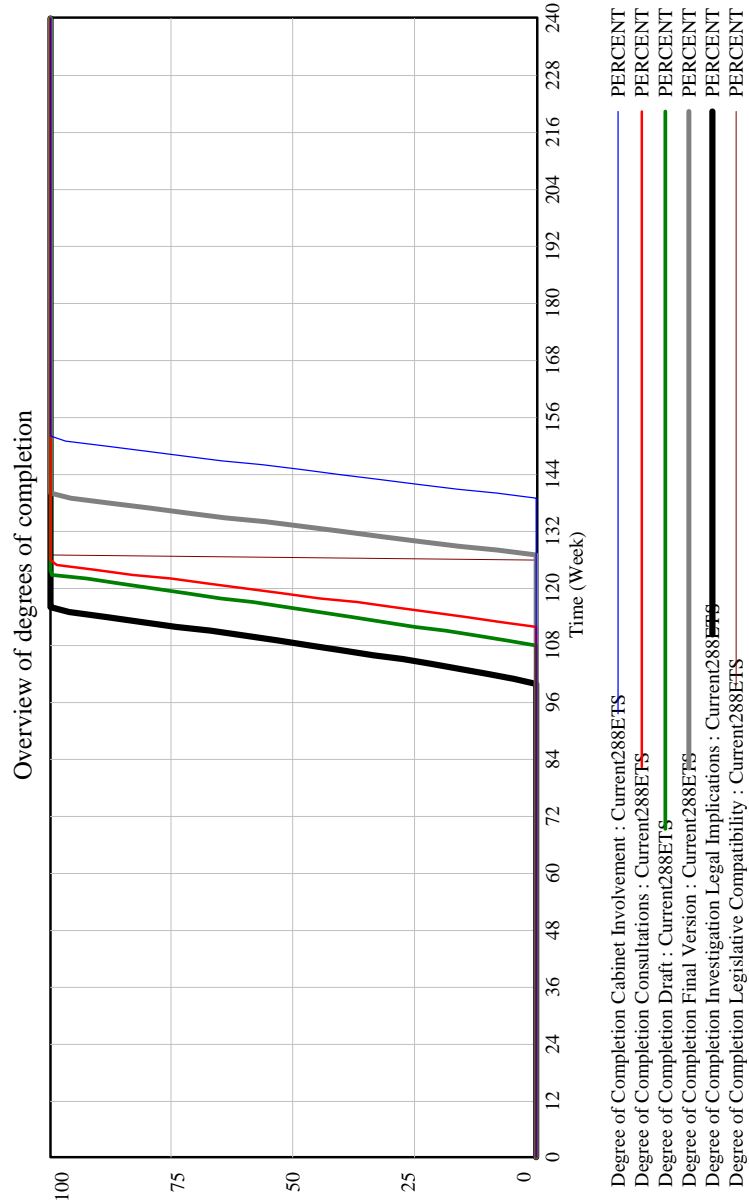
Comparison of Base Case (RED) and No-Team-Scenario (BLUE)



Source: Thesis Merle Lückemeyer

Figure .98: Results No-Team-Scenario

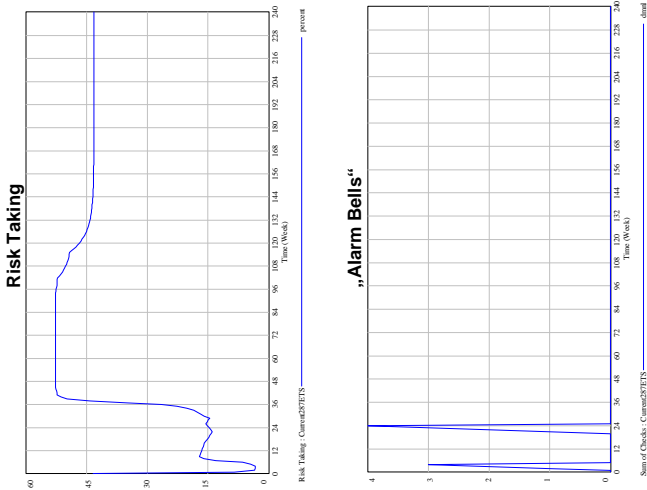
COMPLETION OF IMPLEMENTATION PROCESS (NO-TEAM)*



