

IMPLEMENTATION PROCESS IN A POST- CONFLICT TRANSITION

The case of MATRA PATROL in Serbia

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Summary.

The aim of current research is to identify factors that constrain or facilitate the effectiveness of the implementation of MATRA PATROL in Serbia in the period 2012-2015. Effectiveness of public policy and programmes is one of the key objectives for policy-makers. Critical public opinion, mass media, and obliged budget reductions demand constructive policy frameworks. Moreover, the contemporary EU-critique sentiment in civil society and the political sphere will monitor this policy for it enhances the accession of candidate states.

Factors that intervene in the effectiveness of the implementation and in what way is a challenging issue in scientific research. The theory of Mazmanian and Sabatier (1983) is regarded to be the best applicable in current research. The objective is to provide an synopsis of prevailing perceptions in this field, and not to conduct and evaluation of the implementation. Additionally, the framework also accounts for the legally mandated goals, organisational maintenance and external institutions and their legal and financial resources (Mazmanian and Sabatier, 1983). It offers guidance in the investigation of attitudes towards the implementation process, and structure in the analysis of perceptions.

Eminent facilitating factors are related to the implementing agencies, and evidence is provided regarding the value of the consortium. Relying on the expertise of training institutions, demarcation of the allocation of funding, and hierarchical integration are the key elements. The outsourcing of the organisation and facilitation of the training courses to private institutions results in positive outputs.

Outstanding constraining factors are related to the policy framework. The equation of the target group detains imperative knowledge on the target group and less adequate incorporated causal theory. This results in low possibilities for measurements of output and outcome of the programme. On the other hand is effectiveness constrained by the omission of participating opportunities for supportive organisations or outsiders. The closed network and process results in low awareness and understanding in civil society, and therefore low support. The empirical findings of current research provide an overview of attitudes in the implementation process of this public programme.

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List of abbreviations

COPROL	MATRA Cooperation Pre- accession Rule of Law
EU	European Union
HALG	The Hague Academy for Local Governance
LGBT	Lesbian, Gay, Bisexual and Transgender
MATRA	MAatschappelijk TRAnsformatie programma trans.: civic transformation programme
NFPS	National Focal Points
PATROL	MATRA Pre- Accession Training on Rule of Law

Chapter 1. Introduction

In light of governmental budget reductions, effectiveness is one of the key objectives for policy-makers. Evaluations of policy are meant to increase effectiveness, efficiency and economy of the policy (Abma, 2000). In the 1970s, more scholars observed the incongruity of policy outcomes and policy intentions and related this to implementation failure (Hill and Hupe, 2002). Pressman and Wildavsky (1973) claim this to be an 'implementation gap'. Because of failure to realize policy expectations, research on policy implementation emerged in the upcoming years, and much knowledge on implementation effectiveness has been developed (Hill and Hupe, 2002).

1.1 Problem statement

A challenging issue in implementation research is which factors intervene in the effectiveness of policy implementation, and in what way. The subject of this research is the MATRA Pre- Accession Training on Rule of Law (PATROL). PATROL is one of the multiple components of the MATRA programme (*MAatschappelijk TRAnsformatie programma*; trans.: civic transformation programme) (SPAN, 2008). The aim of current research is the identification of factors of success and failure in effectiveness of the implementation of the PATROL programme.

1.2. The research questions

The objective of this research is to identify factors that constrain or facilitate the effectiveness of implementation of PATROL in Serbia. Because of the full extent of the programme, and the uncertainty of proclaiming outcomes, this research solely focuses on the implementation of PATROL in Serbia in the period 2012-2015. Current research is not an evaluation of the implementation of the policy. It provides an synopsis of prevailing perceptions regarding the MATRA PATROL implementation, which is established by the researcher, the interviewees and public and media opinion.

Research question:

Which factors influence the effectiveness of the implementation of MATRA Pre-Accession Training on Rule of Law (PATROL) in Serbia in the period 2012-2015?

In order to answer this research question, three sub research questions are formulated. These questions follow the data gathering structure that constructs the research. The sub research questions are:

Sub research question 1:

Which factors are identified in the literature concerning the effectiveness of implementation?

The second sub research question concerns the practical application of the deployed factors. The aim of this part is to identify which factors are related to the effectiveness of implementation.

Sub research question 2:

What were the goals of PATROL in the period 2012-2015, and what was achieved by implementing PATROL?

With regard to answering this sub research question, we need to indicate the goals of the programme and what is actually achieved by its implementation.

Sub research question 3:

How was the PATROL programme implemented and to what extent did this process meet the criteria introduced by Mazmanian and Sabatier (1983)?

The theory of Mazmanian and Sabatier (1983) relates several factors to the effectiveness of public policy and programmes. The framework accounts for the legally mandated goals, but also for organizational maintenance and external institutions and their legal and financial resources (Mazmanian and Sabatier, 1983). This framework is applied in order to provide guidance in the investigation of attitudes towards the implementation process. And additionally it offers structure in the analysis of perceptions. Therefore, this theory is the best applicable in current research, regarding this situation and current objective.

The research question refers to how different variables shape the policy implementation process, and in what way. The effectiveness of policy implementation is considered the dependent variable. Factors that influence the effectiveness are considered the independent variables. These variables form eventually the starting point of the content analysis, the in-depth interviews and the secondary data-analysis. Hence, the objective of this research is to identify factors that constrain or facilitate the effectiveness of the implementation.

1.3. The case background

PATROL.

The principal aim of MATRA is the support of countries that are situated in a transition to a pluralist and democratic society (SPAN, 2008). Additional aim of this policy is the strengthening of relations between the Netherlands and these countries. The training of foreign civil servants in the Netherlands will form a network of valuable contacts for the Netherlands (SPAN, 2008).

Within this programme PATROL is an instrument for development of the public administration, and is realized through training (SPAN, 2008). Trainings contain multiple courses and academic programmes. The objectives of PATROL are:

- Strengthening the partnership with new E.U. member states.
- Preparing candidate states for accession with the E.U.
- Promoting good-neighbourhood with the E.U.'s Eastern and Southern neighbours.

These objectives are derived from the Policy article 2, which comprise the promoting of security and stability, humanitarian assistance and good governance (Ministry of Foreign Affairs, 2008). Within current research the focus is specifically on Policy article 2.7, which consists of the promotion of good governance in priority countries and addresses the implementation of Rule of Law (RoL) (Ministry of Foreign Affairs, 2008). It refers to the influence and authority of law within society, for citizens as well as for governments (Kooijmans, 2008). The judicial description of RoL claims that it is a prescription for human conduct derived from the law and is claimed to be a safeguard (Kooijmans 2008).

Thus, how may PATROL be qualified? The goal of PATROL is to provide training of civil servants in an area related to good-governance. The organizational capability is low, and Serbia scores high on the corruption perception index, which both are conditions of the Rule of Law (Eriksen, 2005¹; Kooijmans, 2008). The training consists of personal development programmes to improve professional skills. Thus, PATROL addresses the strengthening of the RoL through the training, and ultimately the functioning of the Serbian government.

The selected case-study is the implementation of PATROL in Serbia in the period 2012-2015. The region of focus in this research is related to the MATRA EAST programme, because of the efforts this region is taking in order to be acknowledged by the Western European countries (IOB #11 15, Evaluatie nieuwsbrief). Within this region, the case study is Serbia. My point of interest in Serbia is the state's lively and interesting history. From up to 1815 there was no internal public administration in Serbia that could organize the state and little state apparatus with a minimal organizational experience had to rule the highly undifferentiated society (Snyder, 2000). Nowadays, public administration is expanded, but nevertheless the organizational capability is still low (Eriksen, 2005).

The civil war in Yugoslavia was characterized by the ethnic and religious differences (IOB #11 15, Evaluatie nieuwsbrief). The committed crimes against humanity are still present in the Western Balkan states liaisons, and this problematizes the growth and the corporation of the independent states. The Dutch government tries to help this region to reach stability and supports public sector reform (IOB #11 15, Evaluatie nieuwsbrief).

Another interesting point in the Serbian case is the implementation of RoL and legislation. The European Commission is still doubtful concerning the lack of serious efforts towards diminishing corruption and organized crime (Farla, 2011:10). On the 'corruption perception index 2010'², Serbia scored a 3,5 on a scale of 1 to 10, where 1 is the lowest score and 10 is the highest score. In comparison to the score of the Netherlands, which is 8,8, one may conclude that this is rather low.

The Balkan Monitor Studies show that only three out of ten citizens feel represented, and 75% is not satisfied with democratic performances (Balkan Monitor Studies, 2009, 2010).

¹ http://www.transparency.org/policy_research/surveys_indices/cpi/2010/results

² http://www.transparency.org/policy_research/surveys_indices/cpi/2010/results

Only 32% of the Serbian citizens are convinced that democracy is the best state system (Balkan Monitor Studies, 2009, 2010). This raises questions about the chances for success concerning MATRA, and the success of the training through PATROL.

1.4. The effectiveness of policy implementation

Concerning affecting factors, Sabatier and Mazmanian developed a model that comprises 16 variables that influence the effectiveness of implementation (Mazmanian and Sabatier, 1981). The model is used as the fundamental background for the identification of factors that facilitate or constrain effectiveness, and takes the material, structural and contextual variables involved in the implementation process into account (Mazmanian and Sabatier, 1983).

The concept influence is divided into success and failure, and factors will be characterized according six conditions of effectiveness established by Mazmanian and Sabatier (1983). These conditions are a measuring rod for the effectiveness of PATROL as implemented in Serbia and measure the extent to which the six conditions have been encountered. Because the conditions are related to the affecting factors, a clear reciprocal analysis is possible. The effectiveness analysis illuminates the flaws and confident parts of the programme. By determining the connection to the distinct variable(s), a conclusion about the factors that constrain or facilitate the effectiveness of implementation is established, including the extent to which these are influential (Mazmanian and Sabatier, 1983).

1.5. Literature

Bovens et al. (2001) describe the concept of 'policy' as: "The intentions, choices and actions from one or multiple governmental institutions aimed at the steering of a specific civil development" (Bovens et al, 2001:82). These intentions, choices and actions are influenced by socio- economic forces and the political system. DeGroff and Cargo (2009) claim that the implementation process is affected by different factors, and that there is more to policy implementation than policy-makers and executives. These dynamics need to be included in this research in order to analyse implementation processes. Implementation concerns the conversion of the policy intentions and political decision-making to the administrative system.

The research model in current research is derived from the framework Mazmanian and Sabatier (1983) developed in their study 'Implementation and public policy'. The framework entails the involved variables of the implementation process. These variables are structured according to the tractability of the problem, the ability of the statute to structure the implementation, and the nonstatutory variables affecting the implementation. It enables the analysis of which factors facilitate, and which factors constrain the effectiveness of the implementation of a public policy.

1.6. Data collection and analysis

The theoretical model clarifies effectiveness, what factors are to be accounted for and how to measure effectiveness. Accordingly, the model is applied to a content analysis, interviews and media coverage of the programme. Eventually, it forms a fundament for identifying factors that constrain or facilitate the effectiveness of policy implementation.

Commonly, most sources of data for case studies are documents, interviews, and direct observations and participant observations (Yin, 2003). Because of the time constrain and low capacity caused by one researcher, the used data sources will be decreased to documents, interviews and media coverage. The exploration in sub research question 1 is the theoretical part of this research.

In order to answer sub research question 2, a content analysis of policy documentation will clarify the design of the policy implementation. All available documentation regarding the implementation of PATROL in Serbia in the period 2012-2015 is selected. The documentation will be analysed by coding, by which relevant information is selected on the factors from the theoretical framework.

Additionally, structured interviews with involved actors of the implementation process will generate influential factors from the actual practice. This provides further insight regarding the second sub research question. The interviewees are individuals from the Ministry of Foreign Affairs, and executives from the three involved implementing agencies. Selection of the respondents is conducted on availability. Every available respondent is interviewed in order to reach to highest possible standardisation in current research. The interviews are

structured according to the relevant factors, for keeping a secure focus on the relevant component of the programme. The factors are operationalised in the interviews according to the interviewees' perception, and not prescribed by the interviewer.

Finally, an analysis of the media coverage regarding the programme will provide insight on the public opinion. General public opinion and media opinion form a more distinct influence on public policy than before, because they influence the management of organizations (Rainey, 2014). Thus, media endorse a certain power over public organizations. Current research attends to this aspect more specifically, although it is incorporated in the theory by Mazmanian and Sabatier (1983). In order to intensify this, a cumulative analysis is provided which illuminates the media's points of interest. Therefore complements the analysis of the media coverage the theoretical framework and methodological aspects.

The information from sub research question 2 provides the data for the output model, which enables the analysis in sub research question 3. The model will consist of success and fail factors derived from the effectiveness model of Mazmanian and Sabatier (1983).

Thus, the goal of current research is inference concerning the affecting factors of effectiveness of the implementation of PATROL in Serbia. Then the issue stands what is denoted as effective? Or otherwise stated, what is considered the definition of effectiveness regarding the implementation of a policy or policy programme? Mazmanian and Sabatier (1983) developed conditions to which a policy and or programme should address in order to be implemented effectively.

Because the conditions are related to the affecting factors, a clear reciprocal analysis is possible. The effectiveness analysis illuminates the flaws and confident parts of the programme. By determining the connection to the distinct variable(s) a conclusion about the factors that constrain or facilitate the effectiveness of implementation is established, including the extent to which these are influential.

1.7. Methods

Current research is a case-study. Gerring (2004) claims that a case - study is: ‘ *(..) an intensive study of a single unit for the purpose of understanding a larger class of (similar) units.*’ (Gerring, 2004:342). The research design is qualitative, and will only focus on observing a situation in its contextual process (Punch, 2006). The unit of observation is a single organization with a single event thus a qualitative construction is more adequate to answer the research questions (Hill and Hupe, 2014). Additionally, the design is also qualitative because of the difficulties in the establishment of a fortifying policy definition that has an equal definition across nation states (Hill and Hupe, 2014).

Nonetheless, merely gathering empirical data in a qualitative mode is not sufficient, and inference is the goal of scientific research. The goal is therefore causal inference, which aims to describe the latent causal relation through empirical evidence (King, Keohane and Verba, 1994). Current research is interpretative in nature. In one part it relies on the judgement of the researcher, and in other parts the data collection consists of stakeholders’ perceptions.

The distinct methods of data-gathering provide different approaches towards a complete analysis of the MATRA PATROL programme. Certain aspects are illuminated through certain methods, although all methods cover all aspects. The document-analysis provides additional insight on the ability of the statute to structure implementation, as well as the dependent variables. The interview-analysis delivers additional insight on the tractability of the problem. The secondary data-analysis provides additional insight into the contextual nonstatutory variables affecting the implementation. The application of triangulation of research methods enhances the methodological quality of current research (Yin, 2003).

The operationalisation of the features will support the construction of internal and external validity and research liability. Additionally, the four tests of construct validity; internal validity, external validity and reliability by Yin (2003) are used to establish the quality of current research. Examples are explanation building, the use of replication logic and review of draft case study reports by the key informants (Yin, 2003). Construct validity entails the identification of accurate operational measurements for the elements in research. Internal validity demands the establishment of a causal relationship. External validity is the condition of defining the domain of generalization of the research. Finally, reliability involves an

illustration of the taken steps in data- gathering and data-analysis for possible reproduction (Yin, 2003).

1.8. Limitations

Valuing the effectiveness of policy implementation will be difficult. Complication in identifying the effect from the output, and their correlation need specific attention. Therefore, a sharp model has to be defined.

Unfortunately, a low amount of documents is available for analysis. Because of an intended resolution on the extension of the MATRA programme by the Dutch government later this year, documents are not available for evaluation. This political motivated aspect will cause validity issues in current research. Thereby, the researcher extended the data collection by interviews with involved individuals in the implementation process, and media coverage as sources of data.

The policy implementation framework is designed for a long-term analysis. Actually, the timeframe is set between twenty and thirty- five years by Mazmanian and Sabatier (1983). It is obvious that this timeframe is not practical in a master thesis. Nevertheless, this framework provides a suitable fundament for the identification of affecting factors.

1.9. Significance

The scientific contribution of this research is an analysis of the functioning of public administration and the cooperation between different states in this field. Then, the research will also provide an insight on governmental spending in the policy field and the effectiveness of this public investment.

The MATRA programme itself is evaluated on several occasions. Because of the obligated order for governmental policy evaluation, as well as in a formal setting, as in an informal setting, as a subject of students thesis projects. This training component is on the other hand not that frequently subject of evaluation. Over the years, more attention is given to the other components of the programme. This fosters the societal value of current research.

1.10. Thesis outline

In order to provide comprehensive answers and for easy readability current research is structured and divided into different chapters. The volume of chapters may convey the impression of abundance, but this is related to the before mentioned comprehension and easy readability. Various analysis are made, and it enhances the understanding to divide these analyses by nature and content. Sub research question 1 is answered in chapter three. Whereas sub research question 2 is answered in chapter five. Chapter six answers the final sub research question.

Chapter two addresses information on the case subject PATROL in Serbia. This is the contextual part of research and provides background knowledge for full comprehension of the case of analysis.

Chapter three concerns the theoretical framework. The position of the dependent variable of effectiveness of policy implementation is introduced by a summary of the policy cycle. Through a resume of the debate in implementation research, the origin of the applied independent variables of success and fail factors is indicated. This justifies the application of these variables. The chapter is concluded with a theoretical model that will be used in current research and provides an answer to **research question 1**.

Chapter four entails the methodology, and describes the research method, design, and strategy. Accordingly the data-collection and analysis, and operationalisation of the features in current research are described in this chapter.

The content analysis, analysis of the interviews, and the media coverage-analysis is specified in chapter five. This concerns available documents, interviews with employees of the Ministry of Foreign Affairs and executives from implementing agencies, and the media coverage concerning the policy. This provides the output model addressed to in **research question 2**.

Chapter six concerns the effectiveness analysis. The application of six conditions for effectiveness by Mazmanian and Sabatier (1983) forms the answer to **research question 3**.

Chapter seven provides an answer to the **main research question**.

Chapter 2. Case background

This chapter provides information concerning the case studied in current research that offers insight into the MATRA PATROL programme and its function. This information is beneficial considering the contextual and political factors that influence the implementation of PATROL in Serbia.

The first part describes the MATRA policy. This programme is originated by the Dutch government in 1993, and supports EU pre-accession states and to spread the customary EU norms and values. PATROL is a component of this policy, and therefore an outline of the goals and objectives is in place.

The second part clarifies the component PATROL, containing its history and content. The objective is to support adaptation of the EU acquis in the area of RoL by the target state in the form of training courses. According to the policy framework, the training courses can only be prepared and implemented in the Netherlands because of their excellent reputation.

The subject of current research is Serbia. Within the MATRA programme, Serbia is categorized in the first group of states. This group contains Western Balkan states that used to be part of former Yugoslavia. The third part of this chapter entails a small summary of the political situation and societal sentiments in the Western Balkans, and Serbia specifically.

The last part attends to the interests and benefits of MATRA PATROL in Serbia.

