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EU Intergovernmental Conference 1996/1997 Documentation of Data Sets

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1 Introductory Remarks

The following document provides information about the data sets hosted at <http://www.mzes.uni-mannheim.de/publications/misc/thurner>

The data sets are provided as an addendum to:

Thurner, Paul W. and Franz Urban Pappi, 2009: European Union Intergovernmental Conferences: Domestic Preference Formation, Transgovernmental Networks and the Dynamics of Compromise. Routledge: London and New York.

Other publications using these data are:

Books, Dissertation Manuscripts:

Stoiber, Michael, 2003: Die nationale Vorbereitung auf EU-Regierungskonferenzen. Interministerielle Koordination und kollektive Entscheidung. Frankfurt a.M.: Campus.

Linhart, Eric, 2006: Die Erklärungskraft spiel- und tauschtheoretischer Verhandlungsmodelle in Abhängigkeit vom Institutionalierungsgrad des Verhandlungssystems. Mannheim: Mannheim University Press.

Thurner, Paul W., 2006: Die graduelle Konstitutionalisierung der Europäischen Union. Eine quantitative Fallstudie am Beispiel der Regierungskonferenz 1996. Mohr Siebeck: Tübingen (*Die Einheit der Gesellschaftswissenschaften*, Band 136).

Arndt, Frank, 2008: Tausch in Verhandlungen : ein dynamisches Modell von Tauschprozessen am Beispiel der Amsterdamer Regierungskonferenz. Wiesbaden: VS Verlag für Sozialwissenschaften.

Binder, Martin, 2009: National Position Taking prior to EU Intergovernmental Negotiations: The Impact of Formal and Informal Governmental Structures in the Member States of the EU-15. Dissertation Ms., University of Mannheim.

Journal Articles

- Turner, Paul W. and Stoiber, Michael, 2002: Interministerielle Netzwerke: Formale und informelle Koordinationsstrukturen bei der Vorbereitung der deutschen Verhandlungspositionen zur Regierungskonferenz 1996. *Politische Vierteljahresschrift* 42, 4: 561-605.
- Turner, Paul W., Kroneberg, Clemens and Stoiber, Michael, 2003: Strategisches Signalisieren bei internationalen Verhandlungen. Eine quantitative Analyse am Beispiel der Regierungskonferenz 1996. *Zeitschrift für Internationale Beziehungen* 10,2: 287-320.
- Turner, Paul W. and Linhart, Eric, 2004: Political multilevel negotiations and issue linkage during an EU Intergovernmental Conference: An empirical application. *Computational and Mathematical Organization Theory*, 9,3: 243-266.
- Turner, Paul W., Stoiber, Michael and Weinmann, Cornelia, 2005: Informelle transgouvernementale Koordinationsnetzwerke der Ministerialbürokratie der EU-Mitgliedstaaten bei einer Regierungskonferenz. *Politische Vierteljahresschrift*. 45,4: 552-574.
- Turner, Paul W. and Pappi, Franz Urban, 2006: Domestic and international politics during EU Intergovernmental Conferences. Bridging the gap between negotiation theory and practice. *Negotiation Journal* 22, 2: 167-185.
- Saam, Nicole J. and Sumpter, David, 2008: EU institutional reforms. How do member states reach a decision? *Journal of Policy Modeling* 30: 71-86.
- Turner, Paul W. and Binder, Martin, 2009: EU transgovernmental networks: The emergence of a new political space beyond the nation state? *European Journal of Political Research* 48: 80-106
- Saam, Nicole J. and Sumpter, David, 2009: Peer selection in EU intergovernmental negotiations. *Journal of European Public Policy*. forthcoming.

Book Chapters

- Turner, Paul W., 2004: Determinanten transgouvernementaler Koordinationsbeziehungen der Ministerien der EU-Mitgliedsstaaten: Eine Überprüfung der Keohane/Nye-Conjecture. In: Henning, Christian H.C.A., Christian Melbeck, (Hrsg.): Interdisziplinäre Sozialforschung. Theorie und empirische Anwendungen. Frankfurt/New York: Campus
- Linhart, Eric and Turner, Paul W., 2004: Die Erklärungskraft spiel- und tauschtheoretischer Verhandlungsmodelle bei gegebenem Institutionalisierungsgrad. Ein empirischer Vergleich am Beispiel des Endgames der Regierungskonferenz 1996. In: Pappi, Franz. Urban, Eibe Riedel, Paul W, Turner, Roland Vaubel, (Hrsg.): Die Institutionalisierung Internationaler Verhandlungen. Frankfurt/New York: Campus.

