

T.C.
MARMARA ÜNİVERSİTESİ
AVRUPA BİRLİĞİ ENSTİTÜSÜ

AVRUPA BİRLİĞİ SİYASETİ VE
ULUSLARARASI İLİŞKİLER
ANABİLİM DALI

**THE IMPACT OF PRE-ACCESSION
FINANCIAL ASSISTANCE POLICY OF THE
EUROPEAN UNION ON TURKISH
UNIVERSITIES**

DOKTORA TEZİ

Zeynep BÜKÜM

İstanbul - 2012

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Avrupa Birliği Enstitüsü

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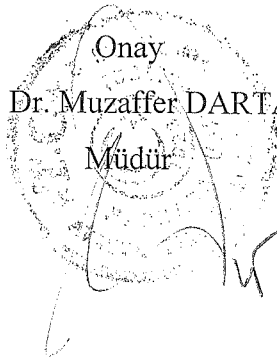
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ÖZET

Avrupalılařma günümüzde hala tartıřmaya açık bir kavram olduđu gibi tek bir Avrupalılařma teorisi de bulunmamaktadır. Bununla birlikte Avrupalılařma alıřmaları hem Avrupa Birliđi üye ölkelerinde hem de aday ölkelerde hızla geliřen bir arařtırma alanını oluřturmaktadır. Avrupa Birliđi'nin aday ölkelerdeki etkisi üye ölkeler ile karřılařtırıldıđında kısıtlı olmasına karřın, Avrupalılařma alıřmaları aday ölkelerdeki deđiřim süreçleri ve aktörlerini de analiz etmeye yardımcı teorik yaklařımlar sunmaktadır. Bu teorik yaklařımlardan biri olan sosyolojik kurumsalcılık yaklařımı, aday ölkelerdeki etkinin mekanizmalarına ve süreçlerine ışık tutmaktadır.İlgili Avrupa Birliđi politikalarından etkilenen aktörlerin geçirdikleri deđiřimin biliřsel boyutlarını incelemek de adaptasyon süreçlerinde aktörlerin organizasyonel ve bireysel öğrenmeden nasıl etkilendiđini anlamak açısından gereklidir. Bu çerçevede aday ölkelerde, deđiřimi tetikleyen faktörleri ve aralarındaki etkileřimi ortaya koyacak şekilde modeller oluřturmak, aday ölkelerdeki deđiřimin niteliđini anlamak ve Avrupalılařma literatürünün geliřmesine yardımcı olmak için önemlidir. Bu tezin amacı da Türkiye'de Avrupa Birliđi'nin Katılım Öncesi Mali Yardım Politikası'nın neden olduđu kurumsal deđiřikliklere yol açan biliřsel bileřenleri, bu politika alanının en önemli faydancılarından biri olan üniversiteler temelinde incelemek ve bu kapsamda bir model oluřturmaktır. Tez, bu politika temelinde üniversitelerin organizasyonel yapısını oluřturan biliřsel bileřenlerinin, belli kořullar kapsamında ılımlı derecede bir adaptasyona yol açtıđını öne sürmektedir.

Anahtar Kelimeler: Avrupalılařma, sosyolojik kurumsalcılık, Türkiye'deki üniversiteler, Katılım Öncesi Mali Yardım Politikası

ABSTRACT

Europeanization is still a contested concept and there is no single grand theory of Europeanization that can help us to understand how domestic institutions change through processes of adaptation. Although the EU (European Union) impact and mechanism of change are limited compared to those in Member States, Europeanization studies can still shed light on the process of change and agents of change in candidate countries. Among all approaches, sociological institutionalism seems helpful in providing necessary questions researcher to explore the mechanism of impact and process of change with a bottom up perspective considering the cognitive dimension of specific institutional and individual responses to the certain policies in the candidate countries. Pre-accession Financial Assistance Policy (PFAP) is one of those areas where sociological institutionalism can be applied to trace the institutional change as a response to adaptational processes. One group of the receivers and beneficiary institutions of PFAP of the EU in Turkey is the universities. In that context, this thesis asserts that under certain scope of conditions which might affect likelihood of domestic change, cognitive components of the organizational structure of the universities become helpful in overcoming the uncertainties and filter the adaptational pressure emanated from the PFAP through providing appropriate ways of action between institutional levels and lead to modest degree of adaptation. Studying cognitive dimensions of the organizational structures under certain scope of conditions help us understanding how adaptation processes take place inside the organizations and existing structures, processes and performances are affected by organizational and individual learning during the adaptation processes.

Keywords: Europeanization, sociological institutionalism, universities in Turkey, Pre-accession Financial Assistance Policy

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LIST OF ABBREVIATIONS

ABGS	Secretariat General of EU Affairs in Turkey
ARDSA	Agriculture and Rural Development Support Agency
CAP	Common Agricultural Policy
CEEC	Central and Eastern European Countries
CFCU	Central Finance and Contracting Unit
EAFRD	European Agricultural Fund for Rural Development
EAGGF	European Agricultural Guidance and Guarantee Fund
EC	European Commission
ENPI	European Neighbourhood and Partnership Instrument
ESF	European Social Fund
EU	European Union
DIS	Decentralized Implementation System
FIFG	Financial Instrument for Fisheries Guidance
FQA	Frequently Asked Questions
GDP	Gross Domestic Product
HEC	Higher Education Council
IPA	Instrument for Pre-accession
ISPA	Instrument for Structural Policies for Pre-Accession
NCO	National Coordination Office
NGO	Non-governmental Organisation
NSRF	National Strategic Reference Framework
NUTS	Nomenclature of Territorial Units for Statistics
OP	Operational Program
PFAP	Pre-accession Financial Assistance Policy
PCM	Project Cycle Management
PHARE	Poland and Hungary: Aid for Economic Restructuring
SEA	Single European Act
SAPARD	Special Accession Program for Agriculture and Rural Development
SMEs	Small and Medium-Sized Enterprises

SMSC Sectoral Monitoring Sub-Committees
TEU Treaty European Union
TÜBİTAK Scientific and Technological Research Council in Turkey

1. INTRODUCTION

Europeanization has emerged as a significant conceptual framework to understand the transformative power of the European Union (EU) in candidate countries. Although the EU impact and mechanisms of change are limited compared to those in Member States, Europeanization studies can still shed light on the process of change and agents of change in candidate countries. Hence this thesis, intends to contribute the Europeanization research agenda through focusing on cognitive dimensions of organizational capacity that help to explain the mechanisms of change and extent of the impact in candidate countries.

1.1. Aim

The main aim of this thesis is to analyse the process of change caused by the impact of Pre-accession Financial Assistance Policy (PFAP) of EU on the institutional structures of universities in Turkey. It, therefore, aims to investigate the scope of conditions which likely to affect the change (Börzel and Risse, 2012:1), the mechanisms which the change occurs through and outcomes as the extent of the impact if there is a change in institutional structures of the universities in Turkey in response to the PFAP of the EU.

The increasing significance of Europeanization studies both in quality and quantity since the late 1990s reveal that research agendas include detailed analysis of EU induced change in domestic structures. Although it is still considered as a contested concept, 'Europeanization' can generally be defined as domestic change caused by European Union due to the diffusion of its rules, norms and policies through different mechanisms to the member and candidate countries. Although there are criticisms raised against the widely accepted top-down perspective on the ground that it prejudices the EU as the main source of domestic change, as Börzel and Risse (2012a:2) emphasize the mechanisms of Europeanization are compatible with the study of transnational diffusion, especially to explore the more indirect ways in which the EU may affect domestic institutional change. Moreover, searching for the casual

explanation of change is not limited with the member countries. European Union also matters to candidate countries. However, the mechanisms of Europeanization and the factors that might affect the direction of change in candidate countries are different from those in member countries. To meet the demands of membership, all actors in candidate countries have to confront the EU influence on domestic politics, policies and structures. To illustrate the “compliance pull” (Börzel and Langbein, 2012, in Börzel and Risse, 2012a: 3) -including compliance to the *acquis communautaire* and EU ways of doing things (Radaelli, 2000: 4)- is also at work in Turkey for the actors if they want to do work, collaborate, interact with the EU and their counterparts in its member countries. Thus, financial assistance is usually regarded as an effective tool to challenge existing structures and patterns of interaction between actors and to foster change in candidate countries.

The financial cooperation between Turkey and EU started from Ankara Agreement (1963) and implemented under Financial Protocols until the Customs Union Decision in 1996. According to the framework of Customs Union Decision and in accordance with the Turkey-EU Association Council Decision No 1/95, Turkey was able to access EU budgetary sources and EU’s credit and grants under programs designated for the Mediterranean non-member countries. When Turkey's status as a candidate country was recognized by the EU at the Helsinki Summit (1999) Turkey-EU relations entered into a new phase. In that context, the quality and quantity of the aid provided to Turkey also changed. The EU declared that same conditions with other candidate countries would be valid for Turkey during the pre-accession period. In this context, the EU has provided approximately a total of 4,468 billion Euro of financial assistance to Turkey between the years 2000-2010¹. A closer look at the period between 1964 and 2010 shows that a total of 6,455 billion Euro of financial assistance has been

^{1 1} This information is obtained from the table 3 which is prepared by the author according to the information sent by General Secretariat of EU Affairs in Turkey in 14.11.2008 and 13.10.2011 in the context of law of information, and the information in the formal website of State Planning Institution, www.abfonlari.gov.tr in 24.04.2012

transferred to Turkey, 3,333 billion Euro of which is as credits and 3,121 billion Euro which is as grants².

In order to implement and benefit from the Pre-accession Financial Assistance Policy (PFAP) of the EU, one can easily follow new implementation arrangements incorporated into the governmental structure of state in Turkey which is the first receiver of the policy from the official website of Secretariat General of EU Affairs in Turkey. The beneficiaries of the assistance include not only the state but also local authorities, business support organisations and agencies, cooperatives, civil society and public bodies. One group of the receivers and beneficiary institutions of PFAP of the EU in Turkey is the universities. In order to benefit from the policy, universities have to propose a project complying with the eligibility conditions imposed by the EU and manage them according to the model including legal templates, rules, procedures designed in the EU level. Many universities in Turkey applied for the EU programs under PFAP and run their projects after 1999. In that context, this thesis assumes that the adaptational pressure to comply with the model has challenged the existing institutional structures of the universities in Turkey and created misfits between their own institutions and institutions at EU level.

There are supporting formal institutions like the Scientific and Technological Research Council in Turkey (TÜBİTAK), Secretariat General of EU Affairs in Turkey (ABGS), State Planning Organization in Turkey (DPT), Central Finance and Contracting Unit (CFCU), National Agency and low multiple veto points (i.e. institutions, parliament, parties or societal actors who have blocking power on policy change) that filter the adaptational pressure emanated by EU and help the universities by providing ideational and material resources to exploit the policy. However, the question here is whether if their existence are sufficient to explain why some universities were empowered and benefit from the EU's PFAP, while the others in the same national context were disempowered.

In that context, the goal of this thesis is twofold: to investigate the views of the policy beneficiaries in the universities on the other institutional factors which decrease

² Ibid.

uncertainty and influence their perceptions and interpretations about the EU model [thus in turn affect their response to the adaptational pressure caused by the EU], and to provide a model of mechanisms of institutional change in Turkish universities.

1.2. Main Hypothesis & Research Questions

Europeanization has taken different meanings throughout the history, however it can generally be defined as domestic change caused by European Union due to the diffusion of its rules, norms and policies through different mechanisms to the member [and candidate] countries. Since late 1990s the concept Europeanization come to denote “a distinctive research area” (Sedelmeier, 2006:4) in EU studies. The literature is rich with the conceptualization of the definition of Europeanization which is still contested (i.e. Ladrech, 1994; Lawton,1999; Börzel, 1999; Bomberg and Paterson, 2000, Harmsen and Wilson, 2000; Goetz and Hix 2000; Risse, Cowles, and Caporaso, 2001; Bulmer and Burch, 2001; Buller and Gamble, 2002; Radaelli, 2003; Bache, 2003; Mair, 2004), approaches explaining the mechanisms and outcomes of Europeanization (i.e. Dolowitz and Marsh, 1996, Knill and Lehmkuhl, 1999; Risse, Cowles, and Caporaso, 2001, Olsen , 2002; Börzel and Risse, 2000, 2003, 2012; Radaelli, 2003; Caporaso, 2007), studies about the impact of the EU on domestic institutions, policies, processes, discourse (i.e. Radaelli, 2000; Guilinani, 2000; Mair, 2000; Schmidt, 2001; Börzel, 2003; Kassim, 2003; Bulmer and Radaelli, 2005), and the Europeanization research designs (Vink, 2002; Haverland, 2005; Howell,2004; Radaelli and Exadaktilos; 2009).

Early studies identify outcomes for the extent of the impact of EU or the scope and direction of domestic change by referencing the domestic structures of EU member states. However, the literature on Europeanization in the EU is relevant not only to the studies in EU Member States but also candidate countries because they are affected by substantially the same independent variable (i.e. *acquis communautaire*). Their accession to the EU depends on adapting and implementing already existing EU law. In that context, after 2000, the impact of EU on new member and candidate countries has also been growingly studied by many scholars (i.e. Grabbe, 2001, 2006; Schimmelfennig and Sedelmeier, 2006; Sedelmeier, 2011, Börzel and Langbein, 2012, Noutcheva and Düzgit, 2012). As a candidate country, Turkey is also subject of studies

focusing on the EU's impact on democratisation (Diez, 2005; Heper, 2005; Müftüler Bac, 2005; Kubicek, 2005; Oniş; 2007, Oniş and Yılmaz, 2009; Tocci, 2005), civil society (i.e. Rumelili, 2005, İnan 2012), decentralization (i.e. Çelenk, Güney, 2010), discourse (i.e. Taniyıcı, 2010), minority rights (i.e. Kısacık, Zelal, 2010), foreign policy (i.e. Terzi, 2011; Müftüler Baç, 2011; Üstün, 2010), migration policy (i.e. Özküçümez, 2011), multi-level governance, regional policy (i.e. Ertugal, 2010), and on employment policies (i.e. Bölükbaşı, Ertugal, 2012). This thesis, thus, aims to contribute to the literature by exploring the mechanisms of the impact of EU by choosing a specific EU policy (Pre-accession Financial Assistance Policy) on domestic actors and by choosing a specific type of domestic institutions (universities), in a candidate country (Turkey). To this end, this thesis focuses on cognitive dimensions of organizational capacity (institutional cognitive components) analysing the policy beneficiaries interpretations on the adaptational processes.

EU provides financial assistance to candidate and potential candidate countries and helps them to introduce the necessary political, economic and institutional reforms in line with EU standards. The universities as one of the beneficiary institutional groups of the policy have benefited considerable amount of financial assistance during the candidacy period, thus, exposed to adaptational pressure by the EU. For instance, TÜBİTAK (2006) stated in an analysis that the universities came first among various types of institutions in applying to the 6th Framework Program³ of the EU and constituted %51 of the total number of the applicants from Turkey. In the same analysis, the number of the applications done by Turkish universities to the 6th Framework Program is stated as 2.947, whereas the number of the projects found successful by the EU is 453. Although the success rate of universities in Turkey is adequate according to the average level that indicates %12 of the total applications are funded by the EU, it can be increased. In that context, researching the mechanisms that could explain why some universities were empowered and benefit from the policy, while the others were disempowered becomes a critical question not only for academic purposes but also for our country in order benefit more efficiently from the PFAP of the EU, because

³ Based on the Treaty establishing the European Union, the Framework Program has to serve two main strategic objectives: Strengthening the scientific and technological bases of industry and encourage its international competitiveness while promoting research activities in support of other EU policies.

although the amount and the priorities of the financial assistance is determined by EU, the distribution to the issue areas in Turkey are determined according to the national programs and multi-annual frameworks prepared by government in cooperation with the beneficiary domestic institutions like universities.

This thesis assumes that the ability of universities as one of the addressed beneficiaries to explore the opportunities brought by the PFAP of EU and run their projects under the programs of PFAP is very much dependent on the cognitive dimensions of their organizational capacity. The underlying reasons are that the application and implementing procedures of the projects according to the EU model compromises uncertainty and that definitely new processes are full up with actors, rules, understandings different from the ones that the university staff previously engaged in. The model including new rules (co-financing, cooperation), systems (de-centralized implementation system) and new concepts (project cycle management related concepts like logical framework analysis, dissemination, and sustainability) are totally new for the universities. There was enormous uncertainty for them to make simple calculation of optimality about the policy benefiting processes. Moreover, EU does not publish the detailed real samples of successful projects and project management documents which are compatible with the EU rules, procedures, styles, however it draws a frame for them and lead filling it to the cognitive components of the universities. If they are not able to re-configure organizational capabilities to acquire, store, transform, and utilize knowledge fit with the EU models, they are excluded from the funding opportunities.