2.1. The MATRA policy

The Dutch government launched the MATRA programme in 1993 in order to support EU pre-accession states and to spread the customary EU norms and values (SPAN, 2008). The fourth Balkenende government claimed that it was in the EU's best interest to have good neighbours which share the same norms and values and with whom they can cooperate closely. The programme was considered an excellent instrument to provide a valuable and visible addition to the EU policy to support pre-accession states in their transition to a pluralist and democratic society (SPAN, 2008).

Several adjustments were made since the programme was originated. Evaluations made clear that it contained too many divisions and most of these were time-consuming and involved too much red tape. The fragmentation was diminished in 2009 by implementing one instrument with one criteria set containing three modes of contract; grant, contribution or commission (Ministry of Foreign Affairs, 2009). The MATRA modernised policy memorandum of 2009 generated the most radical alteration to the original programme in objectives and implementation processes. Therefore, this memorandum is considered the statute of the policy within current research and not the previous policy documents.

The evolution of the programme was also influenced by political and socio-economic developments. New insights to forms of developmental aid, and cutbacks in the Dutch government emphasized the need for effectiveness and efficiency of operational processes. Hence, the objectives of MATRA shifted from support to the democratisation process into:

- Support for social dialogue and government accountability through support for the development of civil society and improvements to the functioning of government.
- Establishment of bilateral relations with the countries in question.
- Strengthening relations between officials in the different target states.

The fall of the Berlin wall and the collapse of Yugoslavia drastically changed the EU in political sense. These changes led to various reform processes in the concerning states, and with which the Dutch government has contributed to by financed projects grounded in the RoL (Ministry of Foreign Affairs, 2009). Also states addressed to by the EU neighbourhood policy are directed to by MATRA, for instance Morocco, Algeria and Lebanon. With the

alteration of 2009 the focus was decreased to states with prospects for EU accession and former Communist countries only (Ministry of Foreign Affairs, 2009). The first category consists of states with EU accession prospects and may be labelled as Western Balkans and Turkey. This contains Albania, Bosnia- Herzegovina, Croatia, Kosovo, Macedonia, Montenegro, Serbia, and Turkey. The second category consists of states without EU accession prospects but comprise the EU's Eastern partners, as how they are labelled. This contains Armenia, Azerbaijan, Belarus, Georgia, Moldova and Ukraine. The third category consists of the Russian Federation (Ministry of Foreign Affairs, 2009) .

The policy memorandum MATRA modernised (Ministry of Foreign Affairs, 2009) claims that twenty years after the fall of the Iron Curtain, the situation in MATRA states has improved substantially, although still three transition issues arise. These issues concern the transition from a planned economy to a social market economy, the transition from conflict to post-conflict, and from disintegration to integration, and the transformation from an authoritarian state with passive citizens to a democratic system whose citizens speak out and participate (Ministry of Foreign Affairs, 2009). The reason to continue the MATRA programme relates to these issues, and is:

- *Consolidation of Dutch foreign policy*; to gain credibility on areas as human rights and the rule of law, the Dutch government claim it has to help bring about change and consolidate the priorities of their foreign policy.
- *Demand by the states concerned*; certain states express their wish to cooperate with the Netherlands, for historic reasons or because of the Dutch specific expertise.
- *Strategic importance of networks*; cooperation in this transition stage is expected to form foundation for coalition at EU level in the future.
- *Dutch expertise as an export product*; Central and Eastern Europe are an attractive future export market for the Dutch expertise in a number of areas.
- *A stable region is in the interest of the Netherlands*; because of trades and the national security.

The policy document states that MATRA's symbol is optimum flexibility, and all forms of aid must be demand driven (Ministry of Foreign Affairs, 2009). In line with the three transition

issues as mentioned above, two clusters are made containing themes, which are addressed to by the programme. The clusters are *Rule of law and Rights*, and *Social Infrastructure and Living Environment*. Themes will have to be chosen for a fixed period and based on a situational sketch for each state, for which line ministries will be consulted.

2.2. MATRA PATROL

The goals and objectives of MATRA are obtained partly through PATROL, which is one of the three components of current MATRA programme (Ministry of Foreign Affairs, 2011). The other two are CoPROL (Cooperation Pre- accession Rule of Law), which finances cooperation between the Dutch government and their counterparts in the target states. The objective is to support adaptation of the EU acquis in the area of Rule of Law by the target state. The third component is supporting and strengthening civil society initiatives by funds allocated by embassies to local organizations. The objective is strengthening the Rule of Law, and the implementation is delegated to the Dutch embassies in the target state (Ministry of Foreign Affairs, 2013).

PATROL is adjusted throughout the years, along with the evolution of the MATRA programme. From the start of MATRA in 1993, the training programme was headed MATRA Opleidingen Programma (MOP; MATRA Training Programme), which merged with ADEPT into the new programme MTEC in 2004 (SPAN, 2008). Executive agencies changed from EVD- CROSS into IPS-CROSS, while EVD merged with Agentschap NL into RVO. The revision of the programme in 2009 subscribes the implementation to the Ministry of Foreign Affairs, which opens tender procedures for the training courses. Nowadays, these trainings are provided by TMC Asser Institute, the Hague Academy for Local Governance and Ecorys.

The definition of the training of civil servants and young diplomats from MATRA countries, PATROL, by the Ministry of Foreign Affairs is (Ministry of Foreign Affairs, 2013):

“ Civil servants from pre-accession countries can take short courses in the Netherlands on subjects relevant to EU accession (..), as can young diplomats from these countries. Besides contributing to strengthening the Rule of Law and helping countries meet the EU accession criteria, these courses create an extensive network of alumni who will be useful contacts for the Netherlands.”

According to the policy framework, the training courses can only be prepared and implemented in the Netherlands because of their excellent reputation (Ministry of Foreign Affairs, 2009). The themes address legislation and law, public order and governance and police and anti-corruption, human rights and minorities, and information and media. Examples of subjects of the trainings are integrity of civil servants, access to justice and European procurement (Ministry of Foreign Affairs, 2009).

Applicants need to satisfy firm admission requirements to attend the training programme. For instance, the applicant must be a professional working at a (semi) governmental organisation and should have experience with the issues addressed to in the specific training. At least three years of working experience is required, preferably in a decision-making function. Selection of applicants is executed by the applicants native government and the embassy of The Netherlands in the country of origin. Twenty-five applicants are selected for each training course, by which the total will represent a balance in the number of states (TMC Asser Institute, 2015).

2.3. Serbia and the Western Balkan

Serbia has been part of the SFRY (Socialist Federal Republic of Yugoslavia) founded by general Tito in 1945. During the late eighties an unsatisfied sentiment concerning the different member states arose. The death of general Tito in 1980 cleared the path for member states to declare independence in 1991 and the former SFRY went into a series of war (Ministry of Foreign Affairs, 2008 general report Serbia).

The civil war in Yugoslavia was characterized by the ethnic and religious differences (IOB #11 15, Evaluatie nieuwsbrief). The committed crimes against humanity are still present in the Western Balkan states liaisons, and this problematizes the growth and the corporation of the independent states. The Dutch government tries to help this region to reach stability and supports public sector reform (IOB #11 15, Evaluatie nieuwsbrief). Serbia and the EU implemented the SAO (Stabilisatie- en Associatieovereenkomst; trans.: Stabilisation and Association contract) in 2013, which implicates support by the EU on areas as justice, social policy and innovation (Ministry of Foreign Affairs, 2008 general report on Serbia).

From up to 1815 there was no internal public administration in Serbia that could organize the state and little state apparatus with a minimal organizational experience had to rule the highly undifferentiated society (Snyder, 2000). Nowadays, public administration is expanded, but nevertheless the organizational capability is still low (Eriksen, 2005).

2.4. MATRA, PATROL and Serbia

An interesting point in the Serbian case is the implementation of the Rule of law and legislation. The European Commission is still doubtful concerning the lack of serious efforts towards diminishing corruption and organized crime (Farla, 2011:10). On the 'corruption perception index 2010'³, Serbia scored a 3,5 on a scale of 1 to 10, where 1 is the lowest score and 10 is the highest score. This may be considered rather low; as for instance The Netherlands scores an 8,8. The Balkan Monitor Studies show that only three out of ten citizens feel represented, whilst 75% is not satisfied with governmental democratic performances (Balkan Monitor Studies, 2009, 2010). Only the low percentage of 32% of the Serbian citizens is convinced that democracy is the best state system (Balkan Monitor Studies, 2009, 2010). These are concerning numbers involving areas of the MATRA programme.

Radical changes are made in the aftermath of the wars that followed the collapse of the SFRY (Ministry of Foreign Affairs, 2009). Programmes regarding public sector reform and economic privatization were transformations with a radical character, which the MATRA programme supported. Sixteen MATRA projects have been approved for civil society organizations in Serbia, and the Dutch government carried out a twinning project on agricultural policy reform.

The focus of current bilateral relationship is especially on the attainment of the Copenhagen criteria for accession. Thereby, the adaptation of the *acquis* principle according to the Dutch government of being 'strict but fair' is enforced. Most importantly, the MATRA programme claims that special attention must be given to reconciliation in states that are currently in a post- conflict situation (Ministry of Foreign Affairs, 2009).

³ http://www.transparency.org/policy_research/surveys_indices/cpi/2010/results

Chapter 3. Theoretical framework

In this chapter the theoretical framework is presented that consists of theories from implementation research. To answer the research question sufficiently, it is essential to create a theoretical framework based on the relevant literature and theories within the field of implementation research. This framework provides a scientific background for the analysis of the implementation of PATROL in Serbia. The concepts of effectiveness of implementation, and factors that facilitate (the actual success factors) and factors that constrain (the actual fail factors) effectiveness are clarified.

First, the concept of policy implementation is introduced by a summary of the policy cycle. Policy implementation is one of the concepts. The clarification of the cycle demarks current research area, and with that, it gives a direction in the large field of scientific literature concerning public policy studies. This part is an introduction to policy implementation, as well as a demarcation of the study. In this part, an exploration of the main theories of acknowledged authors in public administration and political science is prepared. Questions as: what is policy? and what is the position of implementation in policy? are attended to. Therefore, the purpose of current part is to understand the position of implementation, it's functioning, and the significance of implementation.

Within implementation studies there is much discussion about which research strategy to follow and what approach to use. For many years, points of discussion are top-down or bottom-up principles of implementation, and which goals to attain in research. Each generation attempts to exceed the former in research, and complements the assumed flaws and errors from a different research angle. A summary and the characteristics of this debate and evolution of implementation are given in order to understand its course.

A theory in order to gather and to analyse the data, as well as to generate answers to the research questions is developed by Mazmanian and Sabatier in 1979. The theory provides a conceptual framework of the implementation process, and entails the involved variables of the implementation process. These variables are structured according to the tractability of the problem, the ability of the statute to structure the implementation, and the nonstatutory

variables affecting the implementation. It enables the analysis of which factors facilitate, and which factors constrain the effectiveness of the implementation of a public policy.

3.1. Policy implementation within the policy cycle

Bovens at all (2001) describe the concept 'policy' as: "The intentions, choices and actions from one or multiple governmental institutions aimed at the steering of specific civil development" (Bovens at all, 2001: 82). Policies are emerged, implemented and adjusted in as well public as private spheres, and not just, as indicated previously, solely initiated by governments. Nonetheless, in current research the focus is on defining 'policy' the public sphere because of the initiator of the policy; that is the Dutch government. Public policies are accordingly policies that are developed by governments or governmental institutions dealing with a problem or matter of concern (Hill and Hupe, 2009). With this understanding, public policy concerns means and ends, as a relationship. The relationship is based on the expectation of the mutual link with societal problems (Hill and Hupe, 2009).

In policy research, the policy cycle is applied for the analysis of a policy, and is developed to divide the process in clear, distinctive stages. This cycle is labelled the 'stages heuristic'. It was originally developed as a theory from Harold Lasswell's work (1970), but criticism by later researchers evolved the cycle into five as a replacement for of the seven original stages (Hague and Harrop, 2010).

But what is implementation essentially? Sabatier and Mazmanian (1983) state that:

" Implementation is the carrying out of basic policy decision, usually made in a statute (although also possible through important executive orders or court decisions). Ideally that decision identifies the problem(s) to be addressed, stipulates the objective(s) to be pursued, and, in a variety of ways, "structures" the implementation process." (1983; p.5-6).

It is more bluntly stated by O'Toole (1995; 43), claiming that policy implementation: " (..) refers to the connection between the expression of governmental intentions and actual results" (O' Toole, 1995; 43). With which he stipulates the causal relation necessary between public policy and policy implementation. Implementation is the description of the carrying out of a plan, a policy, and is a prescription of the how does that specific policy mean (Yanow, 1996). It involves the operationalisation of the plan by a series of activities undertaken by governments and institutions to attain the objectives and the goals funded in the policy statute (Yanow, 1996).

Research on public policy strives for understanding and explaining the operation of the political system and how the state and political actors produce public actions (John, 1998). DeLeon claims that implementation research is simply the study of: *“What happens between policy expectations and (perceived) policy results”* (DeLeon, 1999: 314-315 paraphrasing Ferman, 1990:39). It is considered a sub-discipline of political science and public administration. From their study on implementation literature, Hill and Hupe (2009) state that implementation research is dual in its nature. On one hand, research goals entail the *explanation* of what happens. And on the other hand goals concern *how to affect* what happens, with an interest in both parts from all scholars (Hill and Hupe, 2009). These scholars have different backgrounds, and approach the research area from different perspectives than public administration specialists. Therefore, it results in a variety of contextualisation (Hill and Hupe, 2009).

According to the evolution in the study of public policy, the study of implementation developed likewise. The stages heuristic model, as described above, suggests a linear system, as in a bureaucratic hierarchy with unidirectional lines from top to bottom of authority and responsibility. Since the introduction of the systems perspective in organisational studies as well as business administration, the traditional hierarchy becomes complex in many organizations. This is initiated by the addition of intergovernmental dimensions (Yanow, 1996).

Thus, there is more to policy implementation than policy-makers and executives. Hill and Hupe (2009) conclude that contextualization is important because implementation has a constant connection to policies that are a reaction to societal problems. Contextual factors need to be included in research in order to analyse the implementation process. Taken this into account, the following figure illustrates the mutual influences in the policy process:

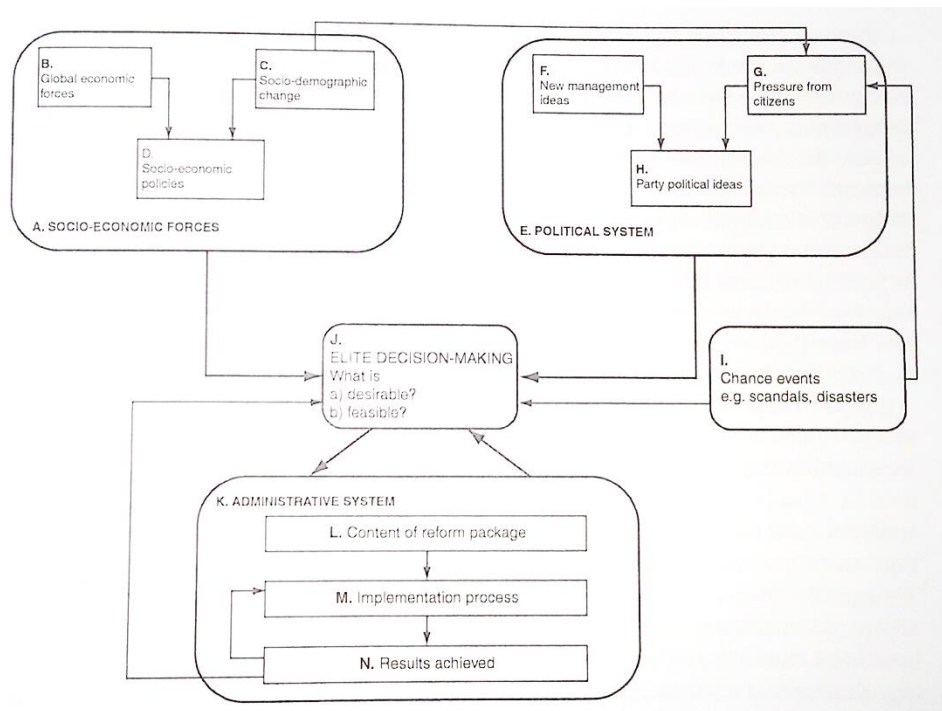


Figure 1. A model of public management reform. Derived from Pollitt and Bouckaert (2011; p.33)

Segment M indicates the implementation process in this figure, which is the focus of current research. The other segments within the other boxes are the contextual factors that have to be accounted for in implementation research (Pollitt and Bouckaert, 2011).

3.2. Perspectives on implementation

Implementation was considered to be an integrated section of policy before the expression came to use in the pre- 1970s when the first studies on implementation were published (Hill and Hupe, 2009). These studies led to the acknowledgement that implementation has its own dynamic in the policy process, and is not as ordinary as was assumed (McLaughlin, 1987).

The first publication concerning a study on implementation as the single objective is Pressman and Wildavsky's *Implementation. How great expectations in Washington are dashed in Oakland* (1973). They emphasized that policy goals and their implementation have a linear relationship, and their stance on implementation was that adequate bureaucratic procedures are necessary for an accurate execution of public policies (Pressman and

Wildavsky, 1973). Most authors belonging to this generation followed an identical analytical theory. More scholars were preoccupied about the assumption that policies did not encounter policy expectations. There was a pronounced concern over the effectiveness of policies, specifically when case studies indicated an implementation failure. Scholars representing this first generation of implementation studies as identified by Goggin et al.(1990) underlined the requirement for a new approach in policy studies because implementation controls outcomes (McLaughlin, 1987). Other scholars are Bardach and Derthick.

Second generation scholars shift the focus of analysis towards the development of theoretical frameworks and testing of hypotheses. This generation is divided into two approaches of implementation research, namely top-down or bottom-up. The most pronounced scholars of the top-down approach are Mazmanian and Sabatier (McLaughlin, 1987). They state that the execution of public policy is guided through a top-down hierarchical structure and they assume that implementation is merely an administrative process. The focus is on the perception that policy is an input factor, and implementation is an output factor. More prominent authors of this top-down approach are Van Meter and Van Horn.

The frontrunner of the bottom-up school is by far Michael Lipsky (McLaughlin, 1987). With his research on 'street-level bureaucrats' he analysed the behaviour of the public service employees that are the factual implementers on the bottom of the policy process. He concluded that implementers have a large zone of discretion, because of their considered autonomy given by their employing organizations (McLaughlin, 1987). Thus, the effectiveness of policy is not determined by hierarchical guidance, as top-down scholars claim, but through local actors (Pulzl and Treib, 2007). Additional controversy lies in interpreting the functioning of the policy process. Top-down scholars follow the stages heuristic model with distinctive stages and focus their analysis merely on the effects after the policy decision stage (Bardach, 1977). Bottom-up scholars on the other hand, focus on the whole policy process, and claim that implementation cannot be regarded separately from policy formulation (Pulzl and Treib, 2007).