Turner, Paul W., 2008: Nichtförmliche Verwaltungskooperation der Ministerialbürokratien der EU-Mitgliedstaaten und netzwerkbasierter Zusammenstellung von nationalen und übernationalen Prozessteams. In: Schuppert, Gunnar Folke / Michael Zürn (Hrsg.): Governance in einer sich wandelnden Welt. Politische Vierteljahresschrift (Sonderheft 41/2008). Verlag für Sozialwissenschaften: Wiesbaden.

Turner, Paul W., 2009: Enhancing horizontal and vertical self-organization: Harnessing informal networks to integrate policies within and between governments in the European Union. In: Rick Feiock, John T. Scholz (Hrsg.): Self-organizing Federalism: Collaborative Mechanisms to Mitigate Institutional Collective Action (in print: *Cambridge University Press*)

An extensive tabular and graphical illustration of these data is provided in:

Turner, Paul W., Pappi, Franz Urban and Stoiber, Michael, 2002: EU Intergovernmental Conferences: A Quantitative Analytical Reconstruction and Data-Handbook of Domestic Preference Formation, Transnational Networks and Dynamics of Compromise during the Amsterdam Treaty Negotiations. Arbeitspapiere Mannheimer Zentrum für Europäische Sozialforschung Nr. 60 / IINS Research Paper No. 15. (294 pages). <http://www.mzes.uni-mannheim.de/publications/wp/wp-60.pdf>)

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Chapter 2 of this document introduces the main actors and issues with acronyms and identification codes.

Chapter 3-5 follow the structure of the directories containing the data. These are:

\AGENDA\
\DOMESTIC PREFERENCE FORMATION\
\TRANSGOVERNEMNTAL NETWORKS\
\INTERNATIONAL\

2 General Information

2.1 List of Member States of the EU-15

<i>msid</i>	<i>Member State</i>	<i>Acronym</i>
1	Austria	AUT
2	Belgium	BEL
3	Denmark	DEN
4	Finland	FIN
5	France	FRA
6	Germany	GER
7	Great Britain	GRB
8	Greece	GRE
9	Ireland	IRL
10	Italy	ITA
11	Luxembourg	LUX
12	Netherlands	NL
13	Portugal	POR
14	Spain	SP
15	Sweden	SWE

2.2 List of Ministries, Departments and Offices inside the Member States of the EU-15

<i>minid</i>	<i>Ministry</i>	<i>Acronym</i>
1	Prime Minister's Office	PO
2	Ministry of Foreign Affairs	MFA
3	Ministry of the Interior	MI
4	Ministry of Justice	MJ
5	Ministry of Finance	MF
6	Ministry of Economy	MEco
7	Ministry of Labour	MLab
8	Ministry of Social Affairs	MSoc
9	Ministry of Defence	MDef
10	Ministry of Environment	MEnv
11	Ministry of Industry	MInd
12	Ministry of Trade and Industry	MTrInd
13	Ministry of Agriculture	MAgr
14	Ministry Public Order	MPubO
15	Ministry of Tourism	MTour
16	EU Secretary	EU-Sec
17	President's Office	PresO
18	Federal States	FS
19	EU Committee	EU-C

2.3 List of Notes (CONF 3801/96 to CONF 3830/96) as prepared by the Council's Secretariat (Legal Service Unit)

<i>Note</i>	<i>Subject</i>
1	Citizenship of the Union (CONF 3801/96)
2	Fundamental Rights
3	JHA: Objectives – Scope – Modes of Action
4	JHA: Decision-making Process – Instruments - Implementation
5	JHA: Judicial Control
6	Employment
7	Environment
8	Community Policies
9	Subsidiarity
10	Transparency / Opening up the Council's Proceedings
11	EP: Composition – Electoral Procedure
12	EP: Legislative Function
13	EP: Non-Legislative Functions
14	Role of National Parliaments
15	QMV and Unanimity
16	QMV-Threshold – Weighting of Votes / Dual Threshold
17	Functioning of the Council
18	Commission: Membership – Powers
19	Court of Justice
20	Other Institutions and Bodies
21	Enhanced Cooperation – Flexibility
22	External Economic Relations
23	CFSP: Objectives – Conception – Preparation of Decisions
24	CFSP: Decision-making Procedures
25	CFSP: Implementation – Operation – Solidarity
26	Financing the CFSP and the JHA
27	Legal Personality for the EU
28	Common Defence Policy and Common Defence (Art. J.4 TEU)
29	Relations with the WEU
30	The Armaments Question (CONF 3830/96)