There are supporting formal institutions, low multiple veto points in the national context, however since the process is also new for them and they are also in learning process during 1999-2010, their knowledge and expertise might remain limited for some of beneficiaries. Also the information promoted by these agents is fragmented for the recipient beneficiaries because required information about programs under PFAP of EU is promoted by many different agents. For instance, if a university decides to benefit from the Framework programs of EU, they have to contact with TÜBİTAK and EU Commission, if they find appropriate to apply Erasmus program, they have to appeal to National Agency, if the program grants are transferred under IPA (Instrument

for Pre-accession), and they have to apply Central Finance and Contract Unit (CFCU). They were in a hub of flux of information directed by many agents, their existing institutional set up and the question was what the appropriate ways, methods were to benefit from the policy.

Many universities in Turkey established EU project management units in their institutional structure as an answer to this question (İzci *et al*, 2010). These units work with academics by considering the micro-level variables rather than macro-level as supporting formal institutions do, create institution specific solutions to the problems which are both congruent with the directives and procedures in all levels (EU, national, institutional). They have the expertise on the content of the goals and procedures of both EU and their institution, detailed knowledge about the interests, ways of doing things, personalities of the academics, and promote knowledge and clarify the mutual expectations in all administrative levels. In that context, studying the internal processes of the organizational structures of the universities with regard to their involvement with the PFAP, might offer alternative mediating factors rather than the supporting formal institutions, veto players, norm entrepreneurs and cooperative informal institutions which are external to their organizational structures. In line with this reasoning this thesis is based on the below hypothesis:

One of the mediating factors that filter the adaptational pressure brought by the Pre- Accession Financial Assistance Policy of the EU during 1999-2010 for the universities in Turkey is the credentials of cognitive components of their institutional structure which are strongly related with the existence of their organizational capabilities to acquire, store, transform, and utilize knowledge, and thus helpful in explaining the mechanisms of institutional change for universities in order to benefit from the policy.

The term cognition comes from the Latin verb *congnosco*, meaning ‘learning’. By cognition, with reference to Schneider and Angelmar (1993:356), this thesis means to the ability of the organizations to acquire, store, transform, and utilize knowledge. In that context, the cognitive components can be basically identified as the elements of an organization that provide the frames of meaning guiding individuals to act on behalf of

the organization. When cognitive capacities are considered, perceptual, intellectual, learning capacities embedded in the organizations are referred in this thesis. They are related with processes of thought which support or inhibit how the individuals in institutional context perceive opportunities brought by the policy, thus, influencing their preferences and behaviour. In order to test the hypothesis, the below questions are to be investigated:

1) Do the cognitive components of the institutional structures of the universities in Turkey have role in benefiting the Pre-Accession Financial Assistance Policy of the EU and adapting its requirements during 1999-2010? If yes, which cognitive components did have a role and how their roles are defined by the policy beneficiaries working in universities?

2) Does the Pre-Accession Financial Assistance Policy of the EU change the ways of doing things, beliefs and understandings, collective opinions, skills, institutional procedures and processes, institutional relations in the beneficiary universities during 1999-2010? If yes, to what extension they have been changed?

The research conducted covers an 11 years period from the Helsinki Summit in 1999 to 2010. 1999 is year that the PFAP is started to be implemented in Turkey and that the research was conducted in 2010.

1.3. Design & Methodology & Data Collection Methods

The literature has identified several mechanisms through which Europeanization can affect the member states (i.e. Dolowitz and Marsh, 1996, Knill and Lehmkuhl, 1999; Risse, Cowles, and Caporaso, 2001, Olsen, 2002; Börzel and Risse, 2000, 2003, 2012; Radaelli, 2003; Caporaso, 2007). In that context, theoretical framework of the thesis will be based on the Europeanization theories. The goal is not to capture of all possible explanations, but to gain a deeper theoretical understanding of Europeanization and facilitate the development of analytic frames used in this research. Olsen (2002: 921) states that Europeanization is a “contested” concept and has no single precise and stable meaning; however it is used to describe variety of phenomena and process of change. In this thesis, Radaelli’s (2000:4) definition is taken as the basic

definition for the conceptual framework since he offers a comprehensive and insightful definition not only applicable to member states but also to candidate countries:

processes of a) construction, b) diffusion and c) institutionalization of formal and informal rules, procedures, policy paradigms, styles, 'ways of doing things', shared beliefs and norms which are first defined and consolidated in the EU policy process and then incorporated in the logic of domestic (national and subnational) discourse, political structures and public policies(Radaelli, 2000:4).

Although there are various definitions of Europeanization, they reveal a number of common themes and conclusions (Bache 2003; Lawton 1999). Börzel (2003:3) explains these commonalities and states that most of the theoretical approaches explaining Europeanization rest on two common assumptions:

The impact of Europe on members states is differential, varies across Member States and policy areas.

This impact can be explained by the "goodness of fit" between the European and national policies, institutions and processes, on the one hand, and the existence of "mediative factors" or "intervening variables" that filter the domestic impact of Europe, on the other hand.

Börzel and Risse (2000:5) state that most studies find that there must be some "misfit" (Börzel 1999; Duina 1999) or "mismatch" (Héritier, Knill, Mingers, 1996) between European and domestic policies, processes, and institutions. Börzel and Risse (2000:5) read the proposition from the end and assert that the "goodness of fit" (Risse, Cowles, and Caporaso 2001) or congruence between the European and the domestic level determines the degree of pressure for adaptation generated by Europeanization on the member states. The lower the compatibility between European and domestic processes, policies, and institutions, the higher is the adaptational pressure Europe exerts on the member states (Börzel and Risse, 2000: 5). Although, as Radaelli (2003:45) points out that goodness of fit argument is not without problems, it is helpful in the study of transnational diffusion, especially to capture the more indirect ways in which the EU may affect domestic or regional institutional change.

Börzel and Risse (2000:6) assert that goodness of fit is necessary but not a sufficient condition to explain the mechanisms of change. There should be "mediative

factors” or “intervening variables” that filter the domestic impact of Europe. For instance, Radaelli (2003:46-50) identifies intervening variables as institutional capacity, presence or absence of veto players in the political system, scope and type of executive leadership, the timing of the European policies and the policy structure and the advocacy coalitions. Börzel and Risse (2000:6), identify them as multiple veto players and the facilitating formal institutions if the Europeanization mechanism is explained by logic of consequentialism (March and Olsen, 1989, 1998). Other intervening variables are norm entrepreneurs (i.e. epistemic communities including networks of actors which legitimate new norms and ideas by providing scientific knowledge about cause and effect or advocacy networks bound together by shared beliefs and values about the policy) and cooperative informal institutions (i.e. civic, religious, kinship, and other societal rules and organizations which are created and enforced outside of officially sanctioned channels help consensus building and burden sharing about the implementation of the policy) if the logic appropriateness (March and Olsen 1989,1998) is followed. Risse, Cowles, and Caporaso (2001:7) also employ five mediating factors: multiple veto points, formal institutions, differential empowerment of actors, and learning, political and organisational culture.

Thus, scholars employ various mechanisms to explain the likelihood and direction of change. For instance, Scharpf (1996, 1999) employed mechanisms as positive and negative integration. Knill and Lehmkuhl (1999) add framing to these mechanisms, while Börzel and Risse (2000, 2003) defines that mechanisms can explained by rational choice and sociological institutionalism. Radaelli (2003) points out the vertical and horizontal mechanisms, whereas Dolowitz and Marsh (1996 in Bache 2003:11) identifies two types of Europeanization of which are the voluntary, the second is coercion. Goetz and Hix (2000:11) assert that political outcomes at European level have two types of impact which are direct and indirect and Bache (2003:11) highlights voluntary-direct, voluntary-indirect Europeanization and similarly coercive-direct and coercive-direct Europeanization. How these variables filter adaptational pressure and related mechanisms is discussed in thoroughly chapter 2, drawing the theoretical framework of the thesis.

Radaelli (2003:50) indicates that top down logic in which the only aim is to find out the domestic effects of independent variable defined at EU level may lead the researcher to an explicit treatment of causality. In that sense, he emphasizes the ‘inside out’ or ‘bottom up’ perspective on Europeanization as a research strategy. He asserts (2003:51) that researcher should look at the individual and institutional choices. The same logic was followed by Haverland. He claims (2005:2) that the selection of the key independent variable, the EU, shows no variation. He contends (2005:3) that researcher can mentally construct the situation in which the EU variable is absent and create a counterfactual scenario or include non EU cases to his/her research. Börzel and Risse (2012a:2) maintain that they are aware of the criticism to the top-down perspective which tends to presupposing the EU as the main source of domestic change. They underline (2012:2) that the EU is not the only source of regional or domestic institutional change, even in the candidate countries for which the EU accession requires direct institutional changes, however, they argue (2012:2) that mechanisms and scope conditions of Europeanization are largely compatible with various factors identified in the study of transnational diffusion, especially to capture the more indirect ways in which the EU may affect domestic or regional institutional change.

Taking into account of all these the criticisms, the case in this thesis benefits from the explanations of concepts and mechanisms to the extent that they do not exclude each other and that they characterize different phases in process of adaptational change. The intention is not to reach generalizations, but to seize contextual findings to understand the process of change and explore its richness, depth, and complexity. As Bulmer and Radaelli (2004:7) highlight owing to its variegated character it is not easy to provide a single research strategy or analytical framework to analyse the impact of Europeanization on domestic level. For instance, the mechanism of diffusion of EU rules, models, and ways of doing things might firstly starts through vertical mechanisms, than continues by indirect framing mechanism when it hits to the second receivers of the policy.

According to Börzel and Risse (2000:9), if the logic of appropriateness is followed, norm entrepreneurs and cooperative informal institutions act as filters for

adaptational pressure. At this point, two questions need to be answered: what will happen whether if actors are responded to adaptational pressure according to the logic of appropriateness and there is no norm entrepreneurs and cooperative informal institutions external to their own institutions? Can't there be internal institutional factors like cognitive components of their institutional structure that may drive them to interpret EU's policy and help them to understand and propose an appropriate response to the policy? Therefore, limitation of the case in this thesis becomes helpful for a researcher to find the route among these various mechanisms and contested concepts. In that context, this thesis aims at exploring the mechanisms of the impact of EU by choosing a specific EU policy (Pre-accession Financial Assistance Policy) on domestic actors by choosing a specific type of domestic institutions (universities), in a non-member, candidate country (Turkey) for a specific time period (1999-2010) through focusing on cognitive dimensions of institutional capacity (cognitive components of their organizational structure) by considering the policy beneficiaries interpretations (in-depth interviews).

The main theoretical framework of the thesis is mainly based on the works of Knill and Lehmkuhl (1999), Börzel (1999, 2002, and 2003), Börzel and Risse (2003, 2012) and Radaelli (2000, 2003, 2004, and 2009) exploring Europeanization research agenda with multifaceted approaches. However, to invoke an organising perspective is necessary in order to find the route through these contested definitions and various mechanisms and to make a systematic investigation of the case. Organising perspective is not a theory including a well-confirmed type of explanation of nature made in a way consistent with a scientific method; however it provokes central questions about the nature of the case and provides insights that other frameworks might not have proposed (Gamble, 1990: 405). The organising perspective of this thesis is determined as sociological institutionalism because of two reasons: its view of human action and institutions, and institutional change. Accordingly, first part of chapter 2 is divided into two sections and explains the view of sociological institutionalism on human action and institutions, and institutional change through linking them to the case of the thesis.

The following chapter tries to draw a clear picture of the PFAP which is a very complicated process and to describe the position of universities in Turkey within this policy area based on legal documents. Radaelli (2003:35-36) employs a taxonomy that organizes research designs for the Europeanization studies. According to this taxonomy, he identifies the research domains of Europeanization, where the effects of Europeanization are supposed to materialize, as 1) domestic structures, 2) public policy, 3) cognitive and normative structures. For drawing a general frame, chapter 3 starts up with focusing on the first and second domains by exploring what is changed for the state institutions and policy implementing methods in Turkey in order to benefit from the PFAP of the EU. Here the aim is not to explore the institutional change in state emanated from the PFAP of EU. For identifying institutional change, this thesis adopts a view that not only the rules and procedures and but also the collective understandings attached to them (Börzel and Risse, 2003: 63) should be changed. The thesis searches for the changes in institutional structure of state from analysing the legal documents put into force by both EU and government in Turkey in order to draw the general implementing structure and understand where universities in this process are located. Investigating the institutional change in the state structure is out of scope of this thesis since it may constitute another thesis subject. The chapter 4 focuses on the third domain by defining the role of cognitive components in the institutional structure of the universities in adaptation processes during the policy benefiting processes. Finally chapter 4 dwells upon again the third domain by foregrounding the opinions of the beneficiaries working in the universities about the impact of the policy on their attitudes, ways of doing things, beliefs and understandings, collective understandings, skills, institutional procedures and processes, relations by referencing to their institutional structure.

For the methodologies, two types of research methodologies are employed in this thesis. The first one is secondary research (explained in chapter 3) and the second one is qualitative research (explained in chapter 4). In the secondary research phase the relation between the EU templates or model including regulations, directives, communications, guidelines about Pre-accession Financial Assistance Policy as independent variable and the change in institutional structure of the state including

institutions, policy implementing methods and procedures as dependent variable is researched. For the secondary research, as an outset, main logic, goals, legal basis, historical evolution and decision making rules of ‘Cohesion Policy and PFAP’ is briefly overviewed in chapter 3. The necessity of this overview rests on that the principles of PFAP of the EU are emanated from the logic of Cohesion Policy. For instance, one of the goals of the IPA (Instrument for Pre-Accession) which Turkey has benefited since 2006 is supporting the countries' preparations for the implementation of the Community’s Cohesion Policy, and in particular for the European Regional Development Fund and the Cohesion Fund. Therefore, overviewing the main tenets of the policy facilitates to understand the operating logic of Pre-accession Financial Assistance Policy of the EU for Turkey.

After this brief overview, in second part of Chapter 3, the changes in the state institutions, procedures, policy implementing methods in Turkey caused by the Pre-accession Financial Assistance Policy of EU are studied. The chapter includes the analysis of the EU templates, regulations, directives, operational rules, procedures about Pre-Accession Financial Assistance Policy for Turkey. The aim is to set forth the detailed operating model and the logic that EU offers Turkish government to follow for benefiting the policy. In that context, chapter 4 includes practical process flowcharts identifying the responsibilities of actors both from EU and Turkey’s side and also comprises the analysis of the templates that Turkish government enacted to meet the requirements set by the EU. So, the new mechanism including new administrative posts, implementing units incorporated into centralized institutional structure of state and the process starting from the planning to the auditing are explained in chapter 3. The third part of Chapter 3 aims at understanding where universities located in this process and scope conditions for them during the policy benefiting processes. As an outset, the institutional structure of the universities in Turkey is investigated from the legal codes in Turkey. The question is how the universities are managed in Turkey, which actors have a role in management and what their functions are. Secondly, the national financing policy for the universities during the research period is studied. These inputs help us in understanding the comments of the participants in qualitative research part. For instance, one of the questions is ‘what was your motivation to apply to the EU

programs?', and the answers have a potential to be related with the scarcity of funding by state. Consequently, overview about the national financing policy for the universities is thought to be helpful to understand the real phenomena and the participants' thoughts. For the final part, expected outcome is to understand the sources of uncertainties for universities during the incorporation of PFAP in Turkey.

The subsequent chapter is based on the qualitative research part; in-depth interviews with the leaders of the project cycle management teams of projects which were financially assisted by EU in ten universities in Turkey during 1999-2010 were conducted. In this part, the dependent variable is the change in institutional structure of universities including units, procedures, ways of doing things, ideas and collective understandings, the independent variable is the EU model for benefiting the policy including all rules and styles for project application and management processes, and the intervening variables are the cognitive components of the organizational structures of the universities. In that sense, the eventual aim is gathering an in-depth understanding of participants' behaviour as a response to the Pre-Accession Financial Policy of EU and the organizational variables that influenced their behaviour. The participants provided us causal explanations for what they had experienced and believed about the EU's policy, and connections they saw between particular phenomena about benefiting the policy and their real thoughts. Findings of qualitative research are explained in Chapter 4. Before going into the content of the Chapter 4, the characteristics and the content of the interviews, the profile of the participants and the activities undertaken to finalize the results were briefly explained in following sections.