* The first stage is not depicted, since six stages were the maximum Vensim aggregates in one picture
Source: Thesis Merle Lückemeyer

Figure .99: Progress in Implementation No-Team-Scenario

RESULTS BASE CASE ETS



Source: Thesis Merle Lückemeyer

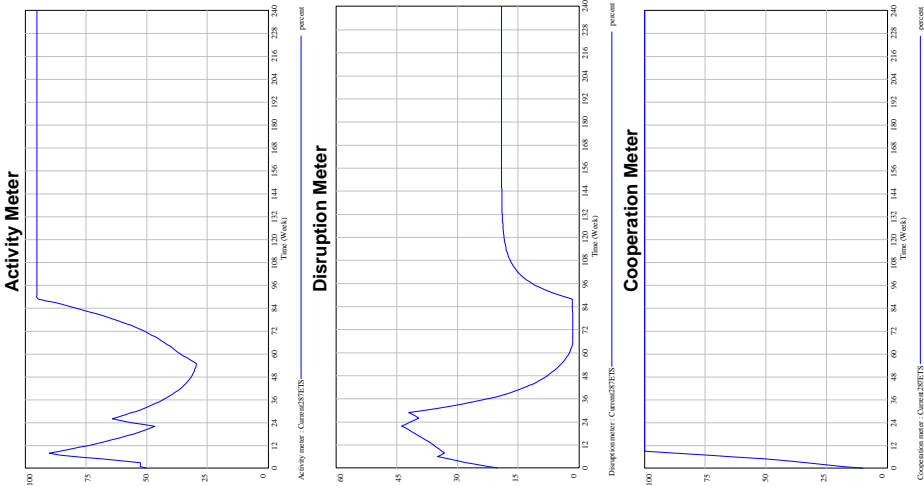
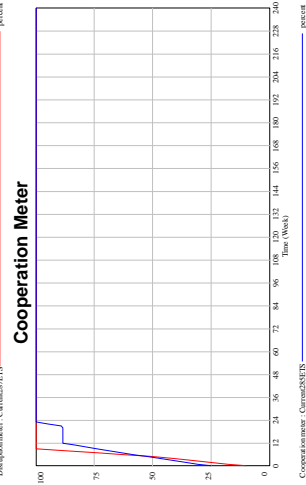
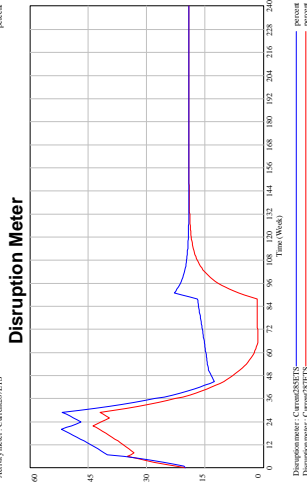
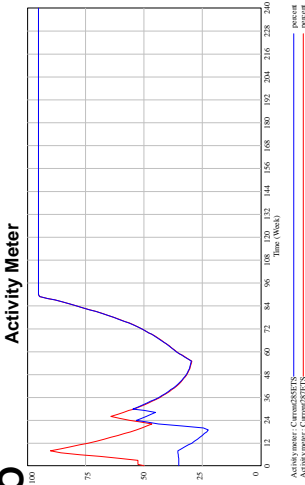
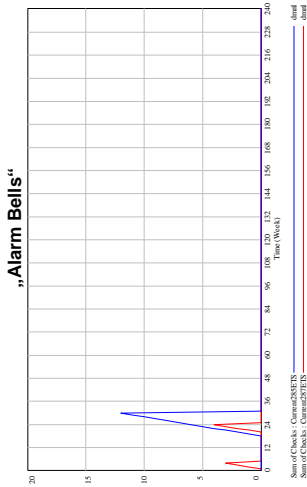
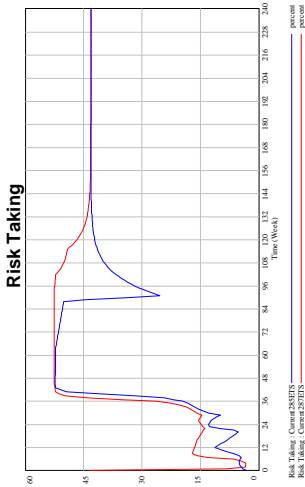