2.4 List of One-dimensional Negotiation Issues as Included in the Questionnaire

<i>iid</i>	<i>Issue</i>	<i>Subject</i>
1	1.1	Citizenship of the Union
2	1.2	Procedure for adding Art. 8 (citizenship) without revision of the Treaty
3	1.3	Introducing fundamental rights to the Treaty
4	1.4	Monitoring observance of fundamental rights
5	1.5	Principle of subsidiarity
6	1.6	Review of compliance with the principle of subsidiarity
7	1.7	Transparency: opening up the Council's proceedings
8	1.8	Legal personality for the European Union
9	2.1	CFSP: Responsibility for planning
10	2.2	CFSP: Decision-making procedures
11	2.3	CFSP: Responsibility for the implementation
12	2.4	Financing the CFSP
13	2.5	CFSP: Art. J.4.: common defence policy
14	2.6	CFSP: The Union's relations with the WEU
15	2.7	CFSP: The armaments question
16	3.1	JHA: Objectives and scope within JHA
17	3.2	JHA: Modes of action within JHA
18	3.3	JHA: Decision-making procedures
19	3.4	JHA: Democratic Control
20	3.5	JHA: Judicial control within JHA
21	3.6	Financing the JHA
22	4.1	Composition of the European Parliament
23	4.2	Uniform electoral procedure for the EP
24	4.3	Decision-making in the Council: Unanimity and QMV
25	4.4	Decision-making in the Council: QMV-Threshold
26	4.5	Decision-making in the Council: Weighting of votes in the case of enlargement
27	4.6	Decision-making in the Council: Dual majorities
28	4.7	Composition of the Commission
29	4.8	Enhanced cooperation: Introducing flexibility
30	4.9	Enhanced cooperation: Conditions for flexibility
31	5.1	European Parliament: Right for drafting proposals
32	5.2	European Parliament: Procedures
33	5.3	Scope of the Legislative Procedures
34	5.4	European Parliament: Election of the President of the Commission
35	5.5	European Parliament: Budget Power
36	5.6	Role of the national parliaments
37	5.7	Power of the Commission
38	5.8	Power of the Court of Justice
39	5.9	Power of the Committee of the Regions
40	5.10	Power of the Economic and Social Committee
41	6.1	Employment Chapter
42	6.2	Monitoring Employment Policies
43	6.3	Environment
44	6.4	Stricter rules on environmental policy by Member States
45	6.5	Community policies: new policies (energy, civil protection, tourism)
46	6.6	External economic relations

2.5 Assignment Key of Notes to Issues

<i>Note</i>	<i>Issue</i>	<i>Note</i>	<i>Issue</i>	<i>Note</i>	<i>Issue</i>
1	1.1, 1.2	11	4.1, 4.2	21	4.8, 4.9
2	1.3, 1.4	12	5.1, 5.2, 5.3	22	6.6
3	3.1, 3.2	13	5.4, 5.5	23	2.1
4	3.3, 3.4	14	5.6	24	2.2
5	3.5	15	4.3	25	2.3
6	6.1, 6.2	16	4.4, 4.5, 4.6	26	2.4, 3.6
7	6.3, 6.4	17	-	27	1.8
8	6.5	18	4.7, 5.7	28	2.5
9	1.5, 1.6	19	5.8	29	2.6
10	1.7	20	5.9, 5.10	30	2.7

2.6 Issue Groups

The 46 one-dimensional negotiation issues are consolidated into 9 issue groups (IG).