The Characteristics and the Content of the Interviews

The interviews followed a semi-structured flow. That is to say, they had a plan however they are not structured as the questionnaires. They follow a flexible flow which permitted us to encourage the participants to talk at length about the topics. Every interview had duration between 1.00-1.30 hours and conducted in participant' offices or the places they feel comfortable. The interviews include below steps:

a) Warming up the Informant: In this part, it is aimed at explaining the aim of the interview, informing the participant about the duration of the interview, emphasizing that the answers are important, not their accuracy, telling that participant might not answer the question which he/she does not want to respond, telling that informant could give an end to the interview whenever he/she wants, notifying that the answers would constitute a part of a thesis however the confidentiality of their identities would be maintained

b) Interview: In this part, we firstly get permission for recording the interview, than pay attention to take the notes, maintain that the participants would be the spokespersons by % 90 rates in total talking duration. The questions are asked again if the answers are indefinite or complicated. The rules of the method of asking questions are defined before the interviews and followed during interview duration. According to these rules, the questions would be short and clear, be asked in an order. The questions asked would pave the way for the next question. The questions about experience/behaviours would be asked before the questions about the understandings/perceptions. The questions which would end up with a yes or no answer were to be avoided. The answers would not be interpreted during the interview and an atmosphere full up with mutual understanding were to be maintained.

d) Ending the Interview: In this part, we controlled that all the questions were asked and then the participant were asked if he/she would like to add anything else.

The Profile of the Participants

The participants were chosen among responsible persons of the project management teams of the universities in Turkey that were awarded by EU with the financial assistance under the programs during 1999-2010. They were academics holding different academic degrees such as dean, professor, lecturer, assistant professor and associate professor and coming from different backgrounds such as electronics, political science, history, aviation, food engineering, and marine sciences. Their contact details were reached by the internet through scanning the websites of the successful EU projects and compendiums released by CFCU for the successful projects.

The academics who took part in this research were whose projects were funded under different EU programs were deliberately chosen from universities located in different cities of Turkey. According to this criterion, the academics contacted were from the universities in İstanbul, Eskisehir, Konya, Antalya, Kayseri, Sinop, Gaziantep, Ankara, and Mersin and dispersed through Marmara, Central Anatolia, Black Sea, Mediterranean, and South East Anatolia Regions of Turkey. Among the universities nine of them were state universities and one was privately funded. Two of them were located in İstanbul; eight of them were out of İstanbul. Only for İstanbul, two universities were chosen from same city by considering that İstanbul is the largest city by constituting %18,2⁴ of total population in 2011. Only two academics from the same university were chosen by considering that the university's Marine Sciences Institute and Social Sciences Institute were located in different cities in different regions and had different institutional set up for EU projects. Some of the programmes that were run successfully by participants were 6th and 7th Framework Programs, Strengthening the Civil Society Dialogue in Turkey, Active Labour Initiatives, Erasmus, Leonardo Da Vinci, and Marie Curie-IRG (implementation structure of all these programs explained in detail in third section of chapter 4).

Activities Undertaken To Finalize the Results

In order to conduct the interviews the below activities were undertaken:

1) Preparation of Participant Participation Forms: In this form the name/surname, name of the university, faculty, project, the funding Program, the aim of the project, interview date and the contact details were included.

2) Preparation of the interview flow: Forty sub questions in order to gathering data for understanding the main two questions of this thesis were designed. The questions followed an order in which the questions asked would pave the way for the next question. Semiha Feyzioğlu who is working a senior qualitative research executive

⁴ This information is taken from the statistics part of formal website of Turkish Statistic Institution: <http://www.tuik.gov.tr/PreHaberBultenleri.do?id=10736>, web access date: 27.01.2012

in ipsos-kmg⁵ was consulted during the design of the flow. Moreover, Mr. Feyzioğlu gave two lectures about methods of conducting qualitative research to the PhD students in our institute. Interviews would be conducted in Turkish; therefore the questions were prepared in Turkish.

3) Maintenance of the Participants: An interview time plan was prepared according to the available days of the participants. Then the informants were communicated by phone and invited to the interviews formally.

4) Undertaking the interviews in nine cities: Since the interviews would have to be conducted in nine different cities geographically very far from each other, a considerable budget amount for the travel and accommodation were required. In that context, a project under the research funding programs of TÜBİTAK was proposed in order to provide the budget amount. TÜBİTAK found the project successful and transferred grant for the expenses.

5) Scripting the recordings: All of the recordings, notes gathered together and scripted down.

6) Analysis: Analysis of the interviews compromised three phases of which the first one is ‘coding the data’, the second one is ‘finding out the themes’ and the third one is ‘defining the data according to codes and themes’. For the first phase, the data were grouped under various categories. The categories included the data which have the same meaning in essence, however different in wording. The categories which include words, sentences consistent in meaning were named or coded. For the second part, the codes were be grouped under themes by considering the closeness of their meanings. For the third part, the information gathered from the coded and themed data were analysed and defined according to the subject of the thesis. As a result, the data were categorized under five themes in Chapter 4. The categorized themes-the sub sections of chapter 4- can be followed as below:

1. Perceptions of the EU and the Pre-Accession Financial Assistance Policy

⁵ Ipsos Kmg is one of the world's leading survey-based marketing research firms. Its formal website address is <http://www.ipsos-kmg.com/>, web access date: 27.01.2012

2. Misfits in the Institutional Levels
3. Roles of Formal Supporting Institutions, Veto Players, Norm Entrepreneurs, Cooperative Informal
4. Role of Cognitive Components in Their Organisational Structure
5. Impact of the Pre-Accession Financial Assistance Policy

The first theme focuses on the views and opinions of the participants about EU as an institution, the main motivations behind the states's bid of EU membership, main motivations to benefit from the Pre-accession Financial Assistance Policy, expectations of EU from the policy beneficiaries during the project application and management processes, EU's evaluation criteria.

The second theme focuses on the views and opinions of the participants whether the rules, procedures, values and ways of doing things in their institution fit with those at the EU level, and in which ways they differ from or fit with each other, as well as their past experiences about the problems they encountered during the project application and implementation processes and methods for overcoming the problems, characteristics or capacities for their institutions in order to manage the processes successfully and adapt the required necessities of EU.

Third theme highlights how the participants evaluated the role of formal institutions like TÜBİTAK, ABGS, DPT CFCU, National Agency, norm entrepreneurs, and cooperative informal institutions that provide universities with material and ideational resources necessary to exploit European opportunities and thus promote domestic adaptation during the policy benefiting processes.

Fourth theme focuses on analysis of the sub-questions about whether if the cognitive components of the organizational structures of the universities have role in the processes of benefiting the policy and which cognitive components have a role and how their roles are defined. For instance, how the learning processes had taken place during the project management and implementation processes, whether the rules, procedures, and ways of doing things imposed by EU for the project management and

implementation processes were clear and understandable for the participants, which institutional actors, units got involved in these processes and what their role were, how the levels of interaction and cooperation between people, groups and other institutions were defined, the role of leadership, incentives and barriers directed by decision makers in the institution to them about benefiting the policy, the role of credentials of staff such as previous experiences and prior knowledge, the role of desire for prestige, gaining recognition and visibility were put into question. At the end, a map of cognitive components proposed by the participants is drawn.

Under the fifth theme, participants' opinions and considerations were analysed about the impact of policy in their academic, professional life and their institution. Sub questions were gathered around the impact on attitudes, ways of doing things, beliefs and understandings, collective opinions, paradigms, skills, institutional procedures and processes, institutional relations.

As a conclusion, in Chapter 5, model for explaining the mechanisms of the impact of Pre-Accession Financial Assistance Policy of the EU on the institutional structure of the universities in Turkey during 1999-2010 is drawn after analysing the legal templates and conducting in-depth interviews with the representatives of the beneficiary universities.

1.4. Significance of the Thesis

According to Exadaktylos and Radaelli (2009:526), the methodological discussions within Europeanization have generated a few innovative ideas on how to measure the net impact by looking at control groups and test cases from outside the EU. As Radaelli (2003) points out, qualifying and measuring the outcome of Europeanization is still a field for further research. In that context, this thesis:

1. aims to contribute research agenda to expand its focus from the centre of attention which is the Europeanization of the state institutions, political parties, civil society, interest groups to the other actors such universities.

2. intends to be a policy specific feedback model of a candidate country to a specific Europeanization domain which is the cognitive dimensions of institutions.

3. aims to contribute to the theoretical knowledge on sociological institutionalism to explain the Europeanization mechanism with the aim of finding new intervening variables to measure the net impact by looking at control groups.

4. Börzel and Risse (2003:70) state that when there are no facilitating factors, Europeanization is more likely to result in accommodation and absorption. However, they clearly admit that available empirical evidence has not allowed them to evaluate these propositions. This thesis aims to contribute to test this proposition.

5. One of the challenges posed by Europeanization is about model-building. In that context, this thesis presents a model for explaining the mechanisms of the impact of Pre-Accession Financial Assistance Policy of the EU on the institutional structure of the universities in Turkey through 1999-2010 after analysing the legal templates and conducting in-depth interviews with the representatives of the beneficiary universities.

2. THEORETICAL FRAMEWORK

It is not easy to provide a single research strategy or analytical framework to analyse the mechanisms of impact of PFAP on universities in Turkey, however, the theoretical framework of the thesis is based on mostly the works of Knill and Lehmkuhl (1999), Börzel (1999, 2002, 2003), Börzel and Risse (2003, 2012) and Radaelli (2000, 2003, 2004, 2009). Europeanization mechanisms are explored by considering the main tenets of sociological institutionalism. Sociological institutionalism provides the questions for researcher to explore the mechanism of impact and process of change with a bottom up perspective considering the cognitive dimension of specific institutional and individual responses to the PFAP by its view on human action, institutions and institutional change. It also gives opportunity to researcher to trace the institutional change emanated by PFAP from the lenses of the beneficiaries in the universities and understand what is going on inside their organisational structure in adaptational processes.

According to sociological institutionalism individuals act on the basis of rules of appropriateness rather than the rational consequential calculation. What is appropriate for a particular person in a particular situation is defined by the social institutions and transmitted through socialization. Action is tightly bounded up with interpretation, because the efforts to cope with uncertainty necessitate interpretation and social interaction. In that context, sociological institutionalism tends to define institutions much more broadly by not just focusing on formal rules, procedures, but also emphasize the cognitive dimension of the institutions. The institutions in the scope of this thesis which are European Union and universities in Turkey are evaluated as encompassing formal and informal rules, procedures, collective understandings, paradigms, styles, ways of doing things, shared beliefs and norms.

About the role of institutions on the human action, sociological institutionalism foregrounds that institutions matter because they influence the preference formation of the individuals by providing collective understandings about appropriate behaviour in a given situation. By considering the legacies of sociological

institutionalism, we aim to understand variety of these collective understandings in the institutional structures of the universities in Turkey helping the participants interpret or evaluate the Pre-Accession Financial Assistance Policy and influence their response to the adaptational pressure emanated by the PFAP. To put it in a different way, this thesis assumes that there is a strong uncertainty for universities in the context of benefiting the PFAP which does not enable them to make simple calculations of optimality, and aim at searching the appropriate rules, procedures, and ways of doing things, routines defined by the participants that shape their behaviour or enable them to adapt the requirements of the EU. The second reason is its view on institutional change. In explaining the institutional change, sociological institutionalism puts stress on learning and socialization processes. Also, change is also seen as a process of diffusion through mechanisms such as pressures to appear legitimate or schemes embedded in training and practice. This thesis assumes that, in Turkey, most of the universities might apply to European Union programs for gaining prestige and scientific visibility besides their bid of gaining more material resources such as technical equipment. This observation is questioned in the qualitative research part. Many training programs were designed both by EU and the supporting formal institutions (TÜBİTAK, ABGS) for universities about project application and management. The academics and the administrative personnel who took part in different stages of projects have been invited to these trainings, meetings and might internalized the rules and concepts developed by EU. Through these activities, they might have platforms to recognize challenges in the international research environment, for instance new research trends, innovative ideas, and administrative models and then might find ways to make their universities to conform to that external environment. This observation is also questioned in the qualitative research part.

In that context, chapter 2 divided into two sections. The first section explains the view of sociological institutionalism on human action and institutions, and institutional change through linking them to the case of the thesis. The second section explores the work of scholars regarding the “definitions”, “concepts”, “domains”, “mechanisms”, “outcomes” and explains their relation between the case in the thesis.

2.1. Institutions and Institutional Change: Sociological Institutionalism

In literature, there have been various categorizations for new institutional approaches. Hall and Taylor (1996:936) identify three, Peters (1999) classifies seven, Lowndes (in Marsh and Stoker (ed.), 2010:65) specifies nine different analytical approaches which each call itself “new institutionalism”. The main categorization among belongs to Hall and Taylor, by identifying the main strands as historical institutionalism, rational choice institutionalism and sociological institutionalism. All seek to explain the role that institutions play in the determination of social and political outcomes. There are various differences between these three approaches about the nature of the human action, conceptualization of its link with the institutions and the explanations for institutional change, however Aspinwall and Schneider (2000:13) briefly outlines that the main difference is based on the ontological divergence. According to them, rational choice and some historical institutionalists believe in the human as a distinct, survival-conscious unit; sociological and some historical theorists start from the holistic premise that humans are part of a whole and that they do not exist in a meaningful way outside that whole.

The literature is rich for ‘the definition of institutions’ which is focused by many disciplines such as economic history (North, 1990, 1994), organisational sociology (Scott, 1995), sociology (Di Maggio and Powell, 1991), organization science (Meyer and Rowan, 1977), political science (Hall, 1986; March and Olsen 1989; Goodin, 1996; Norgaard, 1996). For instance, Hall (1986:19) defines institutions as the formal rules, compliance procedures, and standard operating practices that structure the relationship between individuals in various units of the polity and economy. Scott (1995:33) defines that institutions by consisting of cognitive, normative, regulative structures and activities that provide stability and meaning to social behaviour. Norgaard (1996:39) says that the routines and norms are the formal characteristics of the constituents of the institutions. According to him, the institutions are legal arrangements, routines, procedures, conventions, norms, and organizational forms that shape and inform human interaction. Peter (1999:145) emphasizes “the need for more rigour in conceptualisation and then measurement of the phenomena that are assumed to

make up institutions. Rothstein (1996:145) highlights that if the concept of institutions means everything, than it means nothing. March and Olsen (1989:21-22) define the “institutions as rules of conduct in organizations, routines, and repertoires of procedures”:

Institutions have repertoire of procedures, and they use rules to select among them...By rules we mean the routines, procedures, conventions, roles, strategies, and technologies around which political activity is constructed. We also mean the beliefs, paradigms, codes, cultures, and knowledge that surround, support, elaborate and contradict those roles and routines. (March and Olsen, 1989: 21-22)

Depending on March and Olsen’ definition (1989: 21-22) universities in Turkey are evaluated as institutions encompassing “formal and informal rules, procedures, policy paradigms, styles, ways of doing things, shared beliefs and norms” (Radaelli, 2000:4). Next sections explain the view of sociological institutionalism on human action and institutions, and institutional change through linking them to the case of the thesis.

2.1.1. View on Human Action and Institutions

Sociological institutionalism sees that individuals are “embedded” (Polanyi, 1944; Powel and Di Maggio, 1991; Granovetter, 1992) in so many social, economic, political relationships beyond their control (Koelbe, 1995:235). The concept of rationality is dependent upon its environment, by Aspinwall and Schneider’s words (2000:7); it is more context-driven than goal-driven. With the same sense, March and Olsen’s “Rediscovering Institutions” (1989) argues that human rationality is limited or “bounded”. According to them (1989:22-23) individuals act on the basis of rules of appropriateness rather than the rational consequential calculation. What is appropriate for a particular person in a particular situation is defined by the social institutions and transmitted through socialization (ibid.). That is to say, individuals’ preferences on action are not formed just in accordance with fixed, exogenous preference scales in order to realize their goals, but their preferences may emerge from collective understandings about appropriate behaviour in a given situation. Here Pollack’s (in Jorgenssen, Pollack, Rosamond (ed.), 2006: 45) distinction between concepts of

exogenous and endogenous is helpful; “the source of change is taken as an unexplained independent variable (hence, exogenous) or it is explained some way by the theory (hence, endogenous)”.