Third generation scholars attempted to go beyond these controversies and synthesized the debate and research on implementation. Influenced by the shift from government to governance third generation researchers analyse policy implementation in a wider range of actors and their separate interests (Pulzl and Teib, 2007). The former hierarchical models are discarded and replaced by a multi-layer model of analysis that addresses to the different layers in the implementation process and their actors and interests. They claim that implementation is a negotiation process between implementers and central authorities which both have their distinct preferences, strategies and interests. Policy networks become a key object in implementation. Also the type of policy to be implemented is of importance, which each involves different types of stakeholders (Hill and Hupe, 2009). Most prominent authors of the third generation scholars are Goggin, O'Toole and Matland.

Elaborated on these concepts of network policy, specifying multiple layers of analysis and managing implementation certain techniques from business administration and organizational management infiltrated the implementation research. For instance the Balanced Score Card model, using Key Performance Indicators is used to address to the strengths and weaknesses of the policy and or the implementation (Kaplan and Norton, 2001). These models focus on financial and management effectiveness.

3.3. Theoretical research model

The research model in current research is diverted from the framework Mazmanian and Sabatier (1983) developed in their study 'Implementation and public policy'. This model is related to the second generation of research and the top-down approach. To answer the current research questions this model is the most applicable for analysis. It is not the implementation of a national or international policy with multiple stakeholders, interests and networks. It is the implementation of a single programme.

First generation scholars focus solely on the implementation gap and failure, and do not provide an appropriate model for an exploration on success and fail factors of implementation. Third generation scholars on the other hand provide models with an abundance of factors not related to current research goal. The focus is also not solely on financial and management effectiveness, but also on contextual influences that discards

business models as introduced previously. Not policy implementation and formulation coexisting in a mutual process, as implied by the bottom-up scholars of the second generation, will provide answers to current research questions that put aside bottom-up models of analysis. These conclusions suggest that the framework of Mazmanian and Sabatier (1983) will lead to answering current research questions. Since the framework delivers a technique to analyse the set of independent factors for success and failure regarding policy implementation trajectories rather the policy processes.

The framework entails the involved variables of the implementation process, and hands out a parameter in the issue what is denoted as effective. Or otherwise stated, what is considered the definition of effectiveness regarding the implementation of a policy or policy programme? Thus its function is twofold. On the one hand it delivers variables that influence the policy implementation. And on the other hand offers it a guideline for the determination of variables concerning the facilitation or constrain of the effectiveness of the implementation.

3.4. The framework

The framework accounts for the legally mandated goals, but also for organizational maintenance and external institutions and their legal and financial resources. The variables that influence effectiveness are structured according to the tractability of the problem, the ability of the statute to structure the implementation, and the nonstatutory variables affecting the implementation. The section of the tractability of the problem addresses the material variables. It offers a contextualization of the key policy parameters, and reflects the fundamental intent of the policy. Mazmanian and Sabatier (1983) define this section in the following manner (Mazmanian and Sabatier, 1983):

1. **Technical difficulties.** It is crucial for attaining the programme goal that performance indicators are developed and the connection to the understanding of the principal causal linkages affecting the problem is established. Absence of these qualities may lead to decline in political support, ignoring or modifying the goals and delaying deadlines.

2. **Diversity of target group behaviour.** Much variation in the behaviour being regulated through the programme may lead to greater discretion. The risk with considerable discretion is that negotiations with different target groups occur, and consequently differences in incentives and regulation are developed. This undermines the statute's principles.
3. **Target group as a percentage of the population.** It is stated that the smaller the group which behaviour needs to be changed, the bigger the support for the programme and thereby the more effective the implementation is.
4. **Extent of behavioural change required.** The less amount of behavioural change will lead to more effectiveness concerning the implementation. Minimal variation in the behaviour that causes the problem, and a modest extent to which behavioural change is required lead to an increase of the effectiveness of implementation.

The section of the ability of the statute to structure the implementation addresses the structural variables. It offers an arrangement of variables that principally influence the lift-off and the acceptance of the policy implementation. Mazmanian and Sabatier (1983) define this section in the following manner (Mazmanian and Sabatier, 1983):

5. **Clear and consistent objectives.** When a statute provides precise and clearly ranked instructions to implementing officials and other stakeholders, the more likely that the policy outputs may be considered effective.
6. **Incorporation of adequate causal theory.** Every programme entails a theory for obtaining the desired changes. For this theory to be adequate, it requires that the principal causal linkages are understood, that the implementing officials have jurisdiction over a sufficient number of these linkages to attain the programmes objectives. Inadequate causal theories often are the cause of implementation failure.
7. **Initial allocation of financial resources.** The general level of funding is established in the initial policy decision, but an inadequate level can lead to failure even before the programme is implemented.
8. **Hierarchical integration within and among implementing institutions.** Coordinated action within and among different agencies involved in the implementation is

difficult. It is imperative that the statute indicates the hierarchical integration of the agencies.

9. **Decision rules of implementing agencies.** It is imperative that the statute provides the formal decision rules of the implementing agencies. For instance, when multi-membered commissions from many agencies are involved, the statute may demand a majority for specific actions.
10. **Recruitment of implementing officials.** Strongly committed implementing officials are necessary for effective implementation. Agencies with a policy orientation consistent with the statute lead to increased effectiveness of the implementation.
11. **Formal access by outsiders.** The extent to which participating opportunities for actors not involved in implementing agencies are established influences the attaining of the statute's objectives.

The section of the nonstatutory variables affecting the implementation addresses the contextual variables. It offers an understanding of the variables that are influencing the process although they are uncertain in advance of the implementation of the policy. Mazmanian and Sabatier (1983) define this section in the following manner (Mazmanian and Sabatier, 1983):

12. **Socioeconomic conditions and technology.** The attainability of the statute's objective is affected by variations over time and among governmental jurisdiction in social, economic, and technological conditions. These are principal external affecting factors for the effectiveness of the implementation concerning interest groups and public and political support for the programme.
13. **Public support.** Public and media attention to policy issues tend to get trapped in a downward spiral with the creation of awareness of the costs of the programme to solve the problem. On the other hand, public support may increase when an event occurs that reawakens the need for the action.
14. **Attitudes and resources of constituency groups.** Opponents of the mandated change generally have the resources to disrupt the implementation process.
15. **Support from sovereigns.** Supportive sovereigns provide a direction of oversight, financial resources, and legal mandates. Implementing agencies are generally

accountable to many sovereigns that have different interests. Conflicting directives may cause implementation failure.

16. **Commitment and leadership skill of implementing officials.** Not only commitment of implementing agencies, but also of the implementing officials is affecting implementation. Managerial skills affect implementation through the development of adequate controls by the official, in order to prevent the programme from financial mismanagement and in order to maintain high morale among agency personnel.

3.5. The dependent variables

The implementation process as a whole is affected by the former factors, according to Mazmanian and Sabatier (1983). Hence, the process must also be understood in terms of its exclusive stages, which are determined as the '*feedback loop*'. They demonstrate the extent of conformation between actual impacts and the programme objectives, and additionally the political systems summary evaluation of a statute. The stages are successive, although they are an end point distinctively (Mazmanian and Sabatier, 1983). These stages are the following (Mazmanian and Sabatier, 1983):

1. **Policy outputs of implementing agencies.** The translation of statutory objectives into the policy decision of the implementing agencies is a process that is often considered to be problematic. Independent variables as for instance resources of constituency groups, commitment of implementing officials and unambiguous objectives influence the output of the implementing agencies. Mazmanian and Sabatier consider that the evaluation of the output of implementing agencies lead to more consistency in the statutory objectives and the outputs of the implementing agencies.
2. **Target group compliance with policy outputs.** The extent to which the target group modifies its behaviour accordingly the statute's objectives. Civil disobedience that is related to the policy results from highly aversion of the policy. Enforcement actions may lead to lower public, media and eventually sovereign support. Those actions will additionally result in supplemented side-payments.

3. **Actual impacts of policy outputs.** Policy outputs have directly demonstrated impacts. Nonetheless, outputs have a long-term effect. Policy with high public aversion may lead to political mobilization, and result in a changing political system and altered policy plans.
4. **Perceived impacts of policy outputs.** This concerns the impacts of the policy perceived by the constituency groups and sovereigns in the policy subsystems. These latent impacts may lead to adjustments in the policy's objectives or mandates.
5. **Major revision in statute.** The beforehand mentioned impacts and outputs may result in a major revision or reformulation of the statute.

3.6. Conditions of effective implementation

Mazmanian and Sabatier (1983) developed conditions to which a policy and or programme should address to in order to be implemented effectively in advance of the actual implementation of a policy. They claim that a statute or particular programme will achieve its legal objectives and desired goals by deliberating on the checklist of six conditions of effective implementation. The conditions are related to the independent variables as mentioned beforehand. The conditions are not only a checklist to account to post hoc evaluation, but provide also a set of tasks which exponents need to accomplish in the process to attain the statute's objectives. (Mazmanian and Sabatier, 1983)

These six conditions are (Mazmanian and Sabatier, 1983):

1. The enabling legislation or other legal directive mandates policy objectives, which are clear and consistent, or at least provides substantive criteria for resolving goal conflicts.
2. The enabling legislation incorporates a sound theory identifying the principal factors and causal linkages affecting policy objectives and gives implementing officials sufficient jurisdiction over target groups and other points of leverage to attain, at least potentially, the desired goals.
3. The enabling legislation structures the implementation process so as to maximize the probability that implementing officials and target groups will perform as desired.

This involves assignment to compassionate agencies with adequate hierarchical integration, supportive decision rules, sufficient financial resources, and adequate access to supporters.

4. The leaders of the implementing agency possess substantial managerial and political skill and are committed to statutory goals.
5. The programme is actively supported by organized constituency groups and by a few key legislators (or a chief executive) throughout the implementation process, with the courts being neutral or supportive.
6. The relative priority of statutory objectives is not undermined over time by the emergence of conflicting public policies or by changes in relevant socioeconomic conditions, which weaken the statute's causal theory or political support.

This framework provides an answer to the first research question, which is stated as follows:

Which factors are identified in the literature concerning the effectiveness of implementation?

Factors affecting the implementation process and their classification are visualized in the following figure (Mazmanian and Sabatier, 1983):

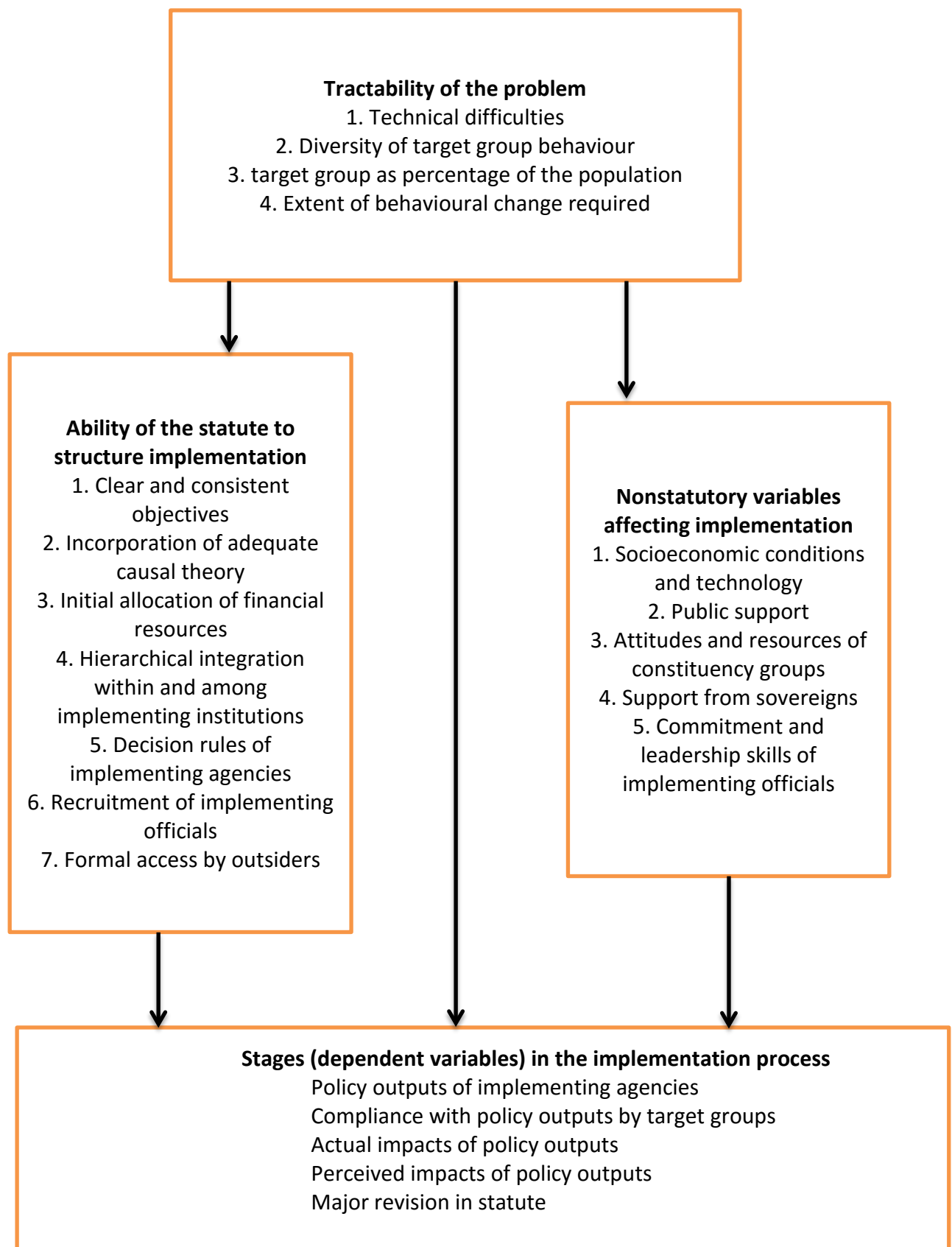


Figure 2. The implementation process by Mazmanian and Sabatier (1983)

Chapter 4. Research methodology

This chapter delivers methodological characteristics of current research. To answer the research questions in a scientific manner, it is essential to follow certain steps in research. These steps detain the quality of research and provide structure to the research process.

Firstly, the research strategy and approach is presented. The strategy in current research is a single, holistic case study. This implies that the unit of observation is a single event, and current research will only focus on observing a situation in its contextual process. The approach is qualitative; denoting empirical research where the data does not consists of numbers although measurements are applied. These measurements are valued in an interpretative manner and are determined by the researchers judgement and stakeholders perception.

Current research methods for data collection are content analysis of documents concerning the implementation of PATROL in Serbia in the period 2012-2015. Semi-structured interviews with stakeholders, and secondary data-analysis are the complementary forms of data collection.

A constructive characteristic of current research is effectiveness. This part concentrates on the question of what is effectiveness. Six conditions as developed by Mazmanian and Sabatier (1983) are the measuring rod for effectiveness of the implementation of the programme. The affecting factors of the theory as explored in the previous chapter are operationalised in order to present the procedure of measurements for analysis.

The operationalisation of the features supports the construction of the quality conditions of research that concern internal and external validity and research liability. Additionally, the four tests of construct validity, internal validity, external validity and reliability by Yin (2003) are used to establish the quality of scientific research.

4.1. Research design and strategy

Current research is a case-study. Gerring (2004) claims that a case-study is: '*(..) an intensive study of a single unit for the purpose of understanding a larger class of (similar) units.*' (Gerring, 2004:342). The research design is qualitative, and will only focus on observing a situation in its contextual process (Punch,2006). Qualitative analysis provides insight into the structure and organisation of the specific policy field, and defines the role of investigated subject in the given institutional and legal arena (Punch, 2006). Additionally, the design is descriptive because it can provide information on relationships and describe the context of a policy in a neutral manner. The unit of observation is a single organization with a single event thus a qualitative construction is more adequate to answer the research questions (Hill and Hupe, 2014). Additionally, the design is also qualitative because of the difficulties in the establishment of a fortifying policy definition that has an equal definition across nation states (Hill and Hupe, 2014).

Nonetheless, merely gathering empirical data in a qualitative mode is not sufficient, and inference is the goal of scientific research. The goal is causal inference, which aims to describe the latent causal relation through empirical evidence (King, Keohane and Verba, 1994). Current research is interpretative in its nature. In one part it trusts on the judgement of the researcher, and in other parts the data collection consists of stakeholders' perceptions.

4.2. How to gather and select the research data

Regarding the first sub research question, the previous chapter established the application of the framework by Mazmanian and Sabatier (1983) in current research. The theoretical model clarifies effectiveness, what factors to account for and how to measure their impact. Accordingly, the model is applied to a content analysis, interviews and media coverage of the programme. It eventually forms a fundament for identifying factors that constrain or facilitate the effectiveness of policy implementation.

Commonly, most sources of data for case studies are documents, interviews, and direct observations and participant observations (Yin, 2003). Because of the low capacity caused by one researcher, the used data sources will be decreased to documents, interviews and

data obtained from secondary sources. Nonetheless enhances the application of multiple research methods for data-gathering the validity of current research. Triangulation offers a wider scope and a plural perspective on the implementation(Yin, 2003). Certain factors are observed through one single research method, and not present in all three data-sources. For instance, although the evaluation document clarifies the role of the implementing consortium, most factors are solely observable in interviews and not in a policy framework. This raises questions concerning the value of these factors. For this, the researcher conducts the effectiveness analysis in reliance on its obtained knowledge on the subject specifically, and public administration in general.

The exploration in sub research question 1 is the theoretical part of this research and is addresses to in the previous chapter. In order to answer sub research question 2, analysis of policy documentation will clarify the design of the policy implementation. The research method for data-analysis is content analysis of documentation. All available documentation regarding the implementation of PATROL in Serbia in the period 2010-2015 is selected, because of the preamble of the implementation. The documentation will be analysed by coding, by which relevant information is selected on the key elements of success or fail factors as established by Mazmanian and Sabatier (1983).

The advantage of this method is a thorough comprehension of the programme concerning the influencing factors. Alongside, it offers possibilities to derive valid and reproductive correlations because of the transparency in analysis (Yin, 2003). Operationalisation of the variables by the researcher preserves the focus on related factors and consistency in the analysis. Disadvantages of this method in current research are related to validity and reliability. Validity issues are addressed to by the operationalisation of the factors prior to the analysis, which accordingly enhances reliability because of the development of a database. All steps are replicable. Nonetheless is the analysis subdued to one single researcher, which possibly forms bias issues. For this, critical peer-review is applied.

Structured interviews with involved actors of the implementation process will generate influential factors from the actual application. This provides further insight regarding the second sub research question. Selection of the respondents is conducted on availability, in

order to generate the highest possible empirical findings. Seven respondents are selected, and they are employees from the Ministry of Foreign Affairs, and executives from two involved implementing agencies. The interviews are semi-structured according to the relevant factors, and the questions are formulated in a general manner for keeping a secure focus on the relevant component of the programme. Nonetheless, they are open for further investigation in case the researcher believes additional, and detailed information is necessary. Operationalisation of the factors is conducted in the interviews according to the perception of the respondent. Because of a privacy agreement are the interviews anonymised and are the transcripts not enclosed in the annexes.