<i>IG</i>	<i>Category</i>	<i># of Issues</i>
1	Fundamental Legal Questions	8
2	Common Foreign and Security Policy (CFSP)	7
3	Justice and Home Affairs (JHA)	6
4	Collective decision-making within the institutional bodies of the EU	9
5	Balance of power between the institutional bodies of the EU	10
6	Transferring further competences to the TEC	6
6.1	Employment	
6.2	Environment	
6.3	Energy, civil protection and tourism	
6.4	External economic relations	

3 Directory ... \AGENDA\

The file **Questions.doc** enclosed the questionnaire with regard to the 46 policy issues under investigation. Each issue option as well as the status quo are indicated in the text of the questions. The respondents were asked to mark their most preferred option.

For example, issue 1.1:

Issue 1.1: Citizenship of the Union

- (A) Clarifying that citizenship of the Union shall not take the place of national citizenship ☐
- (B) Status Quo: no further clarification or enriching of Art. 8 ☐
- (C) Grouping together all rights and obligations which appear in other parts of the Treaty ☐
- (D) Adding certain rights ☐
 - (D1) civic and political rights ☐
 - (D2) socio-economic rights ☐
- (E) Adding certain obligations (e.g. humanitarian service / civil protection) ☐
- (F) Redrafting certain articles to give them direct effect (e.g. Art. 8a on the right to move and reside) ☐

4 Directory ...\DOMESTIC PREFERENCE FORMATION\

The directory **Domestic Preference Formation** contains two types of network data in respective subdirectories. These are a) the networks of domestic self-organization and b) the reputation networks representing the perceived influence structure inside of the national governments. In a third subdirectory, the issue preferences of the governmental actors involved are provided.

4.1 Subdirectory ...\DOMESTIC SELF-ORGANIZATION\

The EXCEL-file **Self-organization.xls** consists of fifteen sheets; one for each member state.

Network generator:

“During the preparation of the IGC 96: Do you remind one or several ministries, with which you cooperated particularly close in order to elaborate / bring in a joint position into the coordination process already from the beginning. Could you please indicate those ministries or institutions?”

The data matrix is constructed as follows: The column-actor indicates efforts of self-organization prior to the intergovernmental conference with the row-actor.

For example, the matrix of self-organizing efforts in Austria is as follows:

		PO	MFA	MI	MJ	MF	MEco	MSoc	MDef	MEnv	FS	EU-C
	minid	1	2	3	4	5	6	8	9	10	18	19
PO	1		1	1	1	1	1	1	1	1	1	
MFA	2	1										
MI	3		1		1							
MJ	4	1	1	1								
MF	5	1	1				1	1				
MEco	6		1									
MSoc	8	1	1			1						
MDef	9		1									
MEnv	10											
FS	18	1	1									
EU-C	19											

Reading example:

The column-actor MDef (Ministry of Defense) indicated efforts of self-organization with the MFA (Ministry of Foreign Affairs).

4.2 Subdirectory ...\DOMESTIC REPUTATION\

For each member state there is one EXCEL-file **Reputation-** (Reputation-AUT.xls,..., Reputation-SWE.xls). Each of these Excel-files includes nine separate sheets for the issue areas documented above (IG1 – IG64).

Network generator:

“Using the structuring notes as prepared by the General Secretariat of the Council of the EU, we have classified their 30 issues into six different groups of issues. For each of the groups of issues: would you please indicate those ministries or institutions that stood out as especially / outstanding influential in the process of finding the final negotiation position?”

The data matrix is constructed as follows: The column-actor indicates the row-actor as especially/outstanding influential with regard to the issue group.

For example, the matrix of reputation in Austria with regard to issue-group 1:

		PO	MFA	MI	MJ	MF	MEco	MSoc	MDef	MEnv	FS	EU-C
	minid	1	2	3	4	5	6	8	9	10	18	19
PO	1	1	1								1	
MFA	2	1	1									
MI	3	1	1									
MJ	4	1	1									
MF	5	1	1			1						1
MEco	6											
MSoc	8	1	1									
MDef	9											
MEnv	10											
FS	18	1	1								1	
EU-C	19											

Reading example:

In Austria, the column-actor MSoc (Ministry of Social Affairs) indicated the row-actors PO (Premier's Office) and the MFA (Ministry of Foreign Affairs) as especially/outstanding influential with regard to issue group 1.

4.3 Subdirectory ...\\ISSUE PREFERENCES\\

The STATA-file **IGC_data.dta** contains the issue preferences of the governmental actors involved and their formal competences in the policy-making process.