Action is tightly bounded up with interpretation (Hall and Taylor, 1996: 948), because the efforts to cope with uncertainty necessitate interpretation and social interaction. March and Olsen (1989:23) stress that before an action, people ask these questions: “what kind of a situation is this? Who am I? How appropriate are different actions for me? Do what is most appropriate?” Decisions are not made for personal reasons or rational calculation but rather emerge from habit, routine, and frequently accidental conjunctions of random events and are always based upon limited information and rationality (Koelbe, 1995: 234). With the same sense, Olsen and March (1989) articulate that human actors are imagined to follow rules that associate particular identities to particular situations. According to them, action involves evoking an identity or role and matching the obligations of that identity or role to a specific situation. Therefore,, the pursuit of purpose is associated with identities more than with interests. They assert that appropriateness need not attend to consequences, but it involves cognitive dimensions, targets and aspirations. As a cognitive matter, appropriate action is the action that is essential to a particular conception of self. Individuals who have been socialized into particular institutional roles internalize the norms associated with these roles, and in this way institutions affect their behaviour.

Sociological institutionalism tends to define institutions much more broadly by not just focusing on formal rules, procedures, or norms, but also emphasize the cognitive dimension of the institutions. Institutions also include the symbol systems, cognitive scripts, categories and models (Di Maggio and Powell, 1991) that provide the frames of meaning (Giddens, 1976:142) guiding human action (Hall and Taylor, 1996:947). About the role of institutions on the human action, sociological institutionalism foregrounds that institutions matter because they shape, even determine human behaviour. DiMaggio and Powell (1991:11) express that institutions do not simply limit options: they establish the criteria by which people discover their preferences. For instance, according to March and Olsen (1989:24) routines are one of

the constituents of the institutions including collective and individual identities, interests, values, worldviews and provide codes of meaning that facilitate interpretation of ambiguous worlds, constrains the allocation of attention, standards of evaluation, priorities, perceptions and resources.

In the context of the thesis, EU imposed eligibility model to benefit from the Pre-Accession Financial Assistance Policy but not precisely describing the “winner model” of the projects. The model including new rules (co-financing, cooperation), systems (de-centralized implementation system) and new concepts (project cycle management related concepts like logical framework analysis, dissemination, and sustainability) are totally new for the beneficiary institutions like universities. There was enormous uncertainty for the actors to make simple calculation of optimality. There was no common best practice model or publicized examples of successful projects. By considering the tenets of sociological institutionalism, we aim to understand is how the participants interpret or evaluate the EU as an institution and the Pre-Accession Financial Assistance Policy which is benefited by their institution. Did the beneficiaries of the policy apply to EU programs in order to maximise their interest with a simple calculation of optimality as it is explained by the rational choice institutionalists? Or do they view EU as a structure of meanings, norms, collective understandings, rules of appropriateness and practices? Did they apply to EU programs in order to do the appropriate thing for their selves as an academic and their institutions as it is explained by sociological institutionalists rather than gaining just more material resources? How do they interpret the opportunities brought by the policy? Does their academic identity play a role in perception of the opportunities and respond to the proposed implementation methods brought by the policy? Did socialization into and becoming familiar with European norms and rules have a role in project application and implementation processes in their cases? What is the role of their institution including formal rules, procedures, or norms, but also emphasize the cognitive dimension?

2.1.2. Views on Institutional Change

Sociological institutionalism takes a distinctive approach to the problem of explaining how institutional practice originates and changes. Olsen (2002:924) claims that political institutions and agents embedded within them respond in routine ways to changing opportunities and challenges. According to him, change may be result of a rule-following and application of standard operating procedures to appropriate situations. It may be an outcome of problem solving and calculating expected consequences or conflict resolution, and finally change may be also produced through experimental learning, contact and diffusion. He states that in experimental learning, institutions change on the basis of experiences with and interpretations of how relevant actors in environment respond to alternative forms of domestic organisation and governance. Hall and Taylor (1996:949) explain that sociological institutionalism argues that organisations often adopt a new institutional practice not because it advances the utility maximising and efficiency calculations of organisations, but also it enhances the legitimacy of the organisation and its participants. Change is seen as a process of diffusion through mechanisms such as pressures to appear legitimate or schemes embedded in training and practice (Nielsen, 2001: 506). In Turkey, most of the universities might apply to European Union programs for gaining prestige and scientific visibility besides their bid of gaining more material resources like equipment. This observation is questioned in the qualitative research part.

According to Peters (2005:119), one of the drives for change in the institutions is the overall “carrying capacity” of the environment, and the types and the intensity of interactions with other institutions. In this thesis, the components of cognitive dimension of the carrying capacity of the universities or their ability to acquire, store, transform, and utilize knowledge (Schneider, Angelmar,1993:356) in order to conform and benefit from the Pre Accession Financial Assistance Policy of the EU and the change in cognitive dimension are investigated. Therefore, following questions were directed to the beneficiaries:

- Are there any cognitive capacities regarding perceptual, intellectual, learning capacities (Maslow 1943: 370-396) embedded in the institution?

- According to the beneficiaries view, are there Turkish style of ways of doing things, routines, norms, priorities, procedures, common experiences in their institution that influence their processes of thought which support or inhibit how they perceive the policy and its requirements, thus, influencing their behaviours like applying to EU programs, managing the projects in EU style?

- If there are any, might they cause institutional change? For instance, how learning processes had taken place during the project management and implementation processes, which institutional actors, units got involved in these processes and how their roles are defined, how the knowledge creation and utilization structure in their institution is defined, how the levels of interaction and communication between people, groups and other institutions were defined, the role of leadership, incentives and barriers directed by decision makers about benefiting the policy, the role of staff level components such as previous experiences and the knowledge of the project related personnel, how the role of organizational culture and decision making routines is defined, the influence of desire for prestige, reputation, gaining visibility, recognition were put into question.

- What can be the cognitive dimensions of institutional change caused by the processes of the policy benefiting for the universities? How do they interpret the impact of policy in their academic, professional life and their institution? Is there any change on attitudes, ways of doing things, beliefs and understandings, collective opinions, paradigms, skills, institutional procedures and processes, institutional relations during and after the policy benefiting processes?

The flow of in depth interviews is prepared according to these questions which were emerged by benefiting the tenets of sociological institutionalism, especially by its views on institutional change. All of these questions were answered in Chapter 4 after analysis of the in depth interviews.

2.2. Impact of European Union as an Institution: Europeanization Research Agenda

Europeanization is a “contested concept” (Olsen, 2002; Buller and Gamble, 2002) which has facilitate an understanding of the different applications or interpretations. However it can generally be defined as domestic change caused by European Union due to the diffusion of its rules, norms and policies through different mechanisms to the countries. Studies on Europeanization as the impact of the EU on domestic politics have generally used different definitions of Europeanization, but reveal a number of common themes and conclusions (Bache 2003; Lawton 1999). As Börzel outlines (2003:5) most of the theoretical approaches explaining Europeanization rests on two common assumptions:

1) The impact of Europe on members states is differential, varies across Member States and policy areas.

2) This impact can be explained by the “goodness of fit” between the European and national policies, institutions and processes, on the one hand, and the existence of “mediative factors” or “intervening variables”-be it actors, be it institutions- that filter the domestic impact of Europe, on the other hand.

Therefore, a closer look to historical evolution of the definition of Europeanization is a necessity. After reviewing the common themes in these definitions, ‘domains/dimensions’, mechanisms including ‘mediative factors’ or ‘intervening variables’, the outcomes are also revisited.

2.2.1. Core Discussions on Europeanization Definitions

Kassim highlights (2000:238) that the concept of Europeanization is perceived as unwieldy to use it as an organizing concept because it has no single precise or stable meaning agreed by the scholars. Olsen (2002:921) agrees with Kassim and says that Europeanization is a “contested” concept and has no single precise and stable meaning, however it is applied to describe variety of phenomena and process of change. According to Radaelli (2004:1-2), Europeanization studies contributes to emergence of

original explanations and questions on three issues: the understanding and analysis of domestic impact of international politics, how to endogenise international governance in models of domestic politics (in terms of research design), and the relationship between agency and change. In consideration of these accounts, it can be claimed that Europeanization is not still abandoned and there have been attempts to map and compare different uses of the term (Buller and Gamble, 2002; Radaelli, 2000; Olsen, 2002; Vink 2002).

Although the content of the definition has not still agreed, there are common assumptions on the characteristics of the impact of the Europeanization: it is diverse and uneven overtime and between locations, i.e. it differs across policy sectors, institutions, time (Featherstone 2003, Bache 2003, Börzel 1999; Cowles, Caporaso, Risse 2001).

Table 1: Definitions of Europeanization

SCHOLAR	YEAR	EUROPEANIZATION DEFINITIONS
<i>Ladrech</i>	1994	"A process reorienting the direction and shape of politics to the degree that EC political and economic dynamics become a part of the organisational logic of the national politics and policy makings" Ladrech, R. (1994).Europeanization of Domestic Politics and Institutions: The Case of France. <i>Journal of Common Market Studies</i> .32.1, 69-88.
<i>Lawton</i>	1999	"As the shift in policy hegemony from national capitals to Brussels" Lawton,T. (1999). Governing the Skies: Conditions for the Europeanization of Airline Policy. <i>Journal of Public Policy</i> .19, 91-112
<i>Börzel, Risse</i>	2000	"A process of change at domestic level in which the member states adapt their processes, policies, and institutions to new practices, norms, rules and procedures that emanate from emergence of a European system of governance." Börzel, T and T Risse (2000), When Europe Hits Home: Europeanization and Domestic Change. <i>European Integration Online Papers</i> (EIOP).4.15, 6

<i>Radaelli</i>	2000	<p>"A process of a) construction, b) diffusion and c) institutionalisation of formal and informal rules, procedures, policy paradigms, styles, 'ways of doing things' and shared beliefs and norms which are first defined and consolidated in the EU policy process and then incorporated in the logic of domestic (national and subnational) discourse, political structures and public policies."</p> <p>Radaelli, C. (2000). Whither Europeanization? Concept Stretching and Substantive Change. <i>European Integration Online Papers</i>, 4</p>
<i>Cowles, Caporaso, Risse</i>	2001	<p>"The emergence and development at the European level of distinct structures of governance, that is, of political, legal, and social institutions associated with political problem solving that formalize interactions among actors and of policy networks specializing in the creation of authoritative European rules."</p> <p>Cowles, M., Caporaso, J. and Risse, T. (eds.) (2001). <i>Transforming Europe: Europeanization and Domestic Change</i>. Cornell University Press, 3</p>
<i>Bomberg and Peterson</i>	2000	<p>"Complex process whereby national and sub-national institutions, political actors, and citizens and adapt to, and seek to shape, the trajectory of European integration in general, and EU policies in particular"</p> <p>Bomberg, E, Peterson J. (2000). Policy Transfer and Europeanization: Passing the Heineken Test? <i>.Queen's Papers on Europeanization</i>, Belfast. 2, 7</p>
<i>Buller and Gamble</i>	2002	<p>"A situation where distinct modes of European governance have transformed aspects of domestic politics"</p> <p>Buller, J. and Gamble, A. (2002). Conceptualising Europeanization. <i>Public Policy and Administration</i>, 17.2, 4-24.</p>
<i>Bache</i>	2003	<p>"A redirection of policies and/or practices and/or preferences in the domestic arena towards those advanced by dominant EU level actors/institutions"</p> <p>Bache, I. (2003). Europeanization: A Governance Approach, Conference or Workshop Paper. <i>European Union Studies Association (EUSA), 8th Biennial Conference</i>. 27-29 March. Nashville. Tennessee. USA., 7-8</p>

By focusing on France, Ladrech (1994:69) defines Europeanization as:

an incremental process reorienting the direction and shape of politics to the degree that EC political and economic dynamics become part of the organizational logic of national politics and policy-making.

By “organizational logic” he refers to the “adaptive processes of organizations to a changed or changing environment” (Ladrech 1994:71) and includes not only governmental and but also non-governmental actors. Ladrech (1994:84) asserts that Europeanization puts forward complex interdependencies which will vary from nation to nation depending on the pre-existing national structures and internal development. He underlines paying attention to national specific adaptation to cross-national inputs (1994:86), a bottom up approach. His focus is on the degree to which organisational change is driven by the “understanding...appreciation...conformity...or...fit...” of French actors into European polity (1994:86). According to him, not only the national structures changes but also the EC is institutionally and politically changes by the national responses and practices.

According to Lawton (1999:93-94), there are many interpretations of Europeanization throughout the history such as “convergence of national policy styles and European policy processes” (Wessels 1994) or “the transfer of power from national governments to supranational institutions” (Cram 1993, 1994; Pollack 1994; Nugent 1995), however he views Europeanization as “the shift in policy hegemony from national capitals to Brussels”. His definition belongs to the top-down understanding of Europeanization by highlighting that Commission can “Europeanise” a policy area or industrial sector and increases its regulatory power in the process (1999:108). In areas such as technology policy, social policy, telecommunications and air transport, the Commission can gain a mandate where previously it has been excluded. According to him, this does not mean that the EU gains partial authority, it is more likely sharing the policy power between national governments and the EU. That is to say, nation states remain in control politically and only allow the EU to increase its competencies when and where it is appropriate for their interests. He gives the example of gradual Europeanization of air transport policy in Europe. Some of competences of the national aviation policy components such as controlling the instruments for regulating the airline

market has moved to Brussels, however landing rights are still negotiated laterally between the US and individual European states.

Bomberg and Peterson (2000:7), define Europeanization as “complex process whereby national and sub-national institutions, political actors, and citizens and adapt to, and seek to shape, the trajectory of European integration in general, and EU policies in particular”. By this conceptualisation, besides politics, policies and political, he included the Europeanization of citizens or European peoples into the agenda. Also, they highlight (2000:6) the interactive character including “two way process” of Europeanization as Ladrech (1994) highlights. That is to say, European integration shapes domestic policies, politics and political, but member states also project themselves by seeking to shape the trajectory of European integration in ways that suit national interests.

Börzel and Risse (2000:6) defines domestic effects of Europeanization as "a process of change at domestic level in which the member states adapt their processes, policies, and institutions to new practices, norms, rules and procedures that emanate from emergence of a European system of governance". On the other hand, Radaelli (2004:3-4) says that Europeanization can derive from different stages and forms of the policy process: policy formulation (construction); putting policy into practice (institutionalisation); and in a much less structured manner (diffusion), where the EU's role may be quite limited. It not only includes formal policy rules but also beliefs and values. It includes two steps: adoption at EU level and then incorporation at the domestic level. That is why Europeanization and EU policy-making are distinct from each other conceptually.

According to Featherstone's four-fold typology (2003:10), the term of “Europeanization” had been used for export of European authority and social norms; diffusion of cultural norms, ideas, identities, and patterns of behaviour on a cross-national basis within Europe; domestic adaptation to the pressures emanating from EU membership; public policy impacts of EU membership. In Featherstone's (2003:4-5) words, “it is a structural change affecting the actors, institutions, ideas, interests and involves a response to the policies of European Union”.

To avoid the danger of conceptual stretching, Radaelli (2000:6) puts stress on the need to specify not only what Europeanization is but also what it is not and highlights the differences between the concepts of convergence, harmonisation, European integration and the Europeanization. According to Radaelli, Europeanization is not convergence. The convergence can be a consequence of Europeanization. Convergence is not Europeanization because there is a difference between a process and its consequences. However, Europeanization can also produce divergence. According to him (2003:33), Europeanization should not be confused with harmonization, because Europeanization can end up in regulatory competition and even distortions of competition. Finally, he states (2003:32) that Europeanization is not political integration. He explains that the concept of integration belongs to the ontological stage of research, that is, the understanding of a process in which countries pool sovereignty, whereas the former is post-ontological, being concerned with what happens once EU institutions are in place and produce their effects. He stresses that theories of European integration such as intergovernmentalism, neofunctionalism and multilevel governance address the question of “why do different countries join forces and build up supranational institutions?”, whereas Europeanization studies focus on more specific questions such as the role of domestic institutions in the process of adaptation to the Europe. In that sense, he highlights Europeanization is a two way process as Ladrech (1994), Bomberg and Paterson (2000), Börzel and Risse (2000) do Risse, Cowles, and Caporaso (2001:3) define Europeanization as:

The emergence and development at the European level of distinct structures of governance, that is, of political, legal, and social institutions associated with political problem solving that formalize interactions among actors and of policy networks specializing in the creation of authoritative European rules.