Disadvantages of this method are decreasing validity and replication qualities. In order to embark validity issues, respondents are offered to review a draft version of the conclusions from the distinct interview-analysis. In current research this is not applied on all respondents because they were not available or interested in further contemplation on the subject. By taking the respondents' perception as point of view, internal validity is guaranteed. The reliability of the interviews is enhanced by the use of data-registration equipment, which only occurred with the approval of the respondent. This offers the researcher opportunities to maximize the data-gathering process and analysing all responses. Replicability regarding the interviews is an issue because of the privacy agreement.

Finally, an analysis of the media coverage regarding the programme will provide insight on the public opinion. General public opinion and media opinion form a more distinct influence on public policy than before, because they influence the management of organizations (Rainey, 2014). Rainey claims:

"A general climate of unfavourable public opinion about the public bureaucracy... had significant effects on the morale and work behaviours of government employees, the structure of the federal government, and the functioning of major federal agencies."(Rainey, 2014,pp. 114).

Thus, media endorse a certain power over public organizations, and are considered to reflect public opinion (Rainey, 2014). Current research attends to this aspect more specifically, although it is incorporated in the theory by Mazmanian and Sabatier (1983). In order to intensify this, a cumulative analysis is provided which illuminates the media's points of interest. Therefore complements the secondary data-analysis the theoretical framework and methodological aspects. Pre-research on the subject demonstrates little media attention to this aspect of the programme. In order to avoid narrowing the available data sources is the subject of exploration not limited to the MATRA PATROL policy solely. Key search words are therefore; MATRA, MATRA policy, MATRA PATROL, training programme and pre-accession state. Additionally is the time frame not set at the equal period as the documentation and involved actors of the implementation process. The analysis is conducted in concurrence with the operationalisation scheme as applied in the content analysis of the policy documentation.

A disadvantage of this method is the reliability of the secondary sources. In order to maximize this reliability, solely articles from official websites or newspapers are selected. Within, no further selection is applied because of the necessity to gather high amount of data. This offers a certain quality and diminishes reliability issues. The advantage is the straightforward accessibility of data for current research.

The information from sub research question 2 provides the data for the output model, which enables the analysis in sub research question 3. The model will consist of facilitating and constraining factors.

4.3. Operationalisation of variables

The effectiveness of policy implementation is considered the dependent variable. Factors that, according to the theory, influence the effectiveness are considered the independent variables.

The independent variables provide a clear view on of success and failure, or facilitating or constraining factors. Measurement occurs on an ordinal measurement level and is divided

into present or not present. The qualifications conduct unity. The factors will be clarified and valued in the extent to which these factors are observable in the statute and additional (policy) documents and data obtained by secondary sources, and recognizable by the interviewed respondent. Questions will be introduced by a summary of the factors as described by Mazmanian and Sabatier (1983) for clear comprehension and consistency with the researcher. The operationalisation of the variables is presented in Annex 1.

In order to determine the value of the factor on effectiveness, concerning either a positive or negative influence, the definition of the variables by Mazmanian and Sabatier (1983) is followed. These distinct definitions are described in the previous chapter, although for analysis concerning the score on effectiveness a description is obtained. The addition of a partition phase before defining the score of the variable enhances the prospects for a comprehensive analysis. This phase regards the presence of the factor in the documentation or secondary data available for analysis, or the awareness of the involved individuals concerning the affecting factors elaborated from the interviews. It contributes to the reliability of current research whether or not the factor is present in the data. Observably, absence leads to negative scores, but the presence may occur in various occasions. A simplified mentioned or not mentioned is insufficient.

The presence of the distinctive affecting factors is divided into explicitly mentioned, implicitly mentioned or not mentioned. Explicitly mentioned concerns the clear and noticeable presence of the particular factor. This scores the value of '1' in current research. Implicitly mentioned concerns an implication or understanding of the presence of the particular factor, although this is not plainly or direct expressed, but indirect. This scores the value of '-'. Not mentioned concerns the absence of the particular factors, and scores the value of '0' in current research. The final score of the variable is divided into positive or negative. This is valued by the researcher in light with the theoretical model as developed by Mazmanian and Sabatier (1983). Therefore it is not the perception of the interviewee regarding this value.

The definitions are the following (Mazmanian and Sabatier, 1983):

1. *Technical difficulties.* Are performance indicators developed? Absence may lead to decline in political support, ignoring or modifying the goals and delaying the deadlines. The presence of performance indicators assumes an extent of situation knowledge.
2. *Diversity of target group behaviour.* Is there a discrepancy between desirable behaviour opposed to current behaviour of the target group? Much variation may lead to greater discretion, which results in undermining the statute's principles.
3. *Target group as a percentage of the population.* What is the percentage of applicants from the population? The smaller the group which behaviour needs to be changed, the more effective the policy tends to be.
4. *Extent of behavioural change required.* What is the amount of learning objectives? Minimal variation in the behaviour is required, and therefore it will lead to an increase of the effectiveness.
5. *Clear and consistent objectives.* Does the statute include an operational framework? Precise and clearly ranked instructions increase the effectiveness.
6. *Incorporation of adequate causal theory.* Are the causal linkages clear in the statute? Is the required jurisdiction over sufficient critical linkages present? Inadequate causal theories often are the cause of implementation failure.
7. *Initial allocation of financial resources.* Is the allocation of the funding sufficient and motivated? An inadequate level lead to failure even before the programme is implemented. The motivation provides a guideline for measurement.
8. *Hierarchical integration within and among implementing institutions.* Does the statute indicate hierarchical integration of the agencies? Coordinated action within and among different agencies involved in the implementation is difficult.
9. *Decision rules of implementing agencies.* Are formal decision rules for implementing agencies present? For specific actions, the statute may demand a majority in order to enhance effectiveness of the implementation.
10. *Recruitment of implementing officials.* Is the policy orientation of the agency compliant with the statute? Agencies with a policy orientation consistent with the statute lead to increased effectiveness of the implementation.

11. *Formal access by outsiders.* Are opportunities for participation by actors outside the implementing agencies present? Statutes that offer actors to participate are considered to enhance its effectiveness.
12. *Socioeconomic conditions and technology.* Is a periodical political encouragement present? Social, economic and technological conditions are principal external affecting factors. The attainability of objectives is affected by variations over time and amongst governmental jurisdiction.
13. *Public support.* What is the appreciation of the public and media? Public and media attention to policy issues tend to get trapped in a downward spiral when the attention is set on the costs of the programme.
14. *Attitudes and resources of constituency groups.* What is the constituency groups' attitude towards the objectives of the statute, and what are their resources? Opponents of the mandated change generally have the resources to disrupt the implementation process.
15. *Support from sovereigns.* Are financial resources, legal mandates and a direction of oversight allocated to the implementing agencies by sovereigns? Conflicting directives may cause implementation failure.
16. *Commitment and leadership skills of the implementing officials.* Does the official develop adequate controls? And is the behaviour of the official positive regarding inspiring, and the ability to develop a culture of performance excellence? Implementation is affected through the managerial skills concerning financial and personnel management.

The results of this data analysis is presented in the following table:

Component	Factor	Presence	Positive score	Negative score
<i>Tractability of the problem</i>	1. Technical difficulties			
	2. Diversity of target group behaviour			
	3. Target group as a percentage of the population			
	4. Extent of behavioural change			
<i>Ability of the statute to structure implementation</i>	5. a. Clear objectives			
	b. Consistent objectives			
	6. a. Causal linkages			
	b. Causal theory			
	7. Initial allocation of financial resources			

	8. Hierarchical integration within and among implementing institutions			
	9. Decision rules of implementing agencies			
	10. Recruitment of implementing officials			
	11. Formal access by outsiders			
<i>Nonstatutory variables affecting implementation</i>	12. Socioeconomic conditions and technology			
	13. Public support			
	14. a. Attitudes of constituency groups			
	b. Resources of constituency groups			
	15. Support from sovereigns			
	16. a. Commitment of implementing officials			
	b. Leadership skills of implementing official			

Table A; template of analysis independent variables. Modified from Mazmanian and Sabatier (1983).

Mazmanian and Sabatier (1983) classify the following factors to the dependent variables of the implementation process. In current research, these factors are altered to affecting factors in the process. They are incorporated in the analysis since they are a required in the process. The data is gathered from policy documentation, interviews and media coverage of the policy. The fifth factor as described by Mazmanian and Sabatier (1983) is not included in the data, since the timeframe for current research is not sufficient for analysing this specific factor. The operationalisation of the variables is presented in Annex 2.

1. *Policy output of implementing agencies.* Does the evaluation of the output of the implementing agency lead to adjustments in the policy decision of the implementing agency? The evaluation of the output is considered to conduct to more consistency in the statutory objectives and the outputs of the implementing agency.
2. *Target group compliance with the policy outputs.* Is modification of the behaviour of the target group present? Civil disobedience that is related to the policy results from highly aversion of the policy, and may lead to decreasing support and additionally in supplemented side – payments.
3. *Actual impacts of policy outputs.* Are system changes that can be attributed to the policy output present? Policy with high public aversion may lead to political mobilization, and result in changing political system and altered policy plans.

4. *Perceived impacts of the policy output.* Are adjustments to the policy objectives or mandates present? Impacts of the policy output perceived by sovereigns and constituency groups may lead to adjustments in the policy objectives or mandates.

The results of this data analysis is presented in the following table:

Factor	Presence	Positive score	Negative score
1. Policy output of implementing agencies			
2. Target group compliance with policy outputs			
3. Actual impacts of policy outputs			
4. Perceived impacts of the policy outputs			

Table B; template of analysis affecting factors of the process. Modified from Mazmanian and Sabatier (1983).

4.4. What is effectiveness?

The goal of current research is thus causal inference concerning the affecting factors of effectiveness of the implementation of PATROL in Serbia. Then the issue stands what is denoted as effective? Or otherwise stated, which factors are considered facilitating or constraining the effectiveness regarding the implementation of a policy or policy programme? Mazmanian and Sabatier (1983) developed conditions to which a policy and or programme should address to in order to be implemented effectively.

These six conditions are (Mazmanian and Sabatier, 1983):

1. The enabling legislation or other legal directives mandate policy objectives, are clear and consistent, or at least provide substantive criteria for resolving goal conflicts.
2. The enabling legislation incorporates a sound theory identifying the principal factors and causal linkages affecting policy objectives and gives implementing officials sufficient jurisdiction over target groups and other points of leverage to attain, at least potentially, the desired goals.

3. The enabling legislation structures the implementation process so as to maximize the probability that implementing officials and target groups will perform as desired. This involves assignment to compassionate agencies with adequate hierarchical integration, supportive decision rules, sufficient financial resources, and adequate access to supporters.
4. The leaders of the implementing agency possess substantial managerial and political skills and are committed to statutory goals.
5. The programme is actively supported by organised constituency groups and by a few key legislators (or a chief executive) throughout the implementation process, with the courts being neutral or supportive.
6. The relative priority of statutory objectives is not undermined over time by the emergence of conflicting public policies or by changes in relevant socioeconomic conditions, which weaken the causal theory or political support.

These conditions are a measuring rod for the effectiveness of PATROL as implemented in Serbia and measure the extent to which the six conditions are encountered. Measuring the effectiveness will be completed through the same technique that Mazmanian and Sabatier (1983) follow in their study 'Implementation and public policy' (Mazmanian and Sabatier, 1983). The analysis of the distinct conditions will be qualified in the scores neutral, low, moderate low, moderate high, or high following the Likert scale for measurements, increasing from little to no role or absence to highly effective. The researcher measures and classifies the programme, and relies on its expert knowledge on this subject.

Because the conditions are related to the affecting factors, a clear reciprocal analysis is possible. The effectiveness analysis illuminates the flaws and confident parts of the programme. By determining the connection to the distinct variable(s) a conclusion about the factors that constrain or facilitate the effectiveness of implementation is established, including the extent to which these are influential.

Finally, the analysis is visualized in the following table:

Condition	PATROL in Serbia (2012-2015)
1. Objectives are:	
a. Clear	
b. Consistent	
2. Adequate causal theory	
3. Implementation process enhances compliance with:	
a. Assignment to compassionate agencies	
b. Adequate hierarchical integration	
c. Supportive decision rules	
d. Sufficient financial resources	
e. Formal access by supporters	
4. Implementing officials are:	
a. Committed	
b. Skilful	
5. Support of interest groups and legislators	
6. Supportive conditions not undermined	
Table clarification: Neutral: factor played little to no role/ or is absent Low: notable obstacle to effective implementation. Moderate low: constraining effective implementation, though weak. Moderate high: facilitating effective implementation, though weak. High: a strong qualification for effective implementation.	

Table 1; effectiveness analysis of the conditions. Derived from Mazmanian and Sabatier (1983).

As mentioned before in chapter 3 is the discussion in implementation research focused on the notion to apply top-down, or bottom-up principles of implementation or a more synthesised model. The bottom-up principles do not provide an appropriate model for an exploration on facilitating or constraining factors for effectiveness. Alongside is the focus of current research also on contextual influences and not solely on financial and management effectiveness, which are stipulated in third generation scholars. Mazmanian and Sabatier

(1983) established a framework that is most applicable in current research because it delivers a technique to analyse the set of independent factors regarding policy implementation trajectories rather than policy processes. Additionally it offers a guideline for the determination of variables concerning the facilitation or constrain of the effectiveness of implementation (Mazmanian and Sabatier, 1983).

4.5. How to cope with validity and reliability in current research

Case study research is relatively common in social science, though much critique is expressed concerning subjectivity and representation. Particularly a single case study in a holistic design, with a qualitative construction will not attain the most outstanding form of research (Yin, 2003; Gerring, 2004). For this reason a set of quality principles is established in current research following the tactics of Yin (2003) for high standard case study research.

The operationalisation of the features will support the construction of the quality conditions of research that concern internal and external validity and research liability. Additionally, the four tests of construct validity, internal validity, external validity and reliability by Yin (2003) is used to establish the quality of current research. Examples are explanation building, the use of replication logic and review of draft case study reports by the key informants (Yin, 2003). Yin describes in what way and additionally in which research phase several tactics need to be attributed. This is visualized in the following table:

Tests	Case study tactics	Phase of research in which tactics occurs
<i>Construct validity</i>	<ul style="list-style-type: none"> - Use multiple sources of evidence - Establish chain of evidence - Have key informants review draft case study report 	<ul style="list-style-type: none"> - Data collection - Data collection - Composition
<i>Internal validity</i>	<ul style="list-style-type: none"> - Do pattern-matching - Do explanation-building 	<ul style="list-style-type: none"> - Data analysis - Data analysis

	<ul style="list-style-type: none"> - Address rival explanations - Use logic models 	<ul style="list-style-type: none"> - Data analysis - Data analysis
<i>External validity</i>	<ul style="list-style-type: none"> - Use theory in single-case studies - Use replication logic in multiple-case studies 	<ul style="list-style-type: none"> - Research design - Research design
<i>Reliability</i>	<ul style="list-style-type: none"> - Use study protocol - Develop case study database 	<ul style="list-style-type: none"> - Data collection - Data collection

Table 2; Establishing quality of scientific research. (Yin, 2003: p. 43)

Construct validity entails the identification of accurate operational measurements for the traits of research. Current research uses policy documents, interviews and data obtained from secondary sources as multiple sources of evidence. A chain of evidence is established through the development of a case study database, with which an external observer is able to trace the evidentiary process back. Key informants will be offered a summary of the interview, or a draft version of the analysis and conclusions (Yin, 2003).

Internal validity demands the establishment of a causal relationship. Explanation building is addressed to by refining the theoretical statement to keep focus on the subject. Applied models are made as logic and simple as possible (Yin, 2003).

External validity is the condition of defining the domain of generalisation of the research. This is addressed to by the use of the theory by Mazmanian and Sabatier (1983). The condition of generalisation is established through the analytical tool that the theory has been applied in other research (Yin, 2003).

Finally, reliability involves an illustration of the taken steps in data-gathering and data-analysis for possible reproduction (Yin, 2003). Reliability of research is increased when a different researcher, on a different point in time, follows the same procedures as current research, will generate the same findings. Therefore, a case study database is necessary. All data will be documented, including all interviews, and made public in current research. Bias is minimized through a transition of the findings to a critical fellow student (Yin, 2003).

Chapter 5. Data analysis

This chapter presents analyses of the data concerning the implementation of PATROL in Serbia in the period 2012-2015. In the following chapter the reader gets to know about the occurrence of the factors presented by Mazmanian and Sabatier (1983) and to what extent they affect the implementation process.

As before mentioned is the data collected through documentation, interviews and data obtained from secondary sources. Triangulation of methods for data gathering enhances the validity of current research. In line with the nature of current research and the theoretical model are content analysis, interviews and secondary data-analysis accurate techniques for gathering this data. Presumably not all information can be extracted from the documentation, interviews or media coverage independently, for which all are complementary to each other.

The question of interest in this chapter is whether the documentation expresses the presence of constraining or facilitating factors. Also interesting is the manner in which the factors are present in the documentation. Documentation is selected based on the particular subject PATROL, and the relation towards the implementation of this programme. The database of the Dutch government and implementing agencies provided the applied documentation. The documents are extracted from internet resources that are easily accessible and open for public interest. Because of deficiency of documentation on this programme, selection was not an issue.

Concerning the interviews, the question of interest in this chapter is whether the interviewee is accustomed to the particular constraining or facilitating factors. Also interesting is the manner in which the interviewees are familiar with the factors. The interviewees are selected based on their function in the implementation process of PATROL.

The media coverage provides insight on the public and media attitude towards the programme. As mentioned before, and incorporated in the theoretical model, has this attitude a major impact on the effectiveness of the implementation. In order to strengthen

current analysis, a cumulative table of analysis is provided. This illuminates the media's points of interest and public opinion, all the more by the incorporated opinion sections.

The operationalisation in chapter 4 forms the guidelines for the analyses. The results are positioned in the templates A and B of the analyses of the independent variables and process-affecting variables. For the sake of clarity, a selection is made based on relation towards the construction of the policy and the actual implementers connected to the implementing agencies. Thus, paragraph 1 redacts the data gathered by content analysis of the policy documentation. Whereas paragraph 2 redacts the data of the policy makers. Paragraph 3 redacts the data of the implementing agencies. And paragraph 4 redacts the data gathered through secondary data.

5.1. The policy documentation

5.1.1. Introduction of the policy documentation

Policy documentation concerning the implementation of MATRA PATROL is scarce, and barely accessible. The documentation that is collected for analysis is gathered through open accessible websites of the Ministry of Foreign Affairs, the Staatscourant, or from the implementing agencies. The selection is based on the relation with the implementation of MATRA PATROL, and not the MATRA programme entirely. The timeframe regards documents concerning implementation in 2012-2015. The implementing agencies compose the invitation to apply to the training courses. These documents basically have equal arrangements, nevertheless they differ on subject of the training course. Therefore are these documents regarded as one in current analysis.