<i>Variable</i>	<i>Description</i>
msid	Member State ID
minid	Ministry ID
iid	Issue ID
idealp	Ideal Point of Ministry in Member State
idealp_rg	Range of the Ideal Point
weight	Relative Weight attributed to an Issue by the Ministry
leader	Leadership Competences for a Ministry (Richtlinienkompetenz)
jasetter	Jurisdictional Agenda Setter in an Issue (Federfuehrung)
sharedc	Shared Jurisdictional Competence in an Issue (Konkurrierende Zustaendigkeit)
projectm	Responsible Ministry for the Project Management

Cases (N=6440) are uniquely identified by their Member State ID, Ministry ID and Issue ID.

If a ministry indicated no single point position as ideal point, the range of the ideal position (*idealp_rg*) is defined as the diameter with the ideal point being represented by the centre.

5 Directory ...\\TRANSGOVERNEMNTAL NETWORKS\\

The EXCEL-file **Transgovernmental Relations.xls** includes transgovernmental networks of the governmental subunits involved. The file consists of nine sheets; one for each jurisdiction.

Network generator:

“Sometimes, it proves to be useful for a ministry – before taking the final national official position – to come to an agreement with an equivalent ministry of another Member State. (Interviewer: Please show list F16). Could you indicate the Member States where you have practiced such an agreement building?”

The column-actor indicated relations of transgovernmental self-organization prior to the intergovernmental conference with the row-actor.

For example, the transgovernmental network of the premiers’ offices (PO) is as follows:

		AUT	BEL	DEN	FIN	FRA	GER	GRB	GRE	IRL	LUX	NL	SP	SWE
	msid	1	2	3	4	5	6	7	8	9	11	12	14	15
AUT	1	0	1	0	0	1	1	1	0	1	0	1	1	0
BEL	2	0	0	0	0	1	1	0	0	0	1	1	0	0
DEN	3	0	0	0	0	0	0	0	0	0	0	0	0	0
FIN	4	0	0	0	0	0	0	0	0	0	0	0	0	0
FRA	5	0	0	0	0	0	1	1	0	0	0	0	0	0
GER	6	0	1	0	0	1	0	0	0	0	1	0	1	0
GRB	7	0	0	0	0	0	0	0	0	0	0	0	0	0
GRE	8	0	0	0	0	0	0	0	0	0	0	0	0	0
IRL	9	1	0	0	0	0	0	1	0	0	0	0	0	0
LUX	11	0	1	0	0	1	1	0	0	0	0	1	0	0
NL	12	0	1	0	0	0	0	0	0	0	1	0	0	0
SP	14	0	0	0	0	0	1	0	0	0	0	0	0	0
SWE	15	0	0	0	0	0	0	0	0	0	0	0	0	0

Reading example:

The column-actor NL (Premier’s Office in the Netherlands) indicated a transgovernmental relation with the row-actors BEL (Premier’s Office in Belgium) and LUX (Premier’s Office in Luxembourg).

6 Directory ...\\INTERNATIONAL\\

The STATA-file **Proposal Data.dta** contains the member states’ initially declared negotiation positions and the written interventions (submission date and position) of the member states during the intergovernmental conference.

<i>Variable</i>	<i>Description</i>
msid	Member State ID
iid	Issue ID
nbp	Declared National Bargaining Position of the Member State
nbp_rg	Range of the Declared National Bargaining Position
date_1	Submission Date of the first written Intervention
propnr_1	Document ID of the first written Intervention
posmet_1	Position of the first written Intervention
rangepos_1	Range of the first written Intervention
date_2	Submission Date of the second written Intervention
propnr_2	Document ID of the second written Intervention
posmet_2	Position of the second written Intervention
rangepos_2	Range of the second written Intervention
date_3	Submission Date of the third written Intervention
propnr_3	Document ID of the third written Intervention
posmet_3	Position of the third written Intervention
rangepos_3	Range of the third written Intervention

Cases (N=690) are uniquely identified by their Member State ID and Issue ID.

Again, if the declared initial national bargaining position or the position of the written interventions have been ranges (that is, member stated have been indifferent between at least two options, instead of providing a point position), positions are coded as diameter with the ideal point being represented by the centre.