In their definition, they don't relate Europeanization necessarily to the domestic level. They highlight the several levels of governance, not only European level, but also national, sub national levels. They refer to a process of institution-building at the European level. According to them institutions include both formal and informal rules including the understandings and meaning attached to political and societal institutions.

Buller and Gamble (2002:26) define Europeanization as “a situation where distinct modes of European governance have transformed aspects of domestic politics”. They don’t define Europeanization as a process, but by a situation where certain effects can be shown to have occurred. By this definition, they implied that this usage of Europeanization does not imply that its occurrence is in any sense inevitable. By distinct modes of governance they refer to processes, methods or style of governing which bring about conditions for ordered rule and collective action. They highlight the interactions between member states and the domestic and EU levels. By domestic institutions they emphasize formal institutions, informal norms, beliefs, discourses and policies and transformation is associated with change.

Bache (2003:7-8) defines Europeanization as “a redirection of policies and/or practices and/or preferences in the domestic arena towards those advanced by dominant EU level actors/institutions”. In his article, Bache (2003) emphasizes the importance of governance approach while analysing the Europeanization. According to him, the governance approach points to the importance of variation by sector and thus facilitates cross-sectoral comparisons and focuses on interdependence between actors, while acknowledging that this interdependence may be asymmetrical.

Mair (2004:340-341) emphasizes that Europeanization has two faces. On the one hand, as Risse, Cowles, and Caporaso (2001:3) point out Europeanization necessarily encompasses the institutionalization of a distinctly European political system. That is, Europeanization involves the creation and consolidation of authoritative political institutions at the supranational European level. On the other hand, as Featherstone (2003) and Radaelli (2003), Goetz and Hix (2001) underline, Europeanization also encompasses the penetration of European rules, directives and norms into the differentiated domestic spheres.

After reviewing the literature, Radaelli’s definition is decided to be followed in this thesis; hence he offers a comprehensive and insightful definition, not only focusing on member states, but also offering a conceptual tool applicable to trace the diffusion mechanisms in candidate countries, clearly identifies the stages of Europeanization (construction, institutionalisation, consolidation, incorporation or adoption,

incorporation) and domains (logic of domestic national and subnational discourse, political structures and public policies) valid for both top down and bottom up research designs and does not neglect the power of cognitive dimension including beliefs, values, norms, ways of doing things.

2.2.2. Debates: Conceptual Framework

Börzel and Risse (2000:5) argue that most studies find that there must be some “misfit” (Börzel 1999; Duina 1999) or “mismatch” (Héritier, Knill, Mingers, 1996) between European and domestic policies, processes, and institutions. Risse, Cowles, and Caporaso (2001:7) indicate that effect of Europeanization on domestic structures involves a process by which one set of institutions-European rules, regulations and collective understandings-interact with another set of institutions-the given domestic structures in the member states (Olsen 1995b). Börzel and Risse (2000:5) read the preposition from the end and say that the “goodness of fit” (Risse, Cowles, and Caporaso 2001) or congruence between the European and the domestic level determines the degree of pressure for adaptation generated by Europeanization on the member states. For instance, if the policy of country A fits in well with the EU policy, there will be no impact. Where a country has a policy which is completely different from EU policy, it is impossible to adapt Europe. They say (2005:5) that the lower the compatibility between European and domestic processes, policies, and institutions, the higher is the adaptational pressure Europe exerts on the member states.

According to them (2000:5), analysing the degree of adaptational pressure is important to identify the outcomes for the extent of the impact of Europeanization, that is, the scope and direction of domestic change in member states. Risse, Cowles, and Caporaso (2001:7) state that since political, economic, legal and societal institutions differ among member states, the degree of adaptational pressure varies. According to Goetz and Hix (2000:9) “institutional congruence” or “closeness of fit” is certainly an important element in trying to explain different trajectories of Europeanization. They highlight the cultural aspects of institutions in Europeanization process and the impact of national institutional “traditions” which go beyond formal rules and regulations. According to them, in all cases, national institutions’ capacity to accommodate, refract

or resist pressure for change are key to understanding distinct national and sectoral trajectories of Europeanization.

According to Börzel and Risse (2000:5), there are two types of misfits. These are named as “policy misfits” and the “institutional misfits”. Risse, Cowles, and Caporaso (2001:7) say that policy misfits exert adaptational pressures on underlying institutions, particularly political and administrative structures. Börzel and Risse (2000:5) state that policy misfits equal to the compliance problems. That is to say, European policies can challenge national policy goals, regulatory standards, the instruments of techniques used to achieve policy goals, and/or the underlying problem-solving approach and create compliance problems (Heritier, *et al*, 1996; Börzel 2000c). According to Börzel and Risse (2000:6), policy misfits produce adaptational costs at the domestic level, and member states strive to “upload” their policies to European Union. Börzel (2002:1) explains the situation in another paper as member states have an incentive to “up-load” their policies to the European level to minimize the costs in “down-loading” them at the domestic level. But they differ both in their policy preferences and their action capacities. Accordingly, member states have pursued different strategies in responding to Europeanization. In institutional misfit, Europeanization can also challenge domestic rules and procedures and collective understandings attached to them (Börzel and Risse, 2003: 63). They give the example that Europeanization might threaten collective understandings of national identity as it touches upon the constitutive norms such as state sovereignty or European rules and procedures can challenge the territorial institutions of highly decentralised member states which may grant their regions autonomous powers to state in Europeanization process. They highlight (2003:63) that institutional misfit is less direct than policy misfit and its effect is more likely to long term and incremental.

In that context, the second section of the chapter 4 aim at categorizing the misfit themes by analysing the participants real thoughts before winning the financial assistance such as in project application period and during the policy benefiting processes such as project management.

2.2.3. Measuring the Impact of European Union

In this section, the domains of Europeanization which denote where the effects of Europeanization are supposed to materialize, the mechanisms through which Europeanization can affect the member and candidate states and the outcomes as degrees of domestic change is explained.

2.2.3.1. Domains of Europeanization

Börzel and Risse (2000:3) name domains as dimensions along which the domestic impact of Europeanization can be analysed and processes of domestic change can be traced. They focus on polities, politics and policies. They say (2000:4) that implementation of European policies leads to substantial changes in the “policy fabric” such as policy style, problem solving approaches, policy instruments, and policy standards, patterns of interest mediation, and discourses in member states. They highlight that Europeanization of some policy areas, such environment and agriculture, reached a degree where more than 80% of existing policies are made at European level. According to them Europeanization affects also the domestic systems of administrative structures, judicial structures, state traditions, macroeconomic institutions, interest mediation, judicial structures, national identities.

Radaelli (2000:7) highlights that not only can Europe affect formal structure, it can also influence the values, norms and discourses prevalent in member states. Olsen (2002:926) also underlines that Europeanization as domestic impacts is not limited to structural and policy changes. European values and policy paradigms are also to some degree internalized and domestic level, shaping discourses and identities (Dyson, 2000 a, Checkel, 2001). He says (2002:936) that European signals are interpreted and modified through domestic traditions, institutions, identities, resources in ways that limit the degree of convergence of homogenization.

Radaelli (2003:35-36) employs a taxonomy that organizes research designs for the Europeanization studies in 2003. According to this taxonomy, he identifies the research domains of Europeanization, where the effects of Europeanization are supposed to materialize, as 1) domestic structures, 2) public policy, 3) cognitive and

normative structures. Domestic structures include political and legal structures of a country, namely institutions, intergovernmental relations, the legal structure and structures of representation and cleavages. For public policy, he refers to actors, resources, policy instruments, policy styles...etc. According to him, cognitive and normative structures include discourses, norms, values, political legitimacy, identities, state traditions, policy paradigms, frames and narratives. He keeps this domain distinct from the others by their potential to trigger transformative effects on the other elements of politics and policy.

Drawing on Radaelli's taxonomy, this chapter 3 starts up with focusing on the first and second domains by exploring what is changed for the state institutions and policy implementing methods in Turkey in order to benefit from the PFAP of the EU during 1999-2010. The aims are exploring the scope conditions for the general implementing structure in Turkey and understand where universities in this process are located.

The fourth part of the Chapter 4 focuses on the third domain of Radaelli's taxonomy, by researching the role of cognitive components of the institutional structure of the universities during the interpretation of the policy, deciding to benefit from it and policy benefiting processes. In that sense, the eventual aim is gathering an in-depth understanding of participants' behaviour as a response to the pre-accession financial policy of EU and the institutional variables that influenced their behaviour. Finally chapter 4 dwells upon again the third domain by foregrounding the opinions of the beneficiaries working in the universities about the impact of the policy on their attitudes, ways of doing things, beliefs and understandings, collective understandings, skills, institutional procedures and processes, relations by referencing to their institutional structure .

2.2.4 Mechanisms

The literature has identified several mechanisms through which Europeanization can affect the member states (i.e. Dolowitz and Marsh, 1996, Knill and Lehmkuhl, 1999; Risse, Cowles, and Caporaso, 2001, Olsen, 2002; Börzel and Risse,

2000, 2003, 2012; Radaelli, 2003; Caporaso, 2007). Knill and Lehmkuhl (1999:2) employed two types of European policy making which are “negative integration”, “positive integration” and framing and they are characterized by distinct mechanisms of Europeanization. The distinction between “negative integration” and “positive integration” which points that European integration involves both “market-making” and “marketcorrecting” policies was made by Scharpf (1996, 1999) before Knill and Lehmkuhl (1999). According to Scharpf (1996:16-18), negative integration follows the rationale of the common market and has market-making nature. The market making policies are designed to allow the efficient functioning of the market. The removal of national barriers suffices to create a common policy, thus, national legislation is not often required to put policy into practice.

The positive integration, on the contrary, is an attempt to limit the unwanted side-effects from liberalization processes, in particular from the free movement of goods, persons, capital and services (Scharpf, 1996:16-18). The positive integration is hence “market correcting” in nature and requires an active supranational policy. The EU has negotiated a “policy template” and the task is to put it into operation in the member states. By Knill and Lehmkuhl’s words (1999:2), EU policy “positively” prescribes an institutional model to which domestic arrangements have to be adjusted, and accordingly, member states have only limited institutional discretion when deciding on concrete arrangements in order to comply with European requirements. Positive and negative integration mechanisms were also explored by Radelli (2003) and Bulmer and Radaelli (2004). Radaelli (2003:42) asserts s that as the EU positively prescribes the adoption of a model one could use the term positive integration to distinguish mechanisms from the cases of negative integration.

Knill and Lehmkuhl (1999:2-3) emphasize the importance of the third type of Europeanization, the “framing”. According to them, framing occurs when EU affects domestic arrangements even more indirectly such as by altering the beliefs and expectations of domestic actors. Changes in domestic beliefs in turn affect strategies and preferences of domestic actors, potentially leading to institutional adaptations. European policies are directed at changing the beliefs and expectations of domestic

actors (rather than their opportunity structures) in order to mobilize domestic support for European reform projects.

As alternative categorization to mechanisms, Radaelli (2003:41) points out the vertical and horizontal mechanisms of Europeanization. In vertical mechanisms there is an EU model or defined policy for the domestic level where the policy has to be metabolized. By contrast, horizontal mechanisms look at Europeanization as a process where there is no pressure to conform to EU policy models. He states (2003:41) that in horizontal mechanisms, process of change triggered by the market and the choice of consumer or by the diffusion of ideas and discourses about the notion of good policy and best practice (2003:41). He outlines that the vertical mechanisms are based on adaptational pressure, horizontal mechanisms involves different forms of framing.

Goetz and Hix (2000:11) claim that political outcomes at European level have two types of impact which are direct and indirect. According to them, direct impacts are outcomes that require domestic policies to be changed to conform to new European-wide norms. They give the example that the EU regulatory regime has forced the liberalisation of domestic markets. Additionally, European governance outcomes have a significant indirect impact on political institutions and input processes in domestic political systems (2000:11). For instance, EU regional policies encourage member states to establish planning authorities at the regional level, which in turn produce demands for a democratisation of these structures due to the creation of elected regional assemblies and governments.

When the mechanism offered by the Knill and Lehmkuhl (1999), Radaelli (2003), Goetz and Hix (2001) is taken as a basis, this thesis assumes that the mechanism of diffusion of EU rules, models, ways of doing things regarding the PFAP firstly occurred through vertical mechanism of positive integration by law enforcement on the first receivers of the policy (state institutions), then continues with both by direct vertical and indirect framing mechanism when it hits to the second receivers of the policy like universities. In first stage, it is visible that EU positively prescribes an institutional model to which domestic arrangements have to be adjusted. There are over 30 regulations, directives published by EU and government in Turkey in order to adapt

and implement the PFAP. The question is whether these templates caused the creation of new systems, new administrative posts, implementing units, and processes in central state structure of Turkey.

In second stage, it is expected that both positive and direct and horizontal in direct mechanisms of Europeanization occur when PFAP hits to the universities. Since the EU does not have any competence, there is no regulation and directive in EU side about the implementation of the policy by universities in Turkey; however universities are addressed as the beneficiaries of the policy if they propose an eligible project according to the Commission's priorities. The general priorities which are strongly related by the conditionality are explained in regulations and program based priorities are explained in project call guidelines not for universities but for all beneficiaries. There is no law enforcement and positively described model for the universities in Turkey from EU side in first instance observation. There is only a directive about management of the financial issues prescribed by government and it bestows the final discretion and responsibility about benefiting the policy to the universities. So, the universities voluntarily apply to the programs and respond to the required necessities by EU. This question leads the attention to the framing mechanisms or other intervening variables.

According to Börzel (2003), Radaelli (2003), Risse, Cowles and Caporaso (2001) the degree of fit or misfit constitutes adaptational pressures, which is necessary but not sufficient condition for expecting changes. Whether or not countries adjust its institutional structure to Europe will depend on the presence and absence of mediating factors. According to Risse, Cowles and Caporaso (2001:2) says that adaptational pressure do not necessarily translate into domestic structural change, these forces must pass through and interact with facilitating factors specific to each country.

According to Radaelli (2003:46-50), first of the key intervening variables explaining the likelihood and direction of Europeanization is the institutional capacity to produce change. According to him, the institutional capacity to produce change is a necessary condition, but it is not sufficient. The presence or absence of change depends on more specific variables at the level of the policy structure. These are the veto players

in the political system and scope and type of executive leadership. Radaelli (2003:46-47) states that presence of veto players constrains the institutional capacity to produce change. For the executive leadership, he states that when leadership is integrated and the number of the veto players is low, Europeanization is hardly makes a difference. He points out that, at the other extreme, fragmented leadership with strong sectoral veto players makes EU induced change improbable. According to him, Europeanization is instead most likely to have an impact in terms of policy change under conditions of intermediate institutional capacity. Inspired by Radaelli, whether and how universities in Turkey perceive the existence if any veto players or executive leadership at national level constitutes one of the main questions within this study.

Secondly, he puts stress on the timing of the European policies (2003:48). The impact of EU public policy is contingent on whether a country is already involved in a process of reform or not. According to him (2003:48), the analysis of the effects of European public policy on national policy systems should be conducted in parallel to the investigation of domestic processes. The adaptational pressure of EU policy is certainly higher in the case of a country which has already undertaken reforms consistent with EU trajectories. With regard to the time limitations of this research [after Helsinki Summit (1999) to the 2010], the question here is, during this period, whether government in Turkey got already involved in reforms process not only in context of benefiting the PFAP of EU, but also the national financing systems for the universities.

Thirdly, according to him, the policy structure and the advocacy coalitions are also important in explaining the likelihood and direction of the change. He states that (2003:49) institutional capacity and timing provide the potential for change, but policy change has to be considered legitimate. In that context, he highlights the importance of policy discourse, because according to him the discourse that provides a rationale and justifies change at the policy level. He also puts stresses on the role played by the belief systems by saying that Europeanization processes are filtered and refracted by systems of policy beliefs. To Radaelli (2003:25), an important issue is to what extent and under which conditions Europeanization can change policy core beliefs and facilitate learning

and non-incremental change. He states that Europeanization is a process where the cognitive dimension of political life matters and the current emphasis on mechanisms and variables should not preclude the dimension of evolution, learning and the social construction of politics (2003:46). He also highlights the importance of studies of policy change centred on belief systems, legitimacy and the conflict between reformers and advocates of the status quo.