The selected policy documents are the following:

Title	Date	Number	Origin of organization
MATRA modernised.	16 October 2009		Ministry of Foreign Affairs
Aanbestedingsdocument meervoudige onderhandse aanbesteding: MATRA PATROL	15 May 2012	FEZ/IM-283/2012	Ministry of Foreign Affairs
Besluit van de minister van Buitenlandse Zaken van 12 juli 2013	12 July 2013	DEU-0575/2013	Ministry of Foreign Affairs
Evaluation report MATRA programme	April 2015		APE and MDF
MATRA Pre-Accession Training on Rule of Law			The Hague Academy for local governance

Table 3: Policy documentation. Source: the author.

5.1.2. Tractability of the problem

All documentation provide complete and comprehensive description of the problem statement and analysis. The focus of the programme is well-defined, along with the

objectives. Noticeably, not all documents describe the MATRA PATROL programme extensively. Policy document 'MATRA modernised' (2009), and documentation number DEU-0575/2013 emphasizes the MATRA CoPROL component over the PATROL component. This is indicated by the absence of objectives and goals of this individual component. The documentation of the tender-procedure, the evaluation, and the information of the training courses on the other hand, provide full description of these aspects. These three documents provide performance indicators.

The description of the target group of the programme is distinct and apparent. All targeted states are considered to be equal, which causes no divergence. The tender- document does articulates the possibility of political and cultural sensitivities, and that these are to be respected (FEZ/IM-283/2012, p. 14). The baseline measurements are executed by state, and not individuals. Therefore, a starting point regarding the applicants of the training courses, and alongside a extent of progression is not eminent. The focus is on civil servants of EU candidate state, which are consequently a small percentage of the population. The evaluation contemplates on the gender-balance of the applicants (APE/MDF, 2015;p.26). Further elaboration on the target group is not described in the documentation. The evaluation and the information brochure do provide clear learning objectives and admission requirements for the applicant.

5.1.3. Ability of the statute to structure implementation

This section displays furthermore the nature of the distinct documents. Whereas the policy document 'MATRA modernised' (2009) and documentation number DEU-0575/2013 provide insight on the entire policy with a focus on MATRA CoPROL, the other documents emphasize the training courses. All documents endorse the objectives, which are clear and consistent because of their recurrence. Causal linkages and the causal theory is correspondingly described and repeated, and the awareness of the relation between the intervention and the attainment of the objectives is plain. The evaluation provides insight into the implementing institutions and officials and evaluates their performance through interviews with the applicants and an evaluation model. It indicates the experience of the consortium, and the ideological resemblance with the policy. The evaluation mentions the

re-affirmation of the topics within the EU accession process by the consortium in their internal evaluations (APE/MDF, 2015; 27).

5.1.4. Nonstatutory variables affecting implementation

Regarding the public opinion, constituents and socioeconomic conditions, scarce information is provided by the documents. Solely the evaluation gives insight into the commitment and leadership skills of the implementing officials, as mentioned before. It claims that the requirements have been largely delivered (APE/MDF, 2015; 26).

5.1.5. Affecting factors of the process.

The evaluation of the implementing agencies describe the establishment of the so-called 'Back Home Action Plan'. This element is an adjustment because of the experienced difficulties in monitoring the actual implementation of the programme. This addition provides a more systematic tool in monitoring the results (APE/MDF, 2015; 30).

The extent to which the target group modifies its behaviour accordingly the objectives of the programme is considered to be satisfying. The evaluation displays that 45% of the respondents claim that the attended courses had a lot of effect in the development of their knowledge and skills in that area. 39% to 47% report to have experienced a reasonable increase of their knowledge of the European values and standards(APE/MDF, 2015; 30).

Considering the actual impacts of policy outputs clarifies the evaluation that 51% of the respondents have been involved in RoL correlated reform processes that are aimed at EU accession (APE/MDF, 2015; 30). Nonetheless implies this that still 49% is not involved in reform processes, and this raises questions concerning the relevance of the applicants. The evaluation made recommendations to attend to this problem in the selection process. However, this is not adjusted in the policy currently (APE/MDF, 2015; 53). It is stated that the competition regarding training programmes is substantial, because other states offer none or less the same training opportunities (APE/MDF, 2015; 29).

Concerning the bilateral aspect of the programme, the evaluation emphasizes the low level of sustained interaction(APE/MDF, 2015; 31). Alumni of the training courses stay little in touch with their Dutch colleagues or other representatives from the Dutch government. The

Ministry responds to this by initiating a network of RoL specialists in the Western Balkans. Although it is a pilot, the aim is to stimulate thematic cooperation (APE/MDF, 2015; 31).

5.2. The policy officers

5.2.1. Introduction of the policy officers

Indicated policy makers are the policy officers from the Ministry of Foreign Affairs that are given the mandate from the Dutch government. This mandate embodies the development of a set of objectives and a policy tool in order to attain the policy goals as set by the government. Currently, this entails modification of the existing policy from 1993 in current research subject.

One of the main tasks is the groundwork for public procurement. The 4 million budget requires a tender procedure for the implementation of the programme. This is general policy of the Dutch government, and is originated in European directives. Other activities are monitoring the implementation process, and maintaining contact with the implementing consortium.

The interviewed policy officers are selected based on their function in the process. The snowball- sampling is applied since the concerned policy officers are difficult to indicate and to approach. This may be clarified by the fact that most policy documents concerning this subject are not publically accessible. Also, the policy officers change positions every four years. The first officer was contacted by dialling a random phone number on a policy document, and subsequently, he introduced the following. This procedure was continued along the process.

Interview number	Organization	Date of interview	Audio recording
Interview 1	Ministry of Foreign Affairs	21-09-2015	Yes

Ministry of			
Interview 2	Foreign Affairs	08-10-2015	Yes
Ministry of			
Interview 3	Foreign Affairs	03-11-2015	No

Table 5. Interview timetable policy officers. Source: the author.

5.2.2. Tractability of the problem

The problem is clearly stated in the annual assessment that is carried out by the European Commission concerning EU pre-accession states. For instance, the corruption overview is mentioned to be disturbing. The chapters 23 and 24 of the EU acquis entail the focus topics of the programme, which is well-defined in the tender document (personal communication, interview 2, 08-10-2015). According to a policy officer (personal communication, interview 1, 21-09-2015) entails MATRA Modernised from 2009 a solid problem analysis. Requirements concerning the training courses are documented and shared with the subscribers. These regard participants, subjects and amount of courses (personal communication, interview 1, 21-09-2015). Thus, the problem statement and the substantive aspects of the programme are clear and explicit.

But on the other hand are performance indicators not deployed, as far as the policy makers can recollect. A policy officer (personal communication, interview 1, 21-09-2015) claims in addition that it is very difficult to allocate the output of the programme to public reform. The outcome of the programme does not have a demonstrable impact considering all other national and European programmes that are focussed on these topics (personal communication, interview 1, 21-09-2015).

Enlargement of discretion is not likely, considering the condition of equation of the Western Balkan states. The programme is based on the Rule of Law, and not adjusted to specific states (personal communication, interview 2, 08-10-2015). The requirements for applicants are clear, which causes no controversy in the objectives of the programme amongst distinctive states. Baseline measurements of the individual applicants are not executed, but

the starting point is categorized based on the annual EU assessment as mentioned before (personal communication, interview 3, 03-11-2015).

The focus of the programme is on civil servants, and may therefore be stated as a small percentage of the population. Not all governmental institutions reflect society, which may eventually cause the dominance of a specific ethnic population (personal communication, interview 2, 08-10-2015). By the co-operation of the directive and the embassy in the target state, a control-system is initiated in order to control the selection procedure. This system is a check for variety in gender, ethnic background and age. Nevertheless it is not a guarantee for diversity because of the composition of the governmental institutions (personal communication, interview 2, 08-10-2015).

5.2.3. Ability of the statute to structure implementation

There is a firm belief that the MATRA PATROL programme is an effective policy tool in order to attain to the policy goals. The focus is on the Rule of Law, and these elements in state policy and structure is defined in the chapters 23 and 24 of the EU acquis. They offer a clear view on what to attain and what factors to address to (personal communication, interview 1, 21-09-2015). The revision of the policy in 2011 was implemented in order to emphasize the goals of the policy. Instead of a multi-themed programme for multiple states in a transition-phase, the revised policy would only address to the Rule of Law and EU pre-accession states (personal communication, interview 2, 08-10-2015).

On project level are outputs noticeably realized. The proposition is that a micro-macro paradox occurs by which the question arises what the outcomes of the policy are. Nevertheless is the programme successful on micro-level, because the applicants impart knowledge and skills and how to implement this in their working sphere. Still, the question arises in what manner this programme contributes to the bigger problem (personal communication, interview 1, 21-09-2015). The bilateral aspect of the programme is clarified through the Dutch embassy in the candidate state. These provide and maintain essential connections for forthcoming information (Personal communication, interview 3, 03-11-2015). A policy officer (personal communication, interview 1, 21-09-2015) however claims that the connections between the applicants and the civil servants of the MATRA PATROL

programme in the Netherlands could be fortified and more sustainable. The problem in this matter lies in the fact that those concerned change placements every four years.

As mentioned before is the allocation of the financial resources an amount that prescribes a tender procedure (personal communication, interview 2, 08-10-2015). This entails a fully motivated set of requirements for the allocated funding and a strict maximum of 4 million Euro. According to a policy officer (personal communication, interview 2, 08-10-2015) is this allocation appropriate and sufficient, particularly compared to previous tender procedures he participated in. As he quotes the Asser Institute; it is not a fortune, but it is manageable (personal communication, interview 2, 08-10-2015).

The policy officers experienced the collaboration with the implementing agencies as excellent. They are not training-experts, and the configuration of the training courses was the activity of the implementing agencies that enrolled the tender procedure as a consortium. A policy officer (personal communication, interview 2, 08-10-2015) even mentioned this collaboration the most gratifying he has encountered. The Asser Institute acts as the coordinator of the consortium, and contact ran mostly through them. Communication with the other members of the consortium is present, but not frequently and there is merely one spokesperson. The Asser Institute is considered to be a truly professional organization with essential experience and skills in this field (personal communication, interview 1, 21-09-2015).

There is no opportunity for outsiders to participate in the process. A policy officer considers it to be a closed eco-system, it is the nature of the programme (personal communication, interview 2, 08-10-2015). The goals of knowledge transfer and building up functional networks, are no reasons to permit or consent outsiders. On the other hand, each training course is concluded with a reception. For these other governmental organizations are invited to network with the applicants. For instance, courses concerning public finance management, are attended to by civil servants of the Ministry of Finance. If an organization claims that the programme gives too little attention to Lesbian, Gay, Bisexual and Transgender rights, they have the opportunity to contact the policy officers or the Minister of Foreign Affairs. Nonetheless, there is no platform for outsiders to participate (personal communication, interview 2, 08-10-2015).

5.2.4. Nonstatutory variables affecting the implementation

The policy officers consider the parliament to reflect the public opinion because of their representative function in society. The parliament reacts to the media and civil organizations, thus they scrutinize our activities (personal communication, interview 1, 21-09-2015). Nonetheless, they have a positive attitude towards this programme. This support is sustainable throughout the years, and this endorses public support. Minister Opstelten and Secretary of State Teeven even attended receptions, which demonstrates their trust in this programme (personal communication, interview 2, 08-10-2015).

The support for the implementing agencies regarding their commitment and leadership skills is firm. They are professionally well equipped and experienced (personal communication, interview 2, 08-10-2015, personal communication, interview 3, 03-11-2015).

5.2.5. Affecting factors of the process

Throughout the years was the programme subject to adjustments because of previous evaluations and or governmental budget reductions. These adjustments were thematic and state focused. A policy officer enhances that, because of these evaluations, it functions as a self-reinforcing system (personal communication, interview 1, 21-09-2015). A policy officer states that the policy officers had no adequate sight on the output in the previous programmes when the implementation was executed by other agencies (personal communication, interview 2, 08-10-2015). The goal was to develop a interaction between the evaluation reports and the policy. This resulted in the modification in the execution of the programme. The policy officers retained the mandate, which enhanced the level of ownership.

5.3. The implementing agencies

5.3.1. Introduction of the consortium

The organization and provision of the training programme was allocated to the Asser Institute through a tender procedure. They provide the training courses in a consortium of agencies. Although, the Asser Institute have ultimate responsibility and are the

spokesperson of the consortium. The Asser Institute organizes the judicial based courses because of their expertise on European Law. Ecorys organizes the financial oriented courses because of their expertise on this matter. And the Hague Academy for Local Governance (HALG) organizes the courses concerning the executive aspects of law because of their expertise on local governments.

The interviewed policy implementers are selected based on their function in the implementation process, and on their availability during the data-gathering period. First, contact was made by phone with the Asser Institute, and accordingly with Ecorys and HALG. Secondly, appointments with the allocated implementers were made by email. Not all implementers were available during this period for an interview.

The interviewed policy implementers are the following:

Interview number	Date of interview	Audio recording
Interview 4	22-10-2015	Yes
Interview 5	22-10-2015	Yes
Interview 6	12-10-2015	Yes
Interview 7	01-10-2015	No

Table 5: Interview timetable policy implementers. Source: the author.

5.3.2. Tractability of the problem

Performance indicators are not distributed amongst the implementing agencies. A policy implementer (personal communication, interview 4, 22-10-2015) mentions the development of performance indicators in the proposal for the Ministry of Foreign Affairs. Thus these are developed by the implementing agency itself. No recollection of explicit indicators is present within the consortium. Clearly stated is the desired number of applicants compatible with their demands. A policy implementer states that measurements are performed, nevertheless he cannot claim that these measurements are connected to performance indicators (personal communication, interview 6, 12-10-2015).

The desired behavioural change is influencing organizational policies by the applicants. So that awareness in the need to implement Rule of Law aspects in the state-structure is

present. For instance, the manner of structuring a law influences the costs of enforcement, and how to uphold this effectively is a subject of the training courses (personal communication, interview 5, 22-10-2015). The consortium offers the applicant a practical guidance in these issues, and this is grounded on the Dutch judicial system. Hence, the fundament is equal to all target groups and not adjusted to distinctive states. The training courses are specific for civil servants and thus a sort of elite within society is addressed to. Nonetheless they are the target for these courses, because of the ambition to make change-agents. Selections are made according to the themes of the training courses (personal communication, interview 5, 22-10-2015).

5.3.3. Ability of the statute to structure implementation

The policy implementers recognize the linkages between the problem statement and the goals of the programme and thereby the governmental intervention. The problem statement is deployed by the Ministry of Foreign Affairs and the expertise of the implementing agencies (personal communication, interview 5, 22-10-2015). This expertise and preceding feedback from the applicants created minor adjustments in the programme in advance (personal communication, interview 5, 22-10-2015).

The beginning phase of the programme was somewhat problematic because of the time-frame. The selection of the applicants and the inception of the training courses had to take place in a short time-frame. Nevertheless, this is the only organizationally problematic aspect (personal communication, interview 5, 22-10-2015). The minor adjustments that were implemented were merely organizational and not substantive concerning the objectives of the policy (personal communication, interview 4, 22-10-2015). A policy implementer states that within the frame he has to operate, he still encounters the autonomy to execute his function in the process (personal communication, interview 6, 12-10-2015). The financial allocation is considered to be sufficient.

The distribution of the tasks, responsibility and funding within the consortium is clear and in harmony. The Asser Institutes develops the structures and settings, and the remaining agencies are able to act to their principles within these frames (personal communication, interview 6, 12-10-2015). The implementation of the process is consolidated, and no alterations in hierarchy is required. Substitution regarding tasks or responsibilities is

possible if necessary, but the division is apparent (personal communication, interview 4, 22-10-2015).

5.3.4. Nonstatutory variables affecting the implementation

The programme is well-known in the Western Balkan, but not in the Netherlands. Civil society is probably not that familiar with the programme according to the implementing agencies (personal communication, interview 6, 12-10-2015). There is also no actual insight in political support, besides the positive reactions from individual parliament members (personal communication, interview 4, 22-10-2015).

All aspects are organized perfectly, and sufficient control moments are implemented in the process. Correspondingly are interim evaluations and reports executed (personal communication, interview 6, 12-10-2015).

5.3.5. Affecting factors of the process

At times receive the implementing agencies the feedback from applicants that elements have changed in their organization. There is a belief that the mentality and vision of the applicants is altered (personal communication, interview 5, 22-10-2015). Adjustments that are applied because of evaluations concern the focus of the policy. Former programmes with this nature were also accessible for citizens of the candidate states that were not civil servants yet (personal communication, interview 5, 22-10-2015).

5.4. The media coverage

5.4.1. Introduction of the secondary data

The secondary data collected for analysis is gathered through the LexisNexis database, the sites of established newspapers in The Netherlands and through the google search option. The subject of exploration is the full MATRA policy, and not demarcated to the MATRA PATROL policy solely. This modification is made because pre-research on the subject demonstrated little public and media attention to the programme. Key search-words are therefore; MATRA, MATRA policy, MATRA PATROL, training programme, and pre-accession state. Additionally, there is no time restrain for the similar reason. A time frame would only narrow the available data sources. The articles that are gathered are opinions, reports of

events, and reports incorporated in situational outlines of the states targeted by the MATRA policy.

5.4.2. Tractability of the problem

Most articles mention or describe the MATRA policy incorporated in a situational outline of a region or state. These articles clarify the principal causal linkages affecting the problem and indicate the role of the policy in this situation. A brief summary of the objectives is provided for better understanding and introducing the policy in the context of the article. The other few articles approach the policy as its subject, and provide information concerning the policy, although not more extensive than the other ones. Information regarding the target group like composition or behaviour is not explicitly mentioned.

Hans van Baalen and Koen van Ramshorst (NRC Handelsblad, 2014) state that positive results from the MATRA policy are experienced regarding the training of capable and infallible civil servants and politicians. Even more they claim that the policy is necessary in the mentioned states because of its objectives in relation to the political and societal situation (NRC Handelsblad, 2014). Wilmer Heck (NRC Handelsblad, 2007) contemplates on the objectives of the policy, and interviews participants of the training courses. The article emphasizes the bilateral objective over strengthening the RoL elements in the target states. Correspondingly the interviewees in the article consider strengthening the bilateral relation with The Netherlands both their, and the Dutch government main goal of the policy (NRC Handelsblad, 2007).

5.4.3. Ability of the statute to structure the implementation

Besides a brief summary of the objectives, most part of the articles provide a connection between the intervention of the policy and its output. For instance the opinion-article by Olga de Haan (NRC Handelsblad, 1998) claim that this policy does understand the importance of civil society and a critical mass in transition states. The acknowledgement of the relation between the intervention and the attainment of objectives is present.

The opinion that civil society benefits from the MATRA policy is endorsed in the article by Olaf Tempelman (De Volkskrant, 2001). With the financial help of MATRA, an institute for Modern History is established in Rumania. This institute provides information regarding the communist period, which is considered to be a start in the acceptance of the past and a step

towards the future of integration in the EU (De Volkskrant, 2001). None of the articles attend to the implementing agencies or consortium regarding the policy orientation, formal decision rules or hierarchical integration. Furthermore, the allocation of the funding, or formal access by outsiders is not mentioned.