Figure .100: Hierarchy Involvement No-Team-Scenario

RESULTS LOW-CONTENTIOUSNESS-SCENARIO

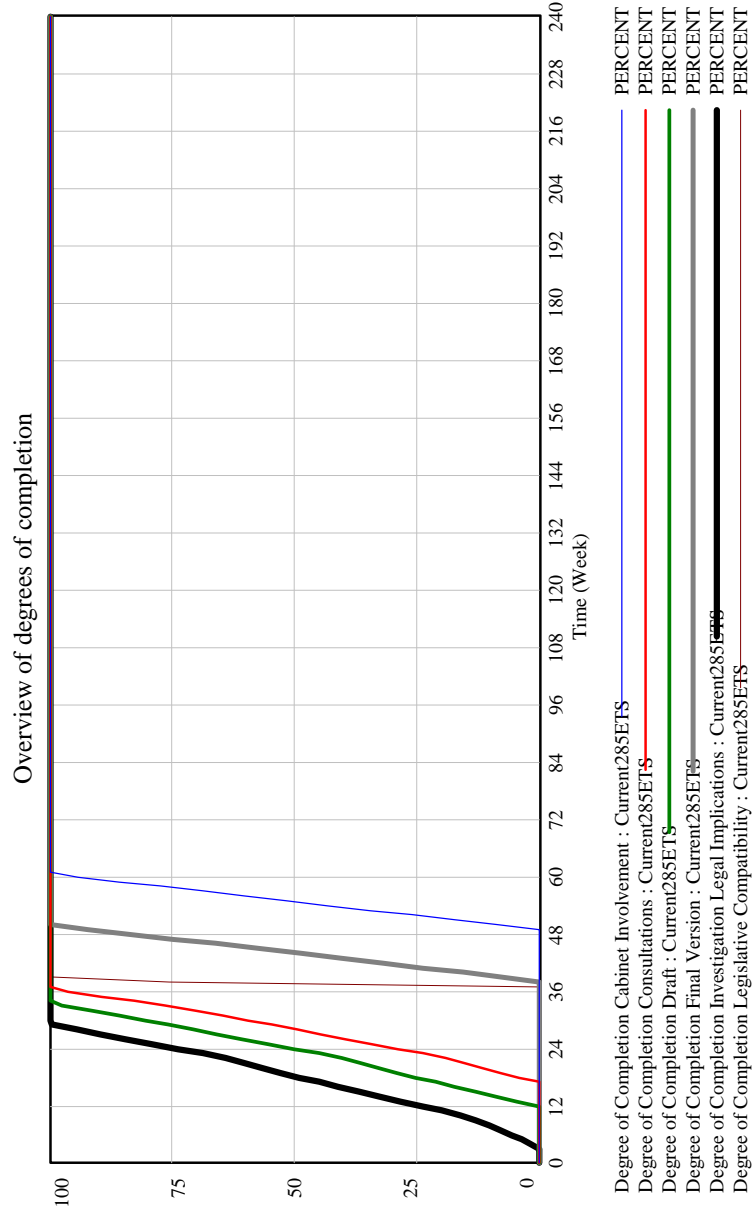
Comparison of Base Case (RED) and No-Contentiousness-Scenario (BLUE)