According to Börzel and Risse (2000:6), the causal mechanisms of domestic change emanating from Europeanization are explained by two theoretical approaches of which the first one is rationalist institutionalism and the second one is sociological institutionalism. Both of the theoretical approaches take misfit as a necessary condition of domestic change. They identify intervening variables that mediate between European pressures for adaptation and member state responses.

Börzel and Risse (2003:63) argue that the rationalist institutionalism explains the causal mechanism of change by “resource dependency theory” (Pfeffer, 1981). The approach is based on the assumption that actors are rational, goal oriented and purposeful. As Börzel and Risse (2003:63) states they follow “logic of consequentialism” (March and Olsen, 1989, 1998). According to the logic, actors have a fixed ordered set of preferences in order to maximize their expected utilities by deploying the resources at their disposal. Actors engage in strategic interaction using their resources to maximize influence over outcomes while trying to become as little dependent as possible on the other whom they interact. According to Börzel and Risse (2000:6), the rational institutionalism views EU as an opportunity as an emerging political structure which offers some actors additional legal and political resources to exert influence while constraining the other. The European political opportunity structure leads to a redistribution of resources and differential empowerment at the domestic level if there is considerable misfit. Börzel and Risse (2000:1) highlights that whether such changes in the political opportunity structure leads to a redistribution of power depends on the capacity of actors to exploit these opportunities and avoid the constraints. Börzel (2003:8) states that literature identified two mediating factors that influence the capacities of domestic actors. These are “multiple veto players” and the

“facilitating formal institutions”. They provide actors with material and ideational resources necessary to exploit European opportunities and promote domestic adaptation.

According to Börzel (2003:9) a low number of veto points and the existence of facilitating formal institutions determine whether policy and institutional misfit lead to redistribution of resources and the differential empowerment of domestic actors. The existence of multiple veto points can empower domestic actors with diverse interests to avoid constraints and, thus, effectively inhibit domestic adaptation (2003:9). Börzel and Risse (2003:65) says that the more power is dispersed across the political system and the more actors have a say in political decision-making, the more difficult it is to foster the domestic “winning coalition” necessary to introduce changes in response to Europeanization pressures. They say that (2003:65) the European political opportunity structure may offer domestic actors additional resources, but they many are not able to exploit them when they lack the necessary action capacity. Existing facilitating formal institutions can provide actors with material and ideational resources necessary to exploit European opportunities and thus promote domestic adaptation (2003:65).

Börzel (2003:10) emphasizes that the sociological institutionalism explained the causal mechanism of change by “process of socialization” and “process of institutional adaptation”. Both of them follow the “logic of appropriateness” contrasting with the “logic of consequentialism”. According to the approach, Börzel (2003:10) states that actors’ behaviour guided by collectively shared understandings of what constitutes proper and socially accepted behaviour in a given structure. Rather than maximizing their interests actors seek to do the right thing. The institutions give actors fundamental understandings of what their interests are and what the appropriate means may be to pursue these interests (2003:10). Domestic actors are socialized into European norms and rules of appropriateness through processes of persuasion and social learning; redefine their interests and identities accordingly (Checkel 1999a, in Börzel 2003:10). The more European norms, ideas and the structures of meaning or practices fit with those at domestic level, the more likely will they be incorporated into existing domestic institutions (Olsen, 1996:272; Börzel, 2003:10).

For the “process of socialization” approach, Börzel (2003:11) identifies two mediating factors for the degree to which misfit leads to processes of socialization. These are “norm entrepreneurs” and “cooperative informal institutions”. Norm entrepreneurs mobilize at the domestic level to persuade actors to redefine their interests and identities in the light of the new norms and rules by engaging them in process of social learning (2000:11). According to Börzel (2000:9) there are two types of norm and idea promoting agents: “epistemic communities and principled issue networks. She explains (2000:9) that “epistemic communities “are networks of actors which legitimate new norms and ideas by providing scientific knowledge about cause and effect. She states that “advocacy and principled issue networks” bound together by shared beliefs and values rather than by consensual knowledge and persuade other actors to reconsider their goals and preferences. According to her, “cooperative informal institutions” (2003:11) contribute to consensus building and burden sharing. They entail collective understandings of appropriate behaviour that strongly influence the ways in which domestic actors respond to the Europeanization pressures (2003:11).

Börzel (2003:13) with reference to DiMaggio and Powell (1991) and Meyer and Rowan (1991) claims that “processes of institutional adaptation” approach adopts that institutions that frequently interact, are exposed to each other or are located in a similar environment develop similarities over time in formal organizational structures, principles of resource allocation, practices, meaning structures, and reform patterns. It emphasizes the processes of institutional isomorphism, tendency to become alike. Börzel (2003:13) says expresses that institutional adaptation approaches also view European institutions as new norms, rules, practices, and structures of meaning, which are diffused to the Member States. Börzel (2000:2) also underlines that two logics of change are not mutually exclusive. They often occur simultaneously or characterize different phases in a process of adaptational change. According to Börzel (2003:13), institutional isomorphism points to four diffusion mechanisms, which can result in domestic change. These are coercion, mimetic imitation and normative pressure, competitive selection (regulatory competition), framing. In coercion, Börzel affirms (2003:13) that the EU imposes a model with which the Member States have to comply, e.g. European monetary integration that requires the Member States to meet certain

requirements. In mimetic imitation and normative pressure, however (Börzel, 2003:13) member states emulate a model recommended by the EU to avoid uncertainty (mimesis) or has been successful implemented by other states. In competitive selection (regulatory competition), while the EU does neither impose nor recommend a model, member states compete for the most efficient domestic arrangements in order to avoid comparative disadvantages. In framing, Börzel articulates (2003:13-14) that European actors can behave as “ideational entrepreneurs” trying to alter the beliefs and expectations of domestic actors by disseminating new ideas and concepts.

Börzel and Risse (2000:13) assert that future research has to figure out how two pathways and causal mechanisms relate to each other. They maintain that in case of Europeanization, “socialization/learning” pathway is more likely to be followed, the more actors are uncertain about their preferences and strategy options, but are clear about their identities. In contrast, “resource distribution” pathway is likely to prevail if actors’ preferences are well-defined and available strategy options know.

Risse, Cowles, and Caporaso (2001:7) employ five mediating factors: multiple veto points, formal institutions, differential empowerment of actors, and learning, political and organizational culture. The first three is already explained by Börzel and Risse’s work. For political and organizational culture factors, Risse, Cowles, and Caporaso (2001:7) claim that one informal institutional mechanism to overcome multiple veto points is the existence of consensus-oriented and cooperative decision making culture. This logic corresponds with the functions of the “cooperative institutions” as Börzel (2003:11) explains.

Börzel and Risse (2012a:2) further argue that mechanisms and scope conditions of Europeanization are largely compatible with various factors identified in the study of transnational diffusion, especially to capture the more indirect ways in which the EU may affect domestic or regional institutional change. The scope of conditions is termed as “conditions which are likely to affect domestic change in response to the promotion or emulation of EU ideas and institutions” (Börzel and Risse, 2012: 1). They maintain (2012:3-5) that when the dependent variable is specified as institutional change, Europeanization research and diffusion studies help the researcher

on how to identify the mechanism and scope of conditions about how the ideas and institutions of EU spread and to overcome to the problems of top-down approaches that tend to over-emphasise the role of the EU and legal compliance for (institutional) change. They define (2012:5) diffusion as “a process through which ideas, normative standards, or policies and institutions spread across time and space. They indicate (2012:5) that there are two types of diffusion mechanisms: direct and indirect (emulation) influence.

In direct influence mechanisms they assert that an agent of diffusion actively promotes certain policies or institutional models in her interactions with a receiving actor or group of actors. In indirect influence mechanisms, actors need to solve a problem or to overcome a crisis and look around for ‘best practices’ and institutional solutions that serve their needs (logic of consequences) or they might also simply ‘download’ an institutional model, because this is the way things are done in a given community to which one wants to belong (logic of appropriateness). According to them in first mechanism, in direct influence, there are four types of idea promoter. The first one is coercive authority and legal force. However, they argue that in external relations EU hardly uses coercion but enforces law. In that context, member states and accession candidates have voluntarily agreed to be subject to coercion by virtue of them being EU members or candidates to membership. This type of diffusion is named by them (2012:6) as voluntary adaptation to external influences.

In second type, promoters of institutional models induce actors to adopt their ideas by trying to change their utility functions. In this type EU and the member states rely on external incentives (conditionality) and technical and financial assistance (capacity building). They expect this mechanism to be relevant to accession candidates and European Neighbourhood. The third type includes logic of appropriateness and socialization. From this perspective, the EU can be understood as a gigantic socialization agency which actively tries to promote rules, norms, practices, and structures of meaning to which member states are exposed and which they have to incorporate into their domestic structures. According to them, the more active norm entrepreneurs are and the more they succeed in making EU policies resonate with

domestic norms and beliefs, the more successful they will be in bringing about domestic change. Thus, socialization mechanisms should be particularly relevant in conjunction with incentive based modes of influence, and with regard to countries and regions aspiring to become part of the liberal community of democratic states (Börzel and Pamuk 2012; Noutcheva and Düzgit 2012; van Hülllen 2012, in Börzel and Risse, 2012a:7).

The fourth type is persuasion and logic of arguing which refers to situations in which actors try to persuade each other about the validity claims inherent in any causal or normative statement is valid. They give the example that for example, accession conditionality is always accompanied by efforts to persuade candidate countries of the normative validity and appropriateness of the EU's institutional models (Kelley 2004, Börzel and Risse, 2012a:8).

They state that none of these four mechanisms assumes that the agents at the receiving end of diffusion are simply passive recipients of EU policies and institutions. Rather, the adoption of and adaptation to EU norms, rules, and institutional models into domestic or regional structures mostly involve active processes of interpretation, incorporation of new norms and rules into existing institutions, and also resistance to particular rules and regulations. According to them, social learning as a process of acquiring and incorporating new norms and new understandings into one's belief systems, for example, involves active engagement, not passive 'downloading' of some new rules and institutional 'software' (2012:8).

For the second mechanism, indirect influence (emulation), Börzel and Risse (2012a:10) identify four types of mechanisms: competition, lesson drawing and mimicry. In competition, they say (2012:10) that actors compete with each other over meeting certain performance criteria, e.g. creating employment or fostering economic growth, to which they unilaterally adjust their behaviour accordingly. They articulate (2012:9) that competition entails not only the diffusion of ideas as normative standards for political or economic behaviour but also the diffusion of causal beliefs, e.g. by learning from best practice, on how to best reach these standards. In lesson drawing, they say (2012:9) that actors look to others for policies and rules that effectively solved

similar problems elsewhere and are transferable into their domestic context. They emphasize that lesson-drawing and competition are based on instrumental rationality, since they follow a functional logic. Also, they state that (2012:10) actors can emulate others for normative reasons, e.g. to increase their legitimacy or they might simply imitate others because the appropriateness is taken for granted. They highlight that in normative emulation/mimicry, the driving force is not the instrumental rationality, but the desire to be a legitimate member of a community. They argue that (2012:10-14) whether these mechanisms lead to diffusion and to domestic institutional change depends on the scope of the conditions, for instance existence of domestic incentives, degrees of limited statehood, power asymmetries, democratic quality of the regime.

With regard to the subject and scope of this thesis, the opinions of participants about the characteristics or capacities for their institutions in order to manage the processes successfully and adapt to the required necessities of EU is questioned in the light of intervening variables offered by Börzel (2003), Börzel and Risse (2000, 2003, 2012) and Risse, Cowles, and Caporaso (2001). Therefore, main questions center on how participants evaluate the role of formal institutions like TÜBİTAK, ABGS, DPT CFCU, National Agency, norm entrepreneurs, cooperative informal institutions. For instance, according to Börzel and Risse (2000), if the logic of appropriateness is taken as a basis to search for intervening factors in this research, whether norm entrepreneurs and cooperative informal institutions act as filters for adaptational pressure. If there is not any institution to filter, then whether internal institutional factors like cognitive factors might play a role in their response. It is assumed that the ability of universities as one of the addressed beneficiaries to explore the opportunities brought by the PFAP of EU and run their projects under the programs of PFAP is very much dependent on the cognitive dimensions of their institutional capacity. The underlying reason to focus on the cognitive dimension is that the application and implementing procedures of the projects according to the EU model compromises uncertainty and definitely new processes full up with actors, rules, understandings different from the ones that the university staff previously engaged in. There was uncertainty for them to make simple calculation of optimality. This assumption is tested in qualitative research part. The other reason is that EU does not publish the detailed real samples of successful projects

and project management documents which are compatible with the EU rules, procedures, styles, however it draws a frame for them and lead filling it to the cognitive components of the universities. If they are not able to re-configure institutional capabilities to acquire, store, transform, and utilize knowledge fit with the EU models, they are excluded from benefiting the funding opportunities.

There are supporting formal institutions like TÜBİTAK, ABGS, CFCU, National Agency and low multiple veto points, the only one is European Commission in Turkey that filter the adaptational pressure by EU. Many training programs were designed both by EU and the supporting formal institutions (TÜBİTAK, ABGS) for universities about project application and management. However, the significant point here is that the process is also new for the formal supporting institutions and they are also in learning process during 1999-2010, thus their knowledge and expertise might remain limited for some of beneficiaries.

Also the information promoted by these agents is fragmented for the recipient beneficiaries because required information about programs under PFAP of EU is promoted by many different agents. For instance, if a university decides to benefit from the Framework programs of EU, they have to contact with TÜBİTAK and EU Commission, if they find appropriate to apply ERASMUS program, they have to appeal to National Agency, if the program grants are transferred under IPA, and they have to apply Central Finance and Contract Unit. They were in a hub of flux of information directed by many agents, their existing institutional set up and the question was what the appropriate ways, methods were to benefit from the policy. In Turkey, most of the universities might apply to European Union programs for gaining prestige and scientific visibility besides their bid of gaining more material resources like equipment. There are, however many other universities which apply to the programs just for gaining more material resources because the resources proposed by the state for the research is limited and the decision makers in their university encourages them to gain more resources in order to realize their academic objectives. In these scope conditions, it is thought that there should be more answers about the policy benefiting processes for universities and the best way to explore them is to ask it to the beneficiaries.

2.2.5 Outcomes

Radaelli (2000:15) explains the concept of ‘outcomes’ of Europeanization by “the magnitude of change and its direction”. Börzel (2000:10) defines outcomes as degrees of domestic change. According to Radaelli (2000:15) there are four possible outcomes of Europeanization. These are inertia, absorption, transformation and retrenchment.

According to him, “inertia” is a situation of lack of change. He claims (2000:15) that inertia may simply happen when a country finds that EU political architectures, choices, models or policy are too dissimilar to domestic practice. Inertia may take the forms of lags, delays in the transposition of directives, implementation as transformation, and sheer resistance to EU-induced change. He explains (2000:15) that “absorption” indicates change as adaptation. Domestic structures and policy legacy can absorb certain non-fundamental changes, but maintain their core without real modification of the essential structures. Radaelli (2000:15) highlights that Europeanization can also induce “retrenchment” and it implies that national policy becomes less ‘European’ than it was.

Börzel and Risse (2000:10) state that Europeanization can cause three different degrees of domestic change. These are absorption, accommodation, transformation. She writes (2003:15) that that inertia and retrenchment is included to the degrees of change. The explanation of inertia and retrenchment are the same with Radaelli’s explanation for them. Börzel and Risse (2000:10) assert that in “absorption”, member states are able to incorporate European policies or ideas and readjust their institutions without substantially modifying existing processes, policies, institutions and the degree of domestic change is low (2000:10). In “accommodation”, member states accommodate Europeanization pressure by adapting existing processes, policies and institutions without changing their essential features and underlying collective understandings attached to them. According to Börzel and Risse (2000:10), one way of doing this is patching up new policies and institutions onto existing ones without changing the latter. The degree of domestic change is modest. In “transformation”, Börzel and Risse (2000:10) explain that member states replace existing policies, processes, and

institutions by new and substantially different ones, or alter existing ones to the extent that their essential features and/or collective understandings are fundamentally changes. The degree of domestic change is high.