5.4.4. Nonstatutory variables affecting the implementation

Social, economic and technological conditions affect the implementation of the MATRA policy. Anouk van Kampen (NRC Handelsblad, 2013) refers to the situation in Egypt, which was a target state in the MATRA South programme. The clash between two political oriented groups of civilians resulted in the postponement of all Dutch foreign aid and cooperation with the Egyptian government. The Dutch minister of Foreign Affairs Timmermans claims that the cooperation is in this manner not possible. In contrast with the sentiment of the inception of the MATRA South obviously. Alongside the president of the United States of America who states that Egypt has to respect human rights and condemns the violence of the Egyptian army.

The articles indicate a positive public and media appreciation of the policy. Besides the articles from journalists and editors are also opinion articles by individuals encouraging. Projects financed by the MATRA policy lead to positive societal results according to the authors. The establishment of the Institute for Contemporary History (De Volkskrant, 2003), the publication of a new history book in Russia which describes a multicultural society (De Volkskrant, 2005), and the training of museum employees in management, fundraising and education (De Volkskrant, 2006) are mentioned illustrations generating the manifested positive sentiments.

Some articles regret certain decisions regarding the policy and plea in favour of implementation in a specific state or region. Jan van Groesen (De Volkskrant, 2005) describes the accommodating role of MATRA in the process of the establishment of an international press centre in Rumania. Ultimately no funding was granted by the Dutch embassy, despite their previous efforts (De Volkskrant, 2005). Hans van Baalen and Koen van Ramshorst (NRC Handelsblad, 2012) state that MATRA is necessary in the Arab region in order to enhance and strengthen the young democracies, and retreat of the policy in this region is not desirable. One critical note is the article by Olaf Tempelman (De Volkskrant,

2005) which mentions the agitation of Rumanian civilians regarding the children's book published by MATRA. Nonetheless, the author downplays this with the argument that the policy is not culturally distinguishing.

Constituents' attitudes are mostly displayed by articles in the opinion sections. They are employed in the target state or related to it by their profession or interest. The articles gathered for analysis are positive towards the implementation of the MATRA policy, which assumes no disruption of the implementation process.

The article by Anouk van Kampen (NRC Handelsblad, 2013) indicates the changing attitude of sovereigns towards the policy in Egypt. The minister of Foreign Affairs Frans Timmermans declares that all Dutch aid connected to the Egypt government is suspended because of current situation (NRC Handelsblad, 2013). Therefore are financial resources and legal mandates likewise suspended. This is in contrast with the opinion article by two members of parliament, who both plea for the continuation of the policy in this state and region (NRC Handelsblad, 2012). The mention of the positive attitude of anti-Europe parliament member Harry van Bommel is remarkable, and underlines the overall positive approach of the policy (NRC Handelsblad, 2007). Nonetheless is the ministers resolution decisive, and are conflicting directives not present. A remarkable item is the criticism of the President of Russia, Vladimir Putin, who claims that more funding should have been allocated to cultural projects instead of societal projects (NRC Handelsblad, 2007). A result could have been the suspension of the policy in Russia in light with diplomatic relations. Information regarding the commitment and skills of implementing officials is not provided.

5.4.5. Affecting factors of the process

Although actual impacts of the policy is described in the articles, not many alterations are indicated caused by these impacts. System changes or alterations of mandate related to the impact of the policy, actual or perceived, are not present. Also the outputs related to the implementing agencies, or the target group compliance with the policy outputs is not mentioned.

5.4.6. Cumulative analysis of the media coverage

The following section provides a cumulative exploration of the articles in order to enhance the analysis of the implementation from a theoretical perspective. The objective is to explore the factors that are emphasized by the media, and in what manner.

Component	Factor	Presence	Positive score	Negative score	Amount
<i>Tractability of the problem</i>	1. Technical difficulties	1	✓		12
	2. Diversity of target group behaviour	0			
	3. Target group as a percentage of the population	0			
	4. Extent of behavioural change	1		✓	8
<i>Ability of the statute to structure implementation</i>	5. a. Clear objectives	1	✓		12
	b. Consistent objectives	1	✓		12
	6. a. Causal linkages	1	✓		12
	b. Causal theory	1	✓		12
	7. Initial allocation of financial resources	0			
	8. Hierarchical integration within and among implementing institutions	0			
	9. Decision rules of implementing agencies	0			
	10. Recruitment of implementing officials	0			
<i>Nonstatutory variables affecting implementation</i>	11. Formal access by outsiders	1		✓	6
	12. Socioeconomic conditions and technology	1	✓		4
	13. Public support	1	✓		12
	14. a. Attitudes of constituency groups	1	✓		5
	b. Resources of constituency groups	0			
	15. Support from sovereigns	1		✓	4
	16. a. Commitment of implementing officials	0			
	b. Leadership skills of implementing official	0			

Table 6: Cumulative table of media coverage analysis independent variables. Modified from Mazmanian and Sabatier (1983).

Factor	Presence	Positive score	Negative score	Amount
1. Policy output of implementing agencies	0			
2. Target group compliance with policy outputs	0			
3. Actual impacts of policy outputs	1	✓		12
4. Perceived impacts of the policy outputs	1	✓		12

Table 7: Cumulative table of media coverage analysis affecting variables. Modified from Mazmanian and Sabatier (1983).

Table: cumulative table of media coverage analysis.

The results, as presented in the table, indicate that the MATRA policy in general is highly appreciated by the media and public opinion. The positive scores on the factors technical

difficulties, clear and consistent objectives and causal linkages and causal theory displays the understanding of the goals of the policy, and the awareness of the relation between the problem statement and the intervention. This is more appreciated because of the nature of involvement from the authors, whereas most are employed in the target states. Additionally, it enhances the scores on the actual and perceived impacts of the policy outputs. This also intensifies the scores on the target group behaviour because of the situational knowledge.

Furthermore, it is apparent from this table that the factor support from sovereigns is present. As mentioned before have several politicians plead for the extension of the policy to more target states and regions. Even the previous Queen of The Netherlands attended enthusiastically to a MATRA project in Rumania according to the author (De Volkskrant, 2001). The score on this factor is on the other hand negative, because of the retreat of the activities in Egypt due to the political and societal situation.

The most surprisingly aspect of the data is the low amount of articles regarding the subject. For over 18 years solely twelve articles are published that attend to the MATRA policy in general, and only one covers the MATRA PATROL programme. Russia and Rumania are thereby the most mentioned target states. Serbia, or even the Western Balkan in general, is the subject of articles solely twice. The article by Wilmer Heck (NRC Handelsblad, 2007) displays the opinion of the Euro-sceptic politician Harry van Bommel, who emphasises the importance of support for pre-accession states. And Linda van Putten (NRC Handelsblad, 2003) describes the shift in the establishment of a less nationalistic sentiment in the Western Balkan. This demonstrates the uniformity of the policy concerning all target states.

Another remarkable result is the absence of an opinion concerning the implementing agencies. One critical note is presented by Jan van Groesen (De Volkskrant, 2005) regarding the decision of the Dutch Embassy not to allocate funding to the establishment of a Rumanian Press Centre. Notwithstanding does this not influence the scores concerning the implementing agencies in this model. Further opinions or reflections on the implementing agencies are not present.

Chapter 6. The effectiveness analysis

This chapter presents analysis of the effectiveness of the implementation of MATRA PATROL in Serbia in the period 2012-2015. The reader gets to know about the conditions to which a programme should address to in order to be implemented effectively according to Mazmanian and Sabatier (1983).

These conditions are related to the independent variables of the MATRA PATROL programme as defined in the previous chapter. These factors are gathered through content analysis, interviews and secondary data-analysis, deployed by the theory of Mazmanian and Sabatier (1983).

The question of interest in this chapter is the extent to which these factors are present in the programme. They clarify the flaws and confident parts of the programme, and this analysis provides the extent of influence. A conclusion about the factors that constrain or facilitate the effectiveness of the implementation is established by determining the connection to the distinct variables.

Firstly, a recapitulation of the conditions for enhanced effectiveness as mentioned before is provided. Alongside, the effectiveness analysis is performed. Each distinct condition is applied to separately and will be analysed accordingly. The final conclusion to this chapter provides a table of analysis of the effectiveness of the implementation of the MATRA PATROL programme in Serbia in the period 2012-2015. This analysis provides an answer to research question 3.

6.1. Introduction to six conditions of effectiveness

Mazmanian and Sabatier (1983) developed conditions to which a policy and or programme should address to in order to be implemented effectively. They provide an understanding of the most significant factors that facilitate or constrain the effectiveness of the implementation of the MATRA PATROL programme.

These six conditions are (Mazmanian and Sabatier, 1983):

1. The enabling legislation or other legal directive mandates policy objectives, are clear and consistent, or at least provides substantive criteria for resolving goal conflicts. For the methodical analysis is this condition divided into; a. objectives are clear; and b. objectives are consistent.
2. The enabling legislation incorporates a sound theory identifying the principal factors and causal linkages affecting policy objectives and gives implementing officials sufficient jurisdiction over target groups and other points of leverage to attain, at least potentially, the desired goals.
3. The enabling legislation structures the implementation process so as to maximize the probability that implementing officials and target groups will perform as desired. This involves assignment to compassionate agencies with adequate hierarchical integration, supportive decision rules, sufficient financial resources, and adequate access to supporters. For the methodical analysis is this condition divided into; a. assignment to compassionate agencies; b. adequate hierarchical integration; c. supportive decision rules; d. sufficient financial resources; e. formal access by supporters.
4. The leaders of the implementing agency possess substantial managerial and political skill and are committed to statutory goals. For the methodical analysis is this condition divided into; a. committed implementing officials; b. skilful implementing officials.
5. The programme is actively supported by organized constituency groups and by a few key legislators (or a chief executive) throughout the implementation process, with the courts being neutral or supportive.

6. The relative priority of statutory objectives is not undermined over time by the emergence of conflicting public policies or by changes in relevant socioeconomic conditions, which weaken the statute's causal theory or political support.

These conditions are a measuring rod for the effectiveness of PATROL as implemented in Serbia and measure the extent to which the six conditions have been established. Measuring the effectiveness will be completed through the same technique that Mazmanian and Sabatier (1983) follow in their study 'Implementation and public policy'. The analysis of the distinct conditions will be qualified in the scores neutral, low, moderate low, moderate high, or high following the Likert scale for measurements, increasing from little to no role or absence to highly effective. The researcher measures and classifies the programme, and relies on its expert knowledge on this subject. The classification depends furthermore on the presence in multiple data-sources.

Because the conditions are related to the affecting factors, a clear reciprocal analysis is possible. The effectiveness analysis illuminates the flaws and confident parts of the programme. Therefore, conclusions on the conditions are made through the data analysed in the previous chapter. By determining the connection to the distinct variable(s) a conclusion about the factors that constrain or facilitate the effectiveness of implementation is established, including the extent to which these are influential. Finally, this chapter provides an answer to the sub research question 3, which is stated as follows:

How was the PATROL programme implemented and to what extent did this process meet the criteria introduced by Mazmanian and Sabatier (1983)?

6.2. Condition 1: Objectives are clear and consistent

As well the policy documentation, the interviews, as the media coverage indicate that the objectives are clear and comprehensible. The documentation of the policy describe the objectives of the programme unambiguously. Additionally provide the interviews a reproduction of the understanding of the objectives by the interviewees. The secondary data indicates the similar understanding in all articles. Nonetheless it must be stated that not all documentation spend equal attention to this component of the policy. Most part of

the formal documentation regards the CoPROL component, and the PATROL component is indeed a tool to attain to the policy's objectives. Still, the objectives of this component could have been more explicitly emphasised in all documents. Therefore is this condition valued as moderate high.

Concerning the consistency, all analyses provide a positive value to this condition. The recurrence of the objectives in the documentation is vivid. Alongside display the interviews and the media coverage no dissimilarities. Therefore is this condition valued as high.

6.3. Condition 2: Adequate causal theory

The awareness of the relation between the governmental intervention and the attainment of the objectives is present. A situational outline of the target states and the conditions for accession are clear in the policy documentation and familiar to the implementing agencies. The media coverage displays this understanding by defining the situational problem and the relation with the programme, and endorse the opinion that civil society benefits from the programme.

A critical note regarding this condition is the provided information of the target group. The programme is equated for all target states, and therefore it undermines certain sensitivities that influence the causal theory. This equation, and the position of the Dutch society as the starting point, results in the absence of a measurable evolution of the participants. Additionally is this confirmed by the media coverage. The article regarding the children's book displays the undesirable consequences of the equation. Because of the interest of the authors, there is more attention for the implementation in Russia and Rumania and none of the articles is positioned in Serbia. The evaluation document does discuss the target states distinctively, however this merely concerns the statistically division of number of applicants and gender (APE/MDF, 2015). Therefore is this condition valued as low.

6.4. Condition 3: Implementation process enhances compliance with implementing officials and target groups.

The assignment of the implementation of the programme is executed by outsourcing through a tender-procedure. Hence is the implementation allocated to a professional and

experienced consortium, which is conducted in the tender-document (Ministry of Foreign Affairs, 2012). The ideology of the consortium is compliant with the programme, which is specified in the evaluation document. The elaboration of a policy implementer regarding the importance of implementing RoL elements clarifies the concurrence of the consortium with the programme (personal communication, interview 5, 22-10-2015). The interviewed policy-makers underline the previous positive experience with the consortium and their core business of facilitating training courses. Therefore is this condition valued as high.

Hierarchical integration within and amongst the implementing agencies is observable in the interviews although not in the policy documentation or media coverage. The policy makers and the consortium themselves declare to have established strict guidelines in order to enhance the implementation process. TMC Asser Institute is the spokesperson of the consortium in relation to the policy makers. Within the consortium is TMC Asser Institute responsible for the implementation and execution, but hold the other institutes large freedom in the execution of their training courses. So claims a policy implementer that within the frame he has to operate, he still encounters the autonomy to execute his function in the process (personal communication, interview 6, 12-10-2015). Periodical evaluations are deployed as well as within the consortium, as from TMC Asser Institute addressed to the policy makers. The programme itself is evaluated at one point, and the results are discussed in the Dutch parliament (APE/MDF, 2015). Therefore is this condition valued as high.

Additionally is the condition of supportive decision rules not explicitly present in the policy documentation or the media coverage, however positively in the interviews. The mandate was to strengthen the RoL aspects in pre-accession states, strengthen the bilateral ties and provide an alumni network for the participants. None of the interviewees experienced difficulties in the execution of their function in the implementation process, although they are subdued to the rules. Therefore is this condition valued as moderate high.

In comparison with other components of the policy is the allocated funding of MATRA PATROL reasonable mediocre. Nonetheless does the consortium indicate that the allocation is sufficient for the requirements and deliverables. More financial resources would ultimately lead to more training courses, more participants and more additional parts like

the 'Back Home Action Plan'. In this setting, with these objectives, and with this group of target states, the conclusion is that the financial allocation is sufficient. A policy officer claims that it is more than he encountered in other tender-procedures (personal communication, interview 2, 08-10-2015). Therefore is this condition valued as neutral.

The policy documentation does not indicate a momentum for outsiders to influence the implementation process. Focus aspects are defined and funded on the EU acquis and therefore not adjustable. Target states are demarked as the EU pre-accession states and is consequently not adjustable. Nonetheless does the data obtained from secondary sources cover the pleas for extension of the target regions. A policy-maker considers the implementation process as a closed eco-system (personal communication, interview 2, 08-10-2015). When an organization claims that the programme gives too little attention to an certain issue, they do have the opportunity to contact the policy officers or the executive Ministry. Although there is no platform for outsiders to participate (personal communication, interview 2, 08-10-2015). Evaluation of the programme is conducted, but this is periodical mandatory and not initiated by supportive organisations. Nor are they offered the opportunities for this activity, or any other form of intervention(APE/MDF, 2015: Ministry of Foreign Affairs, 2009). Therefore is this condition valued as low.

6.5. Condition 4: Implementing officials are committed and skilful

The evaluation document provides insight into the implementing institutions by its evaluation-system and the survey and interviews with the participants. The participants respond that they qualify the implementing agencies as committed. Additionally displays the evaluation document the ideological resemblance with the policy. The re-affirmation of the topics within the EU accession process by the consortium in their internal evaluations is stipulated (APE/MDF, 2015; 27). Therefore is this condition valued as high.

A policy officer states that the configuration of the training courses was the activity of the implementing agencies that enrolled the tender-procedure as a consortium (personal communication, interview 2, 08-10-2015). TMC Asser Institute is considered to be a truly professional organization with essential experience and skills in the field (personal communication, interview 1, 21-09-2015). Therefore is this condition valued as high.

6.6. Condition 5: Support of interest groups and legislators

The support of interest groups and legislators is visible in the media coverage, the interviews and the documentation. Various parliament-members promote the MATRA policy in general, and some the MATRA PATROL component specifically. The opinion articles from civilians hold a positive attitude towards the policy. A policy officer mentioned the periodical opening speech from the Minister of Justice, which is considered to be a demonstration of support for the programme.

On the other hand contemplates the evaluation document on the absence of an operational network, probably because of lack of interest from the Dutch civil servants. This is remarked by the implementing consortium, which undertook actions to optimize the network. As well as the respondents of the evaluation document, as well as the policy officers underline the absence of durable contact after the training courses. This constrains the attainment of the objective to establish bilateral relations with the state in question (APE/MDF, 2015; personal communication, interview 1, 21-09-2015). Another remarkable issue in this topic is the low amount of media coverage on the programme. Throughout 18 years the insignificant number of twelve articles are published that concern the MATRA policy. Limited articles cover the implementation of the policy and the public opinion in The Netherlands. The general part covers opinions by authors that are involved in the implementation because of their interest in the target state through employment, or livelihood. This reflects a somewhat indifferent attitude towards the policy and the programme specifically. Therefore is this condition valued as low.

6.7. Condition 6: Supportive conditions not undermined

Budgetary reductions on foreign assistance by the Dutch government did alter the focus of region of the programme. The data obtained from secondary sources covers pleas for the continuation of the policy in Russia and the Arab region. This is also generated because of the suspended activities of the programme in Egypt, which is caused by its socioeconomic condition. Nonetheless is this not a point of interest in current research. The policy statute is

focused on EU pre-accession states, and the objectives and the casual theory is established in accordance with this focus. Therefore is this condition valued as neutral.

6.8. The effectiveness-analysis table

Previous analysis result in the following table;

Condition	PATROL in Serbia (2012-2015)
1. Objectives are:	
a. Clear	Moderate high
b. Consistent	High
2. Adequate causal theory	Low
3. Implementation process enhances compliance with:	
a. Assignment to compassionate agencies	High
b. Adequate hierarchical integration	High
c. Supportive decision rules	Moderate high
d. Sufficient financial resources	Neutral
e. Formal access by supporters	Low
4. Implementing officials are:	
a. Committed	High
b. Skilful	High
5. Support of interest groups and legislators	Low
6. Supportive conditions not undermined	Neutral
<i>Table clarification:</i> Neutral: factor played little to no role/ or is absent Low: notable obstacle to effective implementation. Moderate low: constraining effective implementation, though weak. Moderate high: facilitating effective implementation, though weak. High: a strong qualification for effective implementation.	