Source: Thesis Merle Lückemeyer

Figure .101 : Results Low-Contentiousness-Scenario

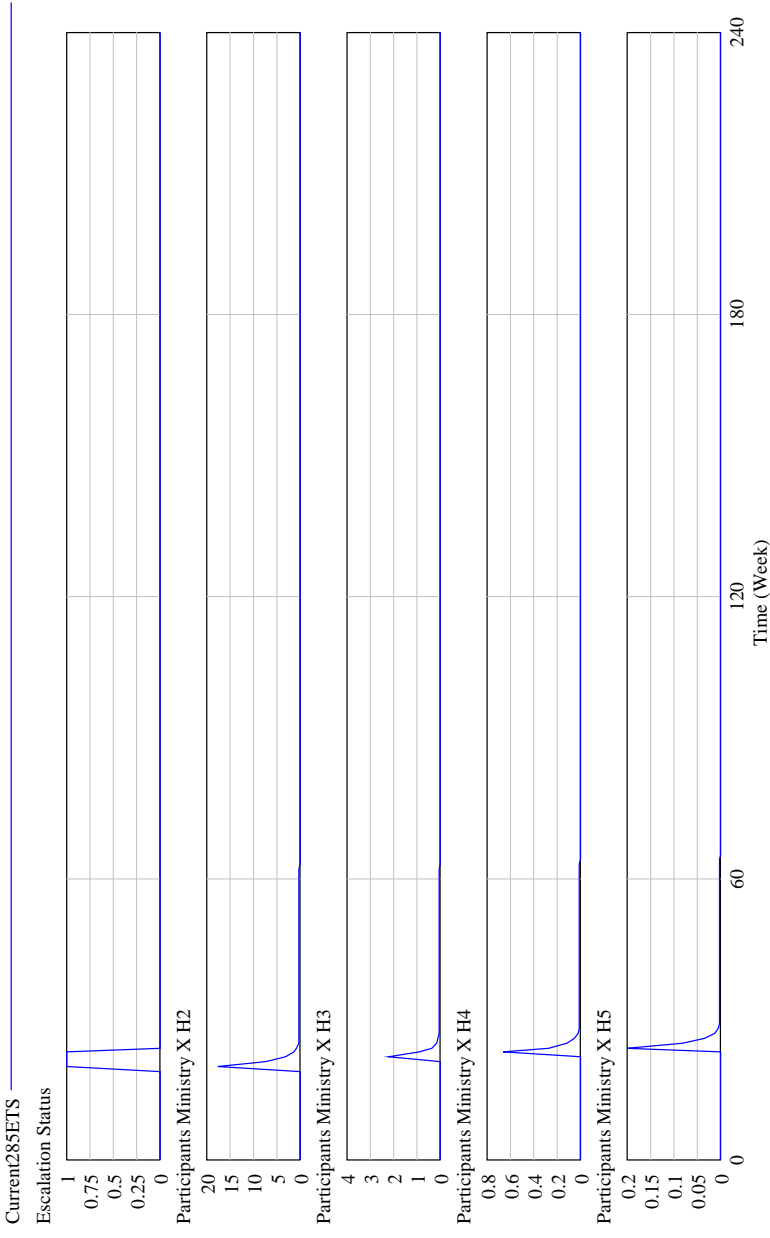
COMPLETION OF IMPLEMENTATION PROCESS (NO-CONTENTIOUSNESS)*



* The first stage is not depicted, since six stages were the maximum Vensim aggregates in one picture
Source: Thesis Merle Lückemeyer

Figure .102: Progress in Implementation Low-Contentiousness-Scenario

LOW-CONTENTIOUSNESS-SCENARIO: ESCALATION



Source: Thesis Merle Lückemeyer

Figure .103: Hierarchy Involvement Low-Contentiousness-Scenario

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