Radaelli (2003:39) further claims that there are four processes of transformation that can be traced out. These are interaction, robustness, equilibration and discourse. For interaction, he defines that it is the dimension of political experience. According to him, one way of detecting transformation is to look at how institutions become stronger in relation to other institutions in the context of their interactions. For robustness, he states that institutions become more robust by dint of advisory structures, improved policy technologies, stronger bureaucratic structures. He emphasizes that the first process concerns the interaction between an institution and its environment, the second process leads to research within the institution itself across the time (2003:39). For equilibration, he denotes (2003:40) that institutions develop through equilibration when they face crisis that does not fit with any of the repertoires of action. He underlines that development requires discontinuity with the past. The norms, rules through which the institutions learn are transformed and become institutionalised through experience. An finally, for the discourses, he says that discourse is fundamental both in giving shapes to new rules, values, and practices and in the production of legitimacy. Analysis of change will detect the presence and absence of transformative discourses. (2003:40)

Börzel and Risse (2003:70) state that sociological institutionalism argues that high adaptational pressure is likely to meet strong institutional inertia preventing any domestic change. New norms, rules and practices do not simply replace and harmonize existing ones (2003:70). Changes are expected under conditions of crisis or external coercion (Olsen 1996, in Börzel and Risse, 2003:70). According to them (2003:70) actors are more open to learning and persuasion, if new norms and ideas, albeit inconvenient, are compatible with collectively shared understandings and meaning structures. Therefore, medium pressure for adaptation, in existence of facilitating factors, is more likely to result in transformation in long run (2003:70). When there are no facilitating factors, it is more likely to result in accommodation and absorption.

However, they add that available empirical evidence does not allow yet them to evaluate these propositions. Further systematic research is necessary to link various causal mechanisms and intervening factors to the degree of domestic change.

3. PRE-ACCESSION FINANCIAL ASSISTANCE POLICY (PFAP) OF THE EU: INSTITUTIONALIZATION AT THE EU LEVEL AND IN TURKEY

In this Chapter, as an outset, main logic, historical evolution and decision making rules of ‘Cohesion Policy of EU’ is briefly overviewed. The necessity of this overview rests on that the principles of PFAP of the EU are emanated from the logic of Cohesion Policy. For instance, one of the goals of the IPA (Instrument for Pre-Accession) which Turkey has benefited since 2006 is supporting the countries' preparations for the implementation of the Community's cohesion policy, and in particular for the European Regional Development Fund and the Cohesion Fund. Therefore, taking an overview of the principal tenets of the policy facilitates the understanding of the operating logic of Pre-accession Financial Assistance Policy of the EU for Turkey. In second part of this Chapter, the changes in the state institutions, procedures, policy implementing methods in Turkey caused by the Pre-accession Financial Assistance Policy of EU are studied. In third part of this Chapter, the scope of conditions for universities in order to benefit from the PFAP of the EU is researched. The question is where the universities are located in this new system, processes, institutions, what conditions they might face if they want to propose a project or manage a project, whether if they have a say in these processes

3.1. Institutionalization of Cohesion Policy and PFAP in the EU

The EU has increasingly concerned with its internal economic and social cohesion since the 1970s. According to the official website of European Commission; one region in every four has a GDP (Gross Domestic Product) per head under %75 of the average of the total amount by 2008.⁶ That is to say, there are striking regional economic and social imbalances exist within the Union and some regions are in disadvantaged position. In that context, the aim of the cohesion policy of EU is defined as “reducing disparities between various regions” in the interest of “promoting economic and social progress” in Single European Act (1986). By the cohesion policy,

⁶ Please see EU Commission's official website: “Why do we need regional policy?” , http://ec.europa.eu/regional_policy/policy/why/index_en.htm , 16.01.2011

the EU aims to balance the burden of the single market for less-favoured regions and to ensure that spending is concentrated in the areas of need.

The main instruments of EU's cohesion policy are the "Structural and Cohesion Funds" aimed to redistribute part of the member states' budget contributions to the poorest regions. Parallel to the deepening and widening process of European integration, the EU's cohesion policy and its main instruments have been gradually strengthened by reforms. The major reforms were undertaken respectively in 1988, 1993, 1999 and 2006. Through the time, the cohesion policy becomes one of the essential aspects of European integration, on an equal footing with the single market and monetary union. Its progress is secured by the founding Treaties such as Rome Treaty (1957), Single European Act (1986), Maastricht Treaty (1992), Amsterdam Treaty (1997) and Lisbon Treaty (2007). In following sections, a brief overview about the aim, historical evolution, legal foundation and decision making system is presented.

3.1.1. Main Logic and the Goals

The EU includes 27 member states and 271 regions with 493 million inhabitants by 2011.⁷ There are striking regional economic and social imbalances exists within the Union and some regions are in disadvantaged position. McCormick (2002:122-128) explains that the disadvantaged regions are depressed agricultural areas with little industry, high unemployment, some are declining areas with outdated plants, some are geographically isolated from the opportunity offered by big markets, and most suffer low levels of education and have underdeveloped infrastructure. The EU's cohesion policy is built on the assumption that redistribution between richer and poorer regions in Europe is needed in order to balance the effects of further economic integration. The EU recognized this fact and called its regional policies by linking them to the word of "cohesion". In that context, the aim of the cohesion policy of European Union is defined as "reducing disparities between various regions" in the interest of "promoting economic and social progress" in Single European Act (SEA, 1986).

⁷ Why do we need regional policy? , Formal website of European Union, web access adress: "http://ec.europa.eu/regional_policy/policy/why/index_en.htm
Web access date: 15.01.2011

The rationale behind building a cohesion policy is maintaining the convergence between regional economies in order to achieve single market. According to this rationale, as long as the sharp differences exist, the attempts to build a level playing field for economic activity throughout the European single market will be undermined. The establishment of single market rests on factor mobility between the regions by four freedoms. According to Todt (1995:1-53), as the trade barriers are abolished through the single market, it is expected that income disparities among regions will be narrowed and finally disappeared. However, when the factor mobility is established between regions by four freedoms, the production factors may have the tendency to be concentrated more in wealthier areas. For instance, the entrepreneurs may not prefer to invest in disadvantaged regions with underdeveloped infrastructure, suffering from human resources or geographically isolated from the functioning markets. According to Baldwin and Wyplosz (2004:242-272), the transfer of resources should be made to favour disadvantaged areas, because it will promote more evenly distributed economic development in the whole region. With the same sense, Leonardi (1995:130-176) says that if integration is not supported with welfare gains for all member states, they will not go for further steps in integration in long run. In that context, by cohesion policy, the EU aims to balance the burden of the single market for less-favoured regions and to ensure that spending is concentrated in the areas of need.

3.1.2. Historical Evolution and the Reforms

The main instruments of EU's cohesion policy are the "Structural and Cohesion Funds" aimed to redistribute part of the member states' budget contributions to the poorest regions. Parallel to the deepening and widening process of European integration, the EU's cohesion policy and its main instruments have been gradually strengthened by reforms. The major reforms were undertaken respectively in 1988, 1993, 1999 and 2006. Each reform was a response to the enlargement process and the contemporary economic-political conjuncture which brought new deals and outcomes for the related stakeholders. Consequently, the implementation methods of the cohesion policy were in a position to be redefined

The Rome Treaty (1957) provided the seeds of cohesion policy for alleviating the regional disparities. However, there was no specific article on the creation of a Community cohesion policy or structural funds. In the Treaty's Preamble, member states noted their desire to "ensure harmonious development by reducing the differences among various regions and backwardness of the less favoured regions"

According to article 2, this would be achieved "by establishing a common market and progressively approximating the economic policies of Member States". For realizing this purpose, eleven objectives were set out in article 3, and three of them can be evaluated as giving the initial clues of a cohesion policy. First one is the article 3(d) envisaging "the adoption of a common policy in the sphere of agriculture" and the establishment of "agricultural guidance and guarantee funds". Second one is the article 3(i) envisaging "the creation of a European Social Fund. Additionally, the article 235 gave the competence to the Community to take further actions in order to attain these objectives.

Consequently, "European Social Fund (ESF)" was established in 1960 to support employment, enhance skills and education.⁸ In 1962, "The Guidance Section of European Agricultural Guidance and Guarantee Fund" was established as a part of Common Agricultural Policy (CAP). The aim of the fund is to support rural development and provide aid for farmers in the regions lagging behind. Allen (1996:212, in Wallace ed.) highlights that from Rome Treaty (1957), for almost two decades, the funds were provided to the member states, but the disparities between EC regions persisted.

The economic shock of 1973 and the following new economic restructuring sharpened developmental gaps among Member States. These gaps increased significantly with the accession of the United Kingdom and Ireland (1973). Consequently, by applying the article 235 of Rome Treaty, a specific policy instrument dedicated to the problem of unequal development between regions was established in 1975 and named as "European Regional Development Fund (ERDF)". EC aimed to

⁸ The articles 123-128 OF TEC is related with ESF

redistribute a part of the member states' budget contributions to the poorest regions by ERDF.

Coming into 1988, community had included Greece (1981), Spain and Portugal (1986) and confronted with the push towards greater economic and social cohesion given expression in the SEA (1986). Pose and Fratesi (2004:97-113) says that the accession of Spain and Portugal brought a considerable widening of regional disparities in the EU, leading to a doubling of the populations of less developed regions. In that context, for the first time, EC used the wording of "economic and social cohesion" in its article 130(a) by linking it to the aim of "reducing the disparities between the regions and backwardness of the least favoured regions"⁹. It laid the basis for a cohesion policy and envisaged the coordination of the three structural funds (ERDF, ESF, EAGGF-Guidance section) under some permanent principles. These principals were named as territorial and financial coordination, programming, partnership, and additionality.

According to the Council Regulation No 1260/1999, the 'programming' principle envisages that planning of expenditure is to be prepared for number of years. The 'partnership' principle mobilizes a series of players which are the regional and local authorities, the private sector, the social partners and civil society. The 'partnership', later associated with subsidiarity¹⁰, was planned to allow regions to be active partners to point out local demands and promote bottom-up policy making. According to the third report on economic and social cohesion of EC (2005), it was the first time that sub-national actors were entitled to participate in regional policy making through partnership principle.¹¹ As the third principle, the 'concentration' of funding means that financial support would be directed towards those regions that needed it most. The 'additionality' means that Community financing for a project would be additional to

⁹ History of Cohesion Policy, Formal website of European Union, web access address: www.ec.europa.eu/regional_policy, web access date: 15.01.2011

¹⁰ The principle of subsidiarity is defined in Article 5 of the Treaty establishing the European Community. It is intended to ensure that decisions are taken as closely as possible to the citizen and that constant checks are made as to whether action at Community level is justified in the light of the possibilities available at national, regional or local level. Specifically, it is the principle whereby the Union does not take action (except in the areas which fall within its exclusive competence) unless it is more effective than action taken at national, regional or local level.

other public and private financing of the beneficiary country. Following these principles, expenditure was focused on some objectives. These objectives is not explained in detail, because they were changed respectively in 1993, 1999 and given the final form which are valid for the time period of the thesis in 2006. The objectives by 2006 reforms are explained in detail and the main logic of the objectives established in 1888, 1993, and 1999 is briefly overviewed.

The enlargement including Austria, Finland and Sweden (1995) again formed the part of the context of the 93 reforms; however accession negotiations did not pose many problems to the member states, because they were relatively prosperous. According to Bache (2001:371) the crucial factor shaping the context of 1993 reform was the signing of ‘Maastricht Treaty of the European Union (TEU)’ in 1991. TEU upgraded the importance of EC regional policy in the context of further moves towards closer economic and political union. Article 2 of TEU envisages “promotion of balanced and harmonious development of activities in the whole of the Community, of durable growth ...etc...of economic and social cohesion and solidarity between the member states”.

In line with this mission, Maastricht Treaty (1992) envisaged the creation of ‘Cohesion Fund’ which would finance transport and environment infrastructure in the Member States whose GDP per capita is less than 90% of the Union’s average. Greece, Ireland, Spain and Portugal are known as cohesion countries. The Edinburgh European Council (December 1993) envisaged the establishment of a new financial Instrument; ‘Financial Instrument for Fisheries Guidance (FIFG)’.¹² The FIFG is designed to help achieve the aims of the common fisheries policy by providing structural assistance.¹³

In Helsinki Summit (1999), EU leaders agreed to start the process of membership negotiations with ten countries of Central and Eastern Europe (CEEC): Bulgaria, the Czech Republic, Estonia, Hungary, Latvia, Lithuania, Poland, Romania, Slovakia and Slovenia. The Mediterranean islands of Cyprus and Malta were also included. The prospect of new the enlargement raised very serious problems for

¹³ Council Regulation (EC) No 1263/1999 of 21 June 1999 on the Financial Instrument for Fisheries Guidance

economic and social cohesion, given the considerable development gap in their regions compared to the existing fifteen Member States. Bahtler and Downes (1999:793-800) say that among the new comers, there were strong disparities between urban and rural areas, core and periphery, west and east, and restructuring problems in old-industrial areas. That is to say, the candidate countries should have to adjust their domestic economic, political and institutional structures in line with EU standards in order to benefit from the cohesion policy in case of accession. Without the preparation period, it would not be possible to enable the weakest regions to take active roles in community cohesion policy. In order to share the costs and burdens of their adaptation period, the pre-accession strategy of the EU was strengthened and pre-accession assistance was introduced. The new pre-accession financial instruments were defined as:

- PHARE (Poland and Hungary: Aid for Economic Restructuring),
- ISPA (Instrument for Structural Policies for Pre-Accession),
- SAPARD (Special Accession Program for Agriculture and Rural Development).

The PHARE had been funding modernisation in the CEECs since Copenhagen Summit (1993). In 1997 and 1999, it was modified the better to meet the requirements of accession for candidate countries.¹⁴ Bailey and Propris (2004:77) say that the real target was to prepare candidate states that would cause problems for EU cohesion policy due to their low GDP per capita and centralized administrative structures. The PHARE program focused on two main priorities: Institution Building and Acquis-related Investment.¹⁵ The ISPA provided assistance for infrastructure projects in the EU priority fields of environment and transport in order to prepare them for accession.¹⁶ The SAPARD aimed to prepare candidates for the common agricultural policy, in

¹⁴History of Cohesion Policy, Formal website of European Union, web access address: www.ec.europa.eu/regional_policy, "Funds, ISPA", web access date: 15.01.2011

¹⁵ Enlargement Briefings, Formal website of European Union, web access address: http://www.europarl.europa.eu/enlargement/briefings/33a1_en.htm, web access date: 15.01.2011

¹⁶ Enlargement, How Does it Works?, web access address: http://ec.europa.eu/enlargement/how-does-it-work/financial-assistance/ispa_en.htm, web access date: 15.01.2011

particular for its standards of food quality and consumer and environmental protection.¹⁷ In this regard, another cohesion instrument named as ‘twinning’ was designed. Twinning aims transfer of knowledge and competencies for member states to candidate states by cooperation.

In March 2000, the European Council adopted a strategy focusing on employment and designed to make the Union ‘the most competitive and dynamic knowledge-based economy in the world by the year 2010’ in Lisbon. It was ‘Agenda 2000’ and consisted of a series of complementary reforms responding to the challenges which the European Union would face in the following years. Parallel to these occurrences, the implementation methods of cohesion policy were again redefined. In general terms, the 1999 reform increased the concentration of assistance and moved towards the simplification and decentralization of its management. Concentration was increased by reducing the number of objectives from six to three. Also, the EAGGF is divided into two Sections: Guarantee Section, Guidance Section¹⁸.

In 2004, CEEC countries joined to the EU. This historic enlargement brought 20% increase in the EU’s population, but only a 5% increase in Union’s GDP.¹⁹ However, the enlargement also would be followed by accession of Bulgaria and Romania in 2007. The economic and social disparities were significantly deepened with the enlargements. In terms of per-capita income, Luxembourg was in position that seven times richer than Romania was. At the regional level, the difference is even bigger: the richest region is Inner London with 290% of the EU-27’s per-capita income, while the poorest region is Nord-Est in Romania with 23% of the EU average.²⁰ Actions for

¹⁷ Agriculture and Rural Development, Enlargement, web access address http://ec.europa.eu/agriculture/external/enlarge/back/index_en.htm web access date: 15.01.2011

¹⁸ The Guarantee Section's main purpose is to fund expenditure arising from the common organisation of the markets and agricultural prices, rural development measures accompanying market support and rural measures outside Objective 1 regions, expenditure on certain veterinary measures and information measures relating to the CAP; the Guidance Section funds other rural development expenditure not funded by the Guarantee Section, including the LEADER+ Initiative.

¹⁹“History of Cohesion Policy”, Formal website of European Union, web access address: www.ec.europa.eu/regional_policy , web access date: 15.01.2011

²⁰ Ibid.

convergence, competitiveness and employment should therefore be increased throughout the Community.