Table 8; effectiveness analysis of the conditions of the implementation of MATRA PATROL. Modified from Mazmanian and Sabatier (1983).

Chapter 7. Conclusion and discussion

This chapter presents the concluding results of the conducted analysis. It will provide an answer to the central research question, which sounds as follows; Which factors influence the effectiveness of the implementation of MATRA Training Programme for European Cooperation (PATROL) in Serbia in the period 2012-2015? Sub-research questions are established in order to answer the extensive central research question. These questions are more explicit and tangible than the central research question, and provide structure in current research. By accumulating and integrating the answers to the sub-research questions the central research question is attended to in this final chapter.

Secondly, it reflects on methodological values as validity and reliability with Yin in retrospective as presented in chapter 4. Alongside, the results are deliberated and in what manner the empirical findings of current research are incorporated in the conceptual background will be presented. The relevance of these empirical findings for both theory and practice will be discussed.

Finally, the limitations of current research are attended to, and an outlook on recommendations for further research is presented.

7.1. Conclusion

The aim of current research is to identify factors that constrain or facilitate the effectiveness of the implementation of MATRA PATROL in Serbia in the period 2012-2015. Effectiveness of public policy and programmes is one of the key objectives for policy-makers alongside efficiency and economy of the policy (Abma, 2000). Critical public opinion, mass media, and obliged budget reductions demand constructive policy frameworks. Moreover, the contemporary EU-critique sentiment in civil society, as for instance *'The Brexit'* indicates, and the political sphere will monitor this policy for it enhances the accession of candidate states. Although this does not imply a negative focus on this programme.

Factors that intervene in the effectiveness of the implementation and in what way is a challenging issue in scientific research. The theory of Mazmanian and Sabatier (1983) is regarded to be the best applicable in current research. The objective is to provide an synopsis of prevailing perceptions in this field, and not to conduct and evaluation of the implementation. Additionally, the framework also accounts for the legally mandated goals, organizational maintenance and external institutions and their legal and financial resources (Mazmanian and Sabatier, 1983). It offers guidance in the investigation of attitudes towards the implementation process, and structure in the analysis of perceptions.

Conclusions concern amongst other the theoretical framework that is most applicable in current research. Alongside, they concern the specific factors that influence the implementation process. For this, a case background provides the goals and objectives, and the data-analysis the means of implementation of the MATRA PATROL programme. The data-analysis provides information for the effectiveness-analysis. Not all factors have an equal impact on the effectiveness of the implementation process. The theoretical framework deploys various values to the distinct factors, which are categorized from low up to high. This generates an answer to the central research question, which was formulated as follows:

Which factors influence the effectiveness of the implementation of MATRA Pre-Accession Training on Rule of Law (PATROL) in Serbia in the period 2012-2015?

The conducted analysis delivers the following inferences concerning strong facilitating factors:

- **Objectives are consistent.** Within the documentation, recurrence of these objectives is high, which enhances the consistency aspect. Analysis of the perceptions of the respondents, and the media coverage accentuate this conclusion. No alterations or other versions of the objectives are observed.
- **Implementation process enhances compliance with assignment to compassionate agencies.** The evaluation document emphasises the ideological concurrency of the implementing consortium and the programme. The objective is to provide and organise training courses, where the RoL elements and Dutch 'strict and fair' ethics are reference points. The trainers are selected based on their experience in the field in the Dutch context.
- **Implementation process enhances compliance with adequate hierarchical integration.** Although this factor is not present in the policy documentation, or in the data obtained from secondary sources, it is valued as a strong qualification for effective implementation. The interviews indicate hierarchical guidelines and rules within and amongst implementing agencies, policy makers and the policy framework. These guidelines and rules were established before the initiation of the implementation process. No disorder regarding accountability is present due to these guidelines, and they provide opportunities for the programme managers to organize their training course from their experience.
- **Implementing officials are committed.** Respondents of the evaluation document state that they qualify the implementing agencies as committed. Additionally, the document underlines the re-affirmation of the topics within the EU accession process by the consortium in their internal evaluations. The interviews clarify that the periodical evaluations result in awareness of the objectives of the programme. This is an significant indication of commitment to the programme, and the motivation to learn and develop high standards.
- **Implementing officials are skilful.** TMC Asser Institute, The Hague Academy for Local Governance and Ecorys are agencies that provide training courses, it is their business model. The consortium is considered to be a truly professional organisation with

essential experience and skills in the field. This belief is funded on prior experiences of the policy-makers.

The conducted analysis delivers the following inferences concerning strong constraining factors:

- **An adequate causal theory is incorporated.** The relation between the governmental intervention and the attainment of the objectives is present, the conditions for accession are clear, and a situational outline of the target states in general is presented. Alongside, the media coverage endorse the opinion that civil society benefits from this programme. Nonetheless, elucidation of the specific situational outline for Serbia is absent. Nor are any specific actions undertaken regarding distinction of Serbia specific. The equation of all target states influences the causal theory because it undermines certain sensitivities. As mentioned in chapter two are these sensitivities hard to ignore and fairly recent. Additionally, this equation causes complications in the determination of the target group, and eventually output measurement issues.
- **Implementation process enhances compliance with formal access by supporters outside the process.** A momentum for outsiders to influence the implementation process is not indicated in the policy documentation. Organisations have the opportunity to contact the policy officers or the executive Ministry, although a platform for outsiders is not established. In a specific interview, a symbolic comparison to a closed eco-system is made in order to clarify the implementation process.
- **Support of interest groups and legislators.** The media coverage indicate that the support of interest groups is observed. Nonetheless, the insignificant amount of twelve articles in eighteen years is remarkable low. The general part of these articles cover opinions by authors that are involved through their interest in the target state because of employment or livelihood. The evaluation document underlines this somewhat indifferent attitude towards the policy and contemplates on the absence of an operational network. Because of the shifting employment of policy officers every four years, the objective of establishing a network is not successful. Respondents of the evaluation document, as well as the respondents of the

interview confirm this absence. Although the periodical opening speech from the Minister of Justice assumes a demonstration of support from legislators for the programme.

The above positioned factors embody high impact on the effectiveness of implementation of PATROL in Serbia in the period 2012-2015. Remaining factors appear to have lesser impact, or play little to no role in the implementation process. This offers opportunities for the implementing officials to increase the effectiveness of implementation. Moderate high valued factors are; clear objectives, and supportive decision rules. Moderate low values factors are not established, whereas the remaining factors are valued neutral. These neutral valued factors are; implementation process enhances compliance with sufficient financial resources, and supportive conditions are not undermined.

7.2. Discussion

Eminent facilitating factors are related to the implementing agencies, and evidence is provided regarding the value of the consortium. Relying on the expertise of training institutions, demarcation of the allocation of funding, and hierarchical integration are the key elements. The outsourcing of the organisation and facilitation of the training courses to private institutions results in positive outputs. It is naturally their business course and reason for existence, whereas the policy officers are not educated as trainers and possibly lack the expertise and experience. Obstacles concerning the policy-makers regard the establishment of the tender-procedure, for which all had to be encountered for. Certain minor obstacles were reduced throughout the cooperation with the consortium.

Hierarchical integration is applied in an enhancing manner. Strict rules and guidelines regarding accountability and allocation of funding through the tender-procedure eliminates important obstacles in implementation processes. On the other hand enhances the applied integration the output of the distinct training courses. None of the respondents recalls to have felt restricted in fulfilling their role in the process.

Outstanding constraining factors are related to the policy framework. The equation of the target group detains imperative knowledge on the target group and less adequate

incorporated causal theory. This results in low possibilities for measurements of output and outcome of the policy. Therefore, improvement of the implementation process is challenging. More profound coordination with the situational background of distinct target states is desirable.

Additionally, effectiveness is constrained by the omission of participating opportunities for supportive organisations or outsiders. The closed network and process results in low awareness and understanding in civil society, and therefore low support. Moreover, profound measurable activities may result in opportunities to maintain bilateral relationships with the states in question.

The low support is related to the remarkable detail that data obtained by secondary data indicate solely twelve articles in eighteen years. An explanation may entail the technical character of the programme, in which journalist find no interest. Otherwise, low awareness amongst public opinion and media is noteworthy in light of current anti-EU sentiments in society.

Nonetheless, due to the limitations as provided further in this chapter, these findings should be interpreted carefully. Current research applies a set of quality principles following the tactics of Yin (2003) for high standard case study research. The application of triangulation of research methods for data-gathering enhances the validity, because it offers a wider scope and a plural perspective on the implementation. The documentation provides insight into the goals, objectives and structure of implementation, from which the researcher makes inferences founded on experience and knowledge of the field. The interviews provide insight into the perception of stakeholders of the implementation process. The media coverage provides an overview regarding the public and media opinion. These are claimed to be independent, for which the data is considered to be highly reliable regarding this subject.

The empirical findings of current research provide an overview of attitudes in the implementation process of a public policy. Because of its nature, a case-study research, generalisation is established solely through the application of the theoretical framework. It

organises the research process and design, and offers structure in the analysis of attitudes and perceptions. The practical application of current research is a model for policy-makers and implementers to enhance effective implementation. The six conditions offer a guideline in the development of public policy, and additionally in periodical evaluations. As apparent, literature on MATRA policy in general, and MATRA PATROL specifically is limited. Policy documentation is not easily accessible, and little results are delivered from online search databases or even the official website of the Dutch parliament. Current research may provide information for those interested.

Current research confirms the durability of the theoretical model as established by Mazmanian and Sabatier, and provides in all necessary characteristics required. The material, structural and contextual variables are accounted for, which enables the researcher to structure the process. Guidelines for measurements of effectiveness, and determination of variables concerning the facilitation or constrain of effectiveness are provided. Bottom-up theories offer lesser attention to the control of a policy statute and hierarchical relations, and third generation scholars provide models with factors not significant for current research. Consequently, the analysis of data obtained from secondary sources provides accumulative insight in public- and media opinion, and stipulates this aspect of implementation.

7.3. Limitations and recommendations for further research

As mentioned above entails current research limitations regarding the quality of scientific research. The interpretation of empirical inferences should therefore be deployed with these limitations in mind.

The first limitation refers to the available data-sources. Little documentation was provided because of the upcoming evaluation of the programme in the Dutch parliament, and the decision of prolonging the programme. After contacting all possible sources, one additional policy document were offered to the researcher. This happened by chance, because the researcher dialled a telephone number which was situated on a policy document related to the previous training programme. Additionally, this was the first contact with a interviewee. Extension of the data-sources resulted in the data obtained from secondary sources, which

was narrow likewise. Because of the informal character of a master thesis, interviewees may have adjusted their answers to what is accepted in the cooperation agencies. On beforehand, the concealment of the thesis was not discussed. Recommendation entail therefore a timeframe with less political sensitive issues as an upcoming evaluation.

The technique of inquiry concerning the interview method may cause disturbance. All respondents were asked for approval to record the interview. As mentioned before is this request declined at times. Even one respondent emphasised that different response might have been provided when the interview would not be recorded. Although it must be stated that this occurred prior to the interview and without knowledge of the inquiry questions.

Finally, the operationalisation of the variables is interpretative in its nature, although this is strengthened through the data-gathering methods. Operationalisation of the factors in the interview by the respondents, and the analysis of these interviews indicate an interpretation of an interpretation. Unfortunately, this is challenging to evade even though the researcher is aware of this aspect.

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ANNEXES

IMPLEMENTATION PROCESS IN A POST-CONFLICT TRANSITION

The case of MATRA PATROL in Serbia

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Annex 1. Appendix A. Operationalization of the independent variables.

Theoretical concept	Variables	Definition	Measurement	Data collection
1. Technical difficulties	<ul style="list-style-type: none"> - Situational definition of the problem - Problem analysis - Explicitly defined substantive aspects of the program 	Knowledge of the situation prior to the problem solution	<ul style="list-style-type: none"> - Development of performance indicators - Situational knowledge 	<ul style="list-style-type: none"> - Policy documents - Interviews - Media coverage
2. Diversity of the target group behaviour	<ul style="list-style-type: none"> - Diversity of the behaviour within the target group - Clear requirements for applicants 	Variation in the desired behaviour being regulated	Discrepancy between desirable behaviour opposed to current behaviour within the target group	<ul style="list-style-type: none"> - Policy documents - Interviews - Media coverage
3. Target group as a percentage of the population	<ul style="list-style-type: none"> - Target group percentage - Nature of the target group 	Number of applicants of the target group in comparison to the population	Comparison of the number of applicants and the population	<ul style="list-style-type: none"> - Policy documents - Interviews
4. Extent of behavioural change required	Learning objectives	Extent of desired behavioural change	Amount of learning objectives	<ul style="list-style-type: none"> - Policy documents - Interviews
5. Clear and consistent objectives of the programme	<ul style="list-style-type: none"> - Operational framework - Instructions to implementing officials and other stakeholders - Clear objectives - Consistent objectives 	Review of mission, vision and strategic direction	Presence of a operational framework	<ul style="list-style-type: none"> - Policy documents - Interviews - Media coverage
6. Incorporation of	<ul style="list-style-type: none"> - Causal linkages 	<ul style="list-style-type: none"> - Understanding of 	Policy statement compared	<ul style="list-style-type: none"> - Policy documents

adequate causal theory	- Causal theory	principal causal linkages in the policy statement - Required jurisdiction over sufficient critical linkages	to the policy documents	- Interviews - Media coverage
7. Initial allocation of financial resources	Budget of the programme	Adequate level of funding with motivation in support of policy and strategy	- Motivation of the allocated funding - Comparison to similar programme	- Policy documents - Interviews
8. Hierarchical integration within and among implementing institutions	Indication of hierarchy within consortium and towards the principal	Vertical and horizontal hierarchy is required for implementation	- Division of veto clearance - Inducements and sanctions to enhance compliance	- Interviews
9. Decision rules of implementing agencies	- Guidelines for implementing agencies - Directives for implementing agencies	The statute needs to provide formal decision rules and regulation	Presence of formal decision rules for implementing agencies	- Policy documents - Interviews
10. Recruitment of implementing officials	- Policy orientation of the implementing agencies - Commitment of the implementing agencies with the programme	Requirement for strongly committed implementing officials	- Strongly committed implementing agencies - Policy orientation of the implementing agencies compliant to the programme	- Policy documents - Interviews
11. Formal access by outsiders	- Non-stakeholders involvement in the implementation - Accessibility of the implementing	Extent to which participating opportunities are established	- Regulation regarding participating opportunities in the statute - Independent	- Policy documents - Interviews - Media coverage

	agencies towards non-stakeholders		evaluation studies	
12. Socioeconomic conditions and technology	<ul style="list-style-type: none"> - Governmental jurisdiction in social conditions - Governmental jurisdiction in economic conditions - Governmental jurisdiction in technological conditions 	The attainability of the objectives is affected over time due to changing conditions	Periodical political encouragement for legitimacy	<ul style="list-style-type: none"> - Policy documents - Interviews - Media coverage
13. Public support	<ul style="list-style-type: none"> - Public attention - Media attention - Public opinion - Mass media opinion - Public concerns - Public opinion polls 	Appreciation of members of the public and media.	<ul style="list-style-type: none"> - Extent of appreciation of the public - Attention on social media and newspapers 	<ul style="list-style-type: none"> - Interviews - Media coverage
14. Attitudes and resources of constituency groups	<ul style="list-style-type: none"> - Attitudes of constituency groups - Resources of constituency groups 	The attitude of constituents towards the objectives of the programme	<ul style="list-style-type: none"> - Organisational capacity of constituency groups - Experience with the legal system of constituents - Knowledge of the policy and the problem statement of constituents 	<ul style="list-style-type: none"> - Interviews - Media coverage
15. Support from sovereigns	<ul style="list-style-type: none"> - Support from legislative sovereigns - Support from executive sovereigns related to the policy 	Implementing agencies require support from various sovereigns	<ul style="list-style-type: none"> - Financial resources allocated by sovereigns - Legal mandates allocated by 	<ul style="list-style-type: none"> - Interviews - Media coverage

				sovereigns	
				- Direction of oversight provided by sovereigns	
16. Commitment and leadership skills of implementing officials	<ul style="list-style-type: none"> - Commitment to the programme of the implementing official - Leadership skills of the implementing official 	Managerial skills and commitment by officials influence financial and personnel management	<ul style="list-style-type: none"> - Adequate controls developed by the official - Behaviour of official regarding motivation - The ability to develop a culture of performance excellence by the implementing official 		- Interviews

Source: the author (2015).

Annex 2. Appendix B. Operationalization of the affecting factors of the process.

Theoretical concept	Variables	Definition	Measurement	Data collection
1. Policy output of implementing agencies	<ul style="list-style-type: none"> - Attainment of the objectives concerning the implementing agency - Conformity of policy decisions with program objectives 	<ul style="list-style-type: none"> - Independent variables influence the output of the implementing agencies - The process entails the evaluation of output and adjustments in the policy decision of the consortium 	The extent to which the implementing agency attained the program objectives	<ul style="list-style-type: none"> - Policy documents - Interviews
2. Target group compliance with	Modification of the behavior of the target	The extent to which the target group adjusts its	Amount of enforced actions	- Policy documents

policy outputs	group	behavior accordingly the program objectives		- Interviews
3. Actual impacts of policy outputs	Impacts that are related to the policy	What is the implementation achieving in satisfying the needs and expectations of society in addition to the objectives	System changes that are related to the policy	- Policy documents - Interviews - Media coverage
4. Perceived impacts of the policy outputs	Impacts that sovereigns and constituency groups relate to the policy	Latent impacts related to the policy may lead to adjustments in the objectives or mandates	<ul style="list-style-type: none"> - Perception of sovereigns and constituency groups regarding the policy outputs - Adjustments to the policy objectives or mandates that are related to this perception 	<ul style="list-style-type: none"> - Policy documents - Interviews - Media coverage

Source: the author (2015).

Annex 3. Analysis tables policy documentation.

Title	Date	Number	Origin of organisation
MATRA modernised.	16 October 2009		Ministry of Foreign Affairs
Aanbestedingsdocument meervoudige onderhandse aanbesteding: MATRA PATROL	15 May 2012	FEZ/IM-283/2012	Ministry of Foreign Affairs
Besluit van de minister van Buitenlandse Zaken van 12 juli 2013	12 July 2013	DEU-0575/2013	Ministry of Foreign Affairs
Evaluation report MATRA programme	April 2014		APE and MDF
MATRA Pre-Accession Training on Rule of Law			The Hague Academy for local governance

Table: Policy documentation in analysis. Source: the author (2015).

Component	Factor	Presence	Positive score	Negative score
<i>Tractability of the problem</i>	1. Technical difficulties	1	✓	
	2. Diversity of target group behaviour	-		✓
	3. Target group as a percentage of the population	0		
	4. Extent of behavioural change	-		✓
<i>Ability of the statute to structure implementation</i>	5. a. Clear objectives	1	✓	
	b. Consistent objectives	1	✓	
	6. a. Causal linkages	1	✓	
	b. Causal theory	-		✓
	7. Initial allocation of financial resources	-		✓
	8. Hierarchical integration within and among implementing institutions	0		
	9. Decision rules of implementing agencies	0		
	10. Recruitment of implementing officials	0		
<i>Nonstatutory variables affecting implementation</i>	11. Formal access by outsiders	0		
	12. Socioeconomic conditions and technology	0		
	13. Public support	0		
	14. a. Attitudes of constituency groups	0		

	b. Resources of constituency groups	0		
	15. Support from sovereigns	0		
	16. a. Commitment of implementing officials	0		
	b. Leadership skills of implementing official	0		

Table: analysis table independent factors MATRA modernised (2009), (2015).

Factor	Presence	Positive score	Negative score
1. Policy output of implementing agencies	0		
2. Target group compliance with policy outputs	0		
3. Actual impacts of policy outputs	0		
4. Perceived impacts of the policy outputs	0		

Table. Analysis table affecting factors MATRA modernised (2009), (2015).

Component	Factor	Presence	Positive score	Negative score
<i>Tractability of the problem</i>	1. Technical difficulties	0		
	2. Diversity of target group behaviour	1	✓	
	3. Target group as a percentage of the population	0		
	4. Extent of behavioural change	-		✓
<i>Ability of the statute to structure implementation</i>	5. a. Clear objectives	1	✓	
	b. Consistent objectives	1	✓	
	6. a. Causal linkages	-		✓
	b. Causal theory	0		
	7. Initial allocation of financial resources	-		✓
	8. Hierarchical integration within and among implementing institutions	0		
	9. Decision rules of implementing agencies	0		
	10. Recruitment of implementing officials	0		
<i>Nonstatutory variables affecting implementation</i>	11. Formal access by outsiders	0		
	12. Socioeconomic conditions and technology	0		
	13. Public support	0		
	14. a. Attitudes of constituency groups	0		
	b. Resources of constituency groups	0		
	15. Support from sovereigns	0		
	16. a. Commitment of implementing officials	0		
	b. Leadership skills of implementing official	0		

Table; Analysis table independent factors DEU 0575/2013 (2015).

Factor	Presence	Positive score	Negative score
5. Policy output of implementing agencies	0		
6. Target group compliance with policy outputs	0		
7. Actual impacts of policy outputs	0		
8. Perceived impacts of the policy outputs	0		

Table. Analysis table affecting factors DEU 0575/2013 (2015).

Component	Factor	Presence	Positive score	Negative score
<i>Tractability of the problem</i>	1. Technical difficulties	1	✓	
	2. Diversity of target group behaviour	1	✓	
	3. Target group as a percentage of the population	1	✓	
	4. Extent of behavioural change	1	✓	
<i>Ability of the statute to structure implementation</i>	5. a. Clear objectives	1	✓	
	b. Consistent objectives	1	✓	
	6. a. Causal linkages	-		✓
	b. Causal theory	-		✓
	7. Initial allocation of financial resources	1	✓	
	8. Hierarchical integration within and among implementing institutions	1	✓	
	9. Decision rules of implementing agencies	1	✓	
	10. Recruitment of implementing officials	1	✓	
<i>Nonstatutory variables affecting implementation</i>	11. Formal access by outsiders	0		
	12. Socioeconomic conditions and technology	0		
	13. Public support	0		
	14. a. Attitudes of constituency groups	0		
	b. Resources of constituency groups	0		
	15. Support from sovereigns	0		
	16. a. Commitment of implementing officials	1	✓	
	b. Leadership skills of implementing official	1	✓	

Table. Analysis table independent factors APE/MDF (2015).

Factor	Presence	Positive score	Negative score
9. Policy output of implementing agencies	1	✓	
10. Target group compliance with policy outputs	1	✓	
11. Actual impacts of policy outputs	0		
12. Perceived impacts of the policy outputs	0		

Table. Analysis table affecting factors APE/MDF (2015).

Component	Factor	Presence	Positive score	Negative score
<i>Tractability of the problem</i>	1. Technical difficulties	1	✓	
	2. Diversity of target group behaviour	-		✓
	3. Target group as a percentage of the population	-		✓
	4. Extent of behavioural change	-		✓
<i>Ability of the statute to structure implementation</i>	5. a. Clear objectives	1	✓	
	b. Consistent objectives	1	✓	
	6. a. Causal linkages	-		✓
	b. Causal theory	0		
	7. Initial allocation of financial resources	1	✓	
	8. Hierarchical integration within and among implementing institutions	1	✓	
	9. Decision rules of implementing agencies	1	✓	
	10. Recruitment of implementing officials	1	✓	
<i>Nonstatutory variables affecting implementation</i>	11. Formal access by outsiders	0		
	12. Socioeconomic conditions and technology	0		
	13. Public support	0		
	14. a. Attitudes of constituency groups	0		
	b. Resources of constituency groups	0		
	15. Support from sovereigns	0		
	16. a. Commitment of implementing officials	0		
	b. Leadership skills of implementing official	0		

Table. Analysis table independent factors FEZ/283/2012 (2015).

Factor	Presence	Positive score	Negative score
13. Policy output of implementing agencies	0		
14. Target group compliance with policy outputs	0		
15. Actual impacts of policy outputs	0		
16. Perceived impacts of the policy outputs	0		

Table. Analysis table affecting factors FEZ/283/2012 (2015).

Component	Factor	Presence	Positive score	Negative score
<i>Tractability of the problem</i>	1. Technical difficulties	1	✓	
	2. Diversity of target group behaviour	0		
	3. Target group as a percentage of the population	0		
	4. Extent of behavioural change	-	✓	
<i>Ability of the</i>	5. a. Clear objectives	1	✓	

<i>statute to structure implementation</i>	b. Consistent objectives	1	✓	
	6. a. Causal linkages	-		✓
	b. Causal theory	0		
	7. Initial allocation of financial resources	0		
	8. Hierarchical integration within and among implementing institutions	0		
	9. Decision rules of implementing agencies	0		
	10. Recruitment of implementing officials	0		
	11. Formal access by outsiders	0		
<i>Nonstatutory variables affecting implementation</i>	12. Socioeconomic conditions and technology	0		
	13. Public support	0		
	14. a. Attitudes of constituency groups	0		
	b. Resources of constituency groups	0		
	15. Support from sovereigns	0		
	16. a. Commitment of implementing officials	0		
	b. Leadership skills of implementing official	0		

Table. Analysis table independent factors MATRA PATROL (2015).

Factor	Presence	Positive score	Negative score
17. Policy output of implementing agencies	0		
18. Target group compliance with policy outputs	0		
19. Actual impacts of policy outputs	0		
20. Perceived impacts of the policy outputs	0		

Table. Analysis table affecting factors MATRA PATROL (2015).

Annex 4. Analysis tables interviews; policy-makers.

Interview number	Date of interview
Interview 1	21-09-2015
Interview 2	08-10-2015

Source: the author (2015).

Component	Factor	Presence	Positive score	Negative score
<i>Tractability of the problem</i>	1. Technical difficulties	0		
	2. Diversity of target group behaviour	-		
	3. Target group as a percentage of the population	-		
	4. Extent of behavioural change	0		
<i>Ability of the statute to structure implementation</i>	5. a. Clear objectives	1	✓	
	b. Consistent objectives	1	✓	
	6. a. Causal linkages	1		✓
	b. Causal theory	1	✓	
	7. Initial allocation of financial resources	1	✓	
	8. Hierarchical integration within and among implementing institutions	1	✓	
	9. Decision rules of implementing agencies	1	✓	
	10. Recruitment of implementing officials	1	✓	
<i>Nonstatutory variables affecting implementation</i>	11. Formal access by outsiders	-		
	12. Socioeconomic conditions and technology	1	✓	
	13. Public support	0		
	14. a. Attitudes of constituency groups			
	b. Resources of constituency groups			
	15. Support from sovereigns	0		
	16. a. Commitment of implementing officials	1	✓	
	b. Leadership skills of implementing official	1	✓	

Table: Analysis table independent factors interview 1 (2015).

Factor	Presence	Positive score	Negative score
21. Policy output of implementing agencies	1	✓	
22. Target group compliance with policy outputs			
23. Actual impacts of policy outputs	0		
24. Perceived impacts of the policy outputs			

Table: Analysis table affecting factors interview 1 (2015).

Component	Factor	Presence	Positive score	Negative score
<i>Tractability of the</i>	1. Technical difficulties	1	✓	

<i>problem</i>	2. Diversity of target group behaviour	1		✓
	3. Target group as a percentage of the population	0		
	4. Extent of behavioural change	-		✓
<i>Ability of the statute to structure implementation</i>	5. a. Clear objectives	1	✓	
	b. Consistent objectives	1	✓	
	6. a. Causal linkages	1		✓
	b. Causal theory	1	✓	
	7. Initial allocation of financial resources	1	✓	
	8. Hierarchical integration within and among implementing institutions	1	✓	
	9. Decision rules of implementing agencies	1	✓	
	10. Recruitment of implementing officials	1	✓	
<i>Nonstatutory variables affecting implementation</i>	11. Formal access by outsiders	-		✓
	12. Socioeconomic conditions and technology	0		
	13. Public support	0		
	14. a. Attitudes of constituency groups	0		
	b. Resources of constituency groups	-		
	15. Support from sovereigns	1	✓	
	16. a. Commitment of implementing officials	1	✓	
	b. Leadership skills of implementing official		✓	

Table: Analysis table independent factors interview 2 (2015).

Factor	Presence	Positive score	Negative score
1. Policy output of implementing agencies	1	✓	
2. Target group compliance with policy outputs			
3. Actual impacts of policy outputs	0		
4. Perceived impacts of the policy outputs	1	✓	

Table: Analysis table affecting factors interview 2 (2015).

Policy implementers.

Interview number	Date of interview
Interview 4	22-10-2015
Interview 5	22-10-2015
Interview 6	12-10-2015

Source: the author (2015).

Component	Factor	Presence	Positive score	Negative score
<i>Tractability of the problem</i>	1. Technical difficulties	1	✓	
	2. Diversity of target group behaviour	-		✓
	3. Target group as a percentage of the population	-		✓
	4. Extent of behavioural change	0		
<i>Ability of the statute to structure implementation</i>	5. a. Clear objectives	1	✓	
	b. Consistent objectives	1	✓	
	6. a. Causal linkages	0		
	b. Causal theory	0		
	7. Initial allocation of financial resources	1	✓	
	8. Hierarchical integration within and among implementing institutions	1	✓	
	9. Decision rules of implementing agencies	1	✓	
	10. Recruitment of implementing officials	1	✓	
<i>Nonstatutory variables affecting implementation</i>	11. Formal access by outsiders	-		✓
	12. Socioeconomic conditions and technology	-		
	13. Public support	0		
	14. a. Attitudes of constituency groups			
	b. Resources of constituency groups			
	15. Support from sovereigns	0		
	16. a. Commitment of implementing officials	1	✓	
	b. Leadership skills of implementing official	1	✓	

Table: Analysis table independent factors interview 4 (2015).

Factor	Presence	Positive score	Negative score
1. Policy output of implementing agencies	-		
2. Target group compliance with policy outputs	-		
3. Actual impacts of policy outputs	-		
4. Perceived impacts of the policy outputs	0		

Table: Analysis affecting factors interview 4 (2015).

Component	Factor	Presence	Positive score	Negative score
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<i>Tractability of the problem</i>	1. Technical difficulties	1	✓	
	2. Diversity of target group behaviour	0		
	3. Target group as a percentage of the population	1	✓	
	4. Extent of behavioural change	0		
<i>Ability of the statute to structure implementation</i>	5. a. Clear objectives	1	✓	
	b. Consistent objectives	1	✓	
	6. a. Causal linkages	1	✓	
	b. Causal theory	1	✓	
	7. Initial allocation of financial resources	1	✓	
	8. Hierarchical integration within and among implementing institutions	1	✓	
	9. Decision rules of implementing agencies	1	✓	
	10. Recruitment of implementing officials	1	✓	
<i>Nonstatutory variables affecting implementation</i>	11. Formal access by outsiders	0		
	12. Socioeconomic conditions and technology	0		
	13. Public support	0		
	14. a. Attitudes of constituency groups	-		
	b. Resources of constituency groups	-		✓
	15. Support from sovereigns	0		
	16. a. Commitment of implementing officials	1	✓	
	b. Leadership skills of implementing official	1	✓	

Table: Analysis table independent factors interview 5 (2015).

Factor	Presence	Positive score	Negative score
1. Policy output of implementing agencies	-		
2. Target group compliance with policy outputs	-	✓	
3. Actual impacts of policy outputs	1	✓	
4. Perceived impacts of the policy outputs	0		

Table: Analysis table affecting factors interview 5 (2015).

Component	Factor	Presence	Positive score	Negative score
<i>Tractability of the problem</i>	1. Technical difficulties	0		
	2. Diversity of target group behaviour	1		✓
	3. Target group as a percentage of the population	0		
	4. Extent of behavioural change	1	✓	
<i>Ability of the statute to structure implementation</i>	5. a. Clear objectives	1	✓	
	b. Consistent objectives	1	✓	
	6. a. Causal linkages	1	✓	
	b. Causal theory	1	✓	
	7. Initial allocation of financial resources	1	✓	
	8. Hierarchical integration within and among implementing institutions	1	✓	
	9. Decision rules of implementing agencies	1	✓	
	10. Recruitment of implementing officials	1	✓	
<i>Nonstatutory variables affecting</i>	11. Formal access by outsiders	-		
	12. Socioeconomic conditions and technology	-		

<i>implementation</i>	13. Public support	-		
	14. a. Attitudes of constituency groups			
	b. Resources of constituency groups			
	15. Support from sovereigns	0		
	16. a. Commitment of implementing officials	1	✓	
	b. Leadership skills of implementing official	1	✓	

Table: Analysis table independent factors interview 6 (2015).

Factor	Presence	Positive score	Negative score
1. Policy output of implementing agencies	-		
2. Target group compliance with policy outputs	1	✓	
3. Actual impacts of policy outputs	-		
4. Perceived impacts of the policy outputs	1	✓	

Table: Analysis table affecting factors interview 6 (2015).

Annex 5. Table sources for analysis media coverage.

Title	Author	Date	Source	Section
Het westen moet democraten in Rusland steunen.	Olga de Haan	1 December 1998	NRC Handelsblad	Opinion
Beatrix vol lof over het nieuwe Roemenië	Olaf Tempelman	14 November 2001	De Volkskrant	Archive
Historici wroeten in verzwegen verleden Roemenië	Olaf Tempelman	3 March 2003	De Volkskrant	Archive
Moord en brand	Linda van Putten	26 April 2003	NRC Handelsblad	Opinion
Nederland bewijst persvrijheid in Roemenië slechte dienst	Jan van Groesen	20 January 2005	De Volkskrant	Opinion
Is de Roemeense kikker beledend?	Olaf Tempelman	7 October 2005	De Volkskrant	World
Geschiedenis als wapen van moderne maatschappij	Corine de Vries	22 December 2005	De Volkskrant	Showbizz and Culture
Nederland biedt Oekraïense musea hulp		8 June 2006	De Volkskrant	Showbizz and Culture
Nederlands netwerk in toekomstige EU	Wilmer Heck	23 May 2007	NRC Handelsblad	The Netherlands and Europe
Poetin bekritiseert Balkenende	Editors	13 November 2007	NRC Handelsblad	Archive
Arabische zomer wil maar niet aanbreken	Hans van Baalen and Koen van Ramshorst	6 August 2012	NRC Handelsblad	Opinion
Moslimbroederschap roept op tot miljoenenmars Egypte	Anouk van Kampen	16 August 2013	NRC Handelsblad	World

Source: the author (2015).

Annex 6. Interview script.

Although the framework by Mazmanian and Sabatier (1983) follows a certain structure, the interview is divided in different parts. For enhanced comprehension intended for the interviewee, the script starts with the structure of the statute, followed by the tractability of the problem, and the nonstatutory variables, and ends with the affecting factors of the process.

Introducing myself: discipline, Master thesis.

Introducing research: subject, goals, theory and methodology.

What to expect: number of questions, time frame.

Part one:

The section of the **ability of the statute to structure the implementation** addresses the structural variables. It offers an arrangement of variables that principally influence the liftoff and the acceptance of the policy implementation. It also deals with the ability of the policy decision to structure the implementation.

1. This part entails the understanding of the policy objectives, and the organisational and financial allocations by the government.

What is your opinion on the connection of the objectives of the programme and the motivation of the Ministry of Foreign Affairs for this policy? Were instructions precise, and clearly ranked? Where can you place your actions in the implementation, and are there complications in performing these actions?

2. This part entails questions concerning the implementing agencies.

What is your opinion about the selection, organisation and mutual

cooperation of the implementing agencies? Do you consider the financial allocation sufficient, and is this motivated?

3. This part entails the opportunities for outsiders in the implementation process. Are opportunities for participation by actors outside the implementing agencies present concerning the realization of the objectives?

Part two:

The section of the **tractability of the problem** addresses the material variables. It offers a contextualization of the key policy parameters, and reflects the fundamental intent of the policy.

1. This part entails questions to indicate the situational knowledge and understanding of the topic.

Do you consider the description of the problem and the causal linkages affecting the problem well defined? Are performance indicators developed?

2. This part entails questions concerning the target group.

Can you elaborate on the target group regarding the desirable behavioural change, and the target group as a percentage of the population?

Part three:

The section of the nonstatutory variables affecting the implementation addresses the contextual variables. It offers an understanding of the **variables that are influencing the process** although they are uncertain in advance of the implementation of the policy. It also gives insight on the effect of a variety of political variables on the balance of support for the objectives.

1. This part entails questions about the public and media support.

Do you have insight on the opinions of the public or the media regarding this policy? Can you elaborate on this, not only regarding their attitude towards the programme, but also concerning the resources of these groups?

2. This part entails the political support.

Do you consider the support from the government sufficient over time and constant? Does this result in sufficient financial resources, legal mandates and a direction of oversight to the implementing agencies?

3. This part entails the implementing officials.

Does the official develop adequate controls? And is the behaviour of the official positive regarding inspiring, and the ability to develop a culture of performance excellence?

Part four:

The implementation process as a whole is affected by the former factors, according to Mazmanian and Sabatier (1983). Hence, the process must also be understood in terms of its exclusive stages, which are determined as the *'feedback loop'*. They demonstrate the extent of **conformation between actual impacts and the program's objectives, and additionally the political system's summary evaluation of a statute.**

1. Does the evaluation of the output of the implementing agency lead to adjustments in the policy decision of the implementing agency?
2. Is modification of the behaviour of the target group present?
3. Are system changes that can be attributed to the policy output present? And are adjustments to the policy objectives or mandates present?