In that context, for the 2007-2013 periods, Commission published a package including regulations adopted by the Council and laid the renewed legal basis for cohesion. The renewed legal basis is explained in the regulation numbered as 1083/2006, 1080/2006, 1081/2006, 1084/2006, 1828/2006, 1085/2006, 1082/2006. The main logic of content of the regulations is the concentration of objectives of the financial assistance for 2007-2013 period is under three core objectives. These are named as 'convergence', 'regional competitiveness and employment' and 'territorial cooperation'.

'The Convergence' objective aims to help the least-developed Member States and regions catch up more quickly with the EU average by improving conditions for growth and employment. With this objective, NUTS-2 regions which the gross domestic product per capita is below the 75% of EU-27 average, and gross national income per capita below 90% of the EU-27 are intended to provide support. 'Regional Competitiveness and Employment' objective aims to strengthen the competitiveness, employment and attractiveness of regions other than those which are the most disadvantaged. It helps to economic and social changes, promote innovation, entrepreneurship, protection of the environment, accessibility, adaptability and the development of inclusive labour markets. The objective aim at supporting the NUTS1 and NUTS2 regions which are not included by objective of convergence and the regions with gross domestic product per capita above the 75% of EU-27. 'European Territorial Cooperation' objective aims to strengthen cross-border, transnational and inter-regional cooperation. It aims to promote common solutions for neighbouring authorities in the fields of urban, rural and coastal development, the development of economic relations and the creation of networks of small and medium-sized enterprises (SMEs). Cooperation will be based around research, development, information society, the environment, risk prevention. It support the NUTS 3 regions

In 2006, in the interests of coherence and consistency of Community assistance, assistance for candidate countries as well as for potential candidate countries

were combined under a single framework for 2007-2013 budget period; IPA (Instrument of the Pre Accession Assistance). According to IPA Regulation²¹, the assistance will be based on the below principles:

a) Assistance shall be provided in accordance with the general policy framework for pre-accession, defined by the European and Accession Partnerships, and taking due account of the Reports and the Strategy Paper comprised in the annual Enlargement package of the Commission.

b) Beneficiary country is required to manage Community funds in a decentralised manner.

c) Funds shall be allocated according to multi-annual planning documents.

d) Assistance shall be Programmed and implemented according to the following components.

Two of them components concern all beneficiary countries:

- The ‘support for transition and institution-building’ component, aimed at financing capacity-building and institution-building;
- The ‘cross-border cooperation’ component, aimed at supporting the beneficiary countries in the area of cross-border cooperation between themselves, with the EU Member States or within the framework of cross-border or inter-regional actions.

The other three components are aimed at candidate countries only:

- The ‘regional development’ component, aimed at supporting the countries' preparations for the implementation of the Community’s cohesion policy, and in particular for the European Regional Development Fund and the Cohesion Fund;

²¹ Council Regulation (EC) No 1085/2006 of 17 July 2006 establishing an Instrument for Pre- Accession Assistance (IPA)

- The ‘human resources development’ component, which concerns preparation for participation in cohesion policy and the European Social Fund;
- The ‘rural development’ component, which concerns preparation for the common agricultural policy and related policies and for the European Agricultural Fund for Rural Development (EAFRD).

3.1.3. Decision Making Rules

The Treaty of Lisbon entered into force on 1 December 2009. It increased power of the European Parliament regarding the cohesion policy. The Lisbon Treaty expands the co-decision procedure to the decisions regarding cohesion policy in defining the tasks, priority objectives and the organisation of the Structural Funds, which may involve grouping the funds. The increase of co-decision procedure in policy making will ensure that the European Parliament is placed on an equal footing with the Council, representing Member States for the EU legislation on cohesion policy. Since its members elected by the citizens of the European Union to represent their interests, European Parliament’s further participation to the decisions regarding cohesion policy may lead to decisions to be closer to the interest of EU citizens. This will also increase transparency and democratic control over the redistribution of the funds and ensure that spending is concentrated in the areas of need. Although the Structural Funds are part of the Community budget, the way they are spent is based on a system of shared responsibility between the European Commission and Member State authorities²²:

- The Commission negotiates and approves the development Programs proposed by the Member States, and allocates resources.
- The Member States and their regions manage the Programs, implement them by selecting projects, control and assess them.
- The Commission is involved in Program monitoring, commits and pays out approved expenditure and verifies the control systems.

²² This information is taken from the formal website of European Union, http://ec.europa.eu/regional_policy/policy/why/index_en.htm. web access adress: 21.02.2011

The formal webpage of Commission identified 9 steps for the allocation process of Structural to the member states²³:

1. The Structural Funds budget and the rules for its use are decided by the Council and the European Parliament on the basis of a proposal from the European Commission.

2. The Commission makes a proposal after having consulted with Member States over the Community strategic guidelines on cohesion. The guidelines guarantee that Member States adjust their programming in line with the priorities of the Union.

3. Each Member State prepares a National Strategic Reference Framework (NSRF), coherent with the Strategic Guidelines, over the course of an on-going dialogue with the Commission. The rules outline that, after the adoption of the strategic guidelines, a Member State has five months to send its NSRF to the Commission. That document defines the strategy chosen by the Member State and proposes a list of operational Programs that it hopes to implement. The Commission has three months after receipt of the NSRF to make any comments and to request any additional information from the Member State.

4. The Commission validates certain parts of the NSRF that require a decision, as well as each operational Program (OP). The OPs present the priorities of the Member State (and/or regions) as well as the way in which it will lead its programming. For the 2007-2013 period, around 450 operational Programs will be adopted by the European Commission. Economic and social partners as well as civil society bodies participate in the programming and management of the OPs.

5. After the Commission has taken a decision on the operational Programs, the Member States and its regions then have the task of implementing the Programs, i.e. selecting the thousands of projects, and to monitor and assess them. All this work takes place through what are known as management authorities in each country and/or each region.

²³ Ibid.

6. The Commission commits the expenditure (to allow the Member State to start the Programs)

7. The Commission pays the certified expenditure per Member State

8. The Commission monitors each operational Program alongside the Member State. Strategic reports are submitted by the Commission and by the Member States throughout the 2007-2013 programming period.

3.2. Turkey and Pre-Accession Financial Assistance Policy

In second part of Chapter 3, the changes in the state institutions, procedures, policy implementing methods in Turkey caused by the Pre-accession Financial Assistance Policy of EU are studied. It includes the analysis of the EU templates, regulations, directives, operational rules, procedures about Pre-Accession Financial Assistance Policy for Turkey. The aim is to set forth the detailed operating model and the logic that EU offers state institutions in Turkey to follow for benefiting the policy. In that context, the second part includes practical process flowcharts identifying the responsibilities of actors both from EU and Turkey's side and also comprises the analysis of the templates that Turkish government published to meet the requirements conditioned by the EU. The Community programs are evaluated in the general framework of PFAP by Secretariat General of EU Affairs in Turkey, nevertheless their implementing methods are slightly different from that of the programs under PFAP

After analysing the legal templates, this section firstly has been divided into two sections and then a third section has been added. The first section is titled as 'Changes in the State Institutions: 1999-2006' while the title of the second one is 'Changes in the State Institutions: 2007-2010'. The third section titled as the 'Structure for Benefiting the Community Programs in Turkey' has been discussed additionally since the Community programs are identified in the general framework of PFAP by Secretariat General of EU Affairs in Turkey, however, their implementing methods are slightly different from that of the programs under PFAP. To mention the numerical size

of the EU's financial assistance to Turkey will be remarkable prior to proceeding to the findings in this section.

EU financial assistance has been transferred to Turkey through a variety of financial protocols from the Ankara Agreement (1963) and Customs Union Decision (1996). Accordingly; the amount transferred to Turkey within the framework of financial protocols is 752 million ECU. Between the years 1996-1999, the amount of financial assistance transferred to Turkey by EU is nearly 642 million Euros. Turkey-EU relations entered a new era after Turkey was granted the candidate status in the Helsinki Summit (1999). The financial assistance allocated to Turkey has been collected under a single framework with the 'Council Regulation of 17 December 2001 concerning Pre-Accession Financial Assistance for Turkey'.

In 2006, with a regulation, the European Commission has included the financial assistance provided under the various financial assistance programs until this year under a new and single framework mechanism for the period 2007-2013 named 'Instrument for Pre-Accession-IPA'. The basic objective of IPA is to prepare the candidate countries to programming, management and implementation processes of Structural and Cohesion Policy of the EU. In this context, the EU has provided approximately a total of 4,468 billion Euro of financial assistance to Turkey between the years 2000-2010.

When we look at all of the years between 1964-2010 we can see that a total of 6,455 billion Euro of financial assistance has been transferred to Turkey, 3,333 billion Euro of which is as credits and 3,121 billion Euro which is as grants. According to reports from Secretariat General of EU, the amounts transferred to Turkey under Community programs are also included within the total amount.

Table 2: The Amount of Financial Assistance of EU to Turkey (1964-2010)

AMOUNT OF FINANCIAL ASSISTANCE OF EU TO TURKEY (1964-2010)								
1964-1996			1996-1999			1999-2010		
Fund Type/Program Name	Period	Amount(ECU)	Fund Type/Program Name	Period	Amount (EURO)	Fund Type/Program Name	Period	Amount(EURO)
CREDITS	1964-1996	1.266.436.000	CREDITS	1996-1999	217.000.000	CREDITS	2000-2007	1.850.000.000
1. Financial Protocole	1964-1969	175.000.000	EURO-MED-I	1995-2000	205.000.000	EUROMED	2000-2003	870.000.000
2. Financial Protocole	1971-1977	219.936.000	Venture Capital	1999	12.000.000	Special Action Plan	2002-2003	230.000.000
Additional Protocole	1971-1977	47.000.000	GRANTS		425.400.000	Pre-accession Facility	2002	150.000.000
3. Financial Protocole	1979-1982	310.000.000	Grant Under Various Programs	1992-1999	14.000.000	TERRA-I	2000-2003	450.000.000
4. Financial Protocole	1982-1986	0	Earthquake Emergency Assistance	1999	30.000.000	TERRA-II	2000	150.000.000
Renewed Mediterranean Policy Program	1992-1996	339.500.000	Earthquake Rehabilitation	1999	1.000.000	GRANTS		2.618.537.883
Gulf War Credits	1991	175.000.000	Eathquake Relief (ECHO)	1999	4.000.000	MEDA (B-7 4100)	2000-2001	343.058.000
GRANTS		78.000.000	MEDA-1	1997-1999	376.400.000	European Strategy for Social and Economic Development (B-7 4036)	2001	47.000.000
Special Cooperation Fund	1982-1986	75.000.000				Marmara Earthquake Rehabilitation Program	2000	20.000.000
Administrative Cooperation Fund	1993-1995	3.000.000				European Strategy for Strengthening The Customs Union (B-7 4035)	2000	13.000.000
						Pre-accession Assistance (Including Participating Community Programs)	2002	126.000.000
						Pre-accession Assistance (Including Participating Community Programs)	2003	144.000.000
						Pre-accession Assistance (Including Participating Community Programs)	2004	235.600.000
						Pre-accession Assistance (Including Participating Community Programs)	2005	300.000.000
						Pre-accession Assistance (Including Participating Community Programs)	2006	450.000.000
						Pre-accession Assistance (IPA)(Including Participating Community Programs)	2007	261.393.950
						Pre-accession Assistance (IPA)(Including Participating Community Programs)	2008	256.125.297
						Pre-accession Assistance (IPA)(Including Participating Community Programs)	2009	204.550.810
						Pre-accession Assistance (IPA)(Including Participating Community Programs)	2010	217.809.826
TOTAL 1		1.344.436.000	TOTAL 2		642.400.000	TOTAL 3		4.468.537.883
TOTAL (1+2+3)					€ 6.455.373.883			

This table is prepared by the author by benefiting the information sent by General Secretariat of EU Affairs in Turkey in 14.11.2008 and 13.10.2011 in the context of law of information, and the information in the formal website of State Planning Institution, www.abfonlari.gov.tr in 24.04.2012

3.2.1. Changes in the State Institutions: 1999-2006

The financial cooperation between Turkey and EU started from Ankara Agreement (1963) and implemented under Financial Protocols until the Customs Union Decision in 1996. According to the framework of Customs Union and in accordance with the Turkey-EU Association Council Decision No 1/95, Turkey was able to access EU budgetary sources and EU's credit and grants under programs designated for the Mediterranean countries.

With Helsinki Summit (1999), Turkey's status as a candidate country was recognized by the EU and Turkey-EU relations entered a new phase. In that context, the quality and quantity of the aid provided to Turkey also changed. The EU declared that same conditions with other candidate countries would be valid for Turkey during the pre-accession period. Consequently, grant schemes for Turkey were combined under a single framework according to 'Council Regulation Concerning Pre-Accession Financial Assistance for Turkey of 17 December 2001'²⁴. According to the regulation, the Community shall provide pre-accession financial assistance to Turkey to support the priorities defined in the Accession Partnership Document²⁵ for Turkey. The assistance shall be in the forms of:

- grants,
- financing Programs or projects
- services, supplies and works,
- investment (may not cover the purchase of either land or buildings)

The beneficiaries of this assistance may include not only the Turkish State but also provincial and local authorities, business support organizations and agencies, cooperatives and civil society, in particular organizations representing the social

²⁴ You can see COUNCIL REGULATION (EC) No 2500/2001 of 17 December 2001 concerning pre-accession financial assistance for Turkey and amending Regulations (EEC) No 3906/89, (EC) No 1267/1999, (EC) No 1268/1999 and (EC) No 555/2000

²⁵ The purpose of the Accession Partnership is to assist the Turkish authorities in their efforts to meet the accession criteria. The Partnership places particular emphasis on political criteria. It covers in detail the priorities for Turkey's accession preparations, with particular reference to implementation of the acquis, and provides a reference framework for directing pre-accession assistance.

partners, associations, foundations, non-profit-making organizations and non-governmental organizations. Co-financing principle was adopted. The co-financing principle holds that part of the cost of an action or of the running costs of an entity is borne by the beneficiary of the grant or by contributions other than the European Commission's contribution. The aim of the co-financing requirement is to make beneficiaries responsible for the operational and financial viability of their projects. Programs and projects shall take account of the following factors:

- (a) Their effectiveness and prompt viability;
- (b) Cultural, social and gender aspects;
- (c) Conservation and protection of the environment on the basis of the principles of sustainable development;
- (d) Institutional development necessary to achieve Program and project goals;
- (e) Experience gained from Programs and projects of the same kind.

With the regulation, EU envisaged the establishment of a new implementation system to be incorporated to Turkey's institutional structure of domestic politics for the management of the EU's pre-accession financial assistance policy. It is called 'Decentralized Implementation System (DIS)'. The purpose of the 'DIS' is to provide the appropriate legal and administrative framework for the transfer of responsibilities of the implementation of EU funding process from the European Commission to the partner countries. In the early years the implementation of EU funded programs was essentially carried out by the European Commission on behalf of the partner countries. The process had gone in stages and differed not only from country to country but also from sector to sector.²⁶ By the regulation, more and more responsibility has been delegated from a centralized Brussels administration to institutions in the partner countries. The main characteristics of DIS are:

²⁶ This information is taken from the official website of Central Finance and Contracting Unit in Turkey; web access address: <http://www.cfcu.gov.tr/about.php?lng=en&action=shortintro> , web access date: 31.01.2009

1) The assistance for Turkey from the European Union is focused on the priorities arising from the Accession Partnership.

2) The DIS involves the transfer of project management responsibility (i.e. tendering, contracting and payment) to the authorities in the partner countries under the supervision of the European Commission.

3) The different phases of the financial cooperation will be executed and inspected by the different persons and departments in Turkey.

4) The beneficiaries of this assistance will include not only the state but also provincial and local authorities, business support organizations and agencies, cooperatives and civil society, in particular organizations representing the social partners, associations, foundations, non-profit-making organizations and non-governmental organizations.

In order for Turkey to provide the institutional framework to comply with the regulation, a Prime Ministry Circular-2001/41 was published in 2001 providing the legal and administrative basis for the national institutions which are designated to manage the various functions of the decentralized system, thereby allowing the necessary institutions to be created. Consequently, The European Commission transferred its contracting authority to the Turkish government in 2003 and new administrative posts and implementing units were incorporated on the centralized institutional structure of Turkish state. You can see the empowered implementation structure for financial cooperation for 1999-2006 in Figure 1 and the new posts, institutions, implementing units in turkey and their function for the implementation of DIS in Figure 2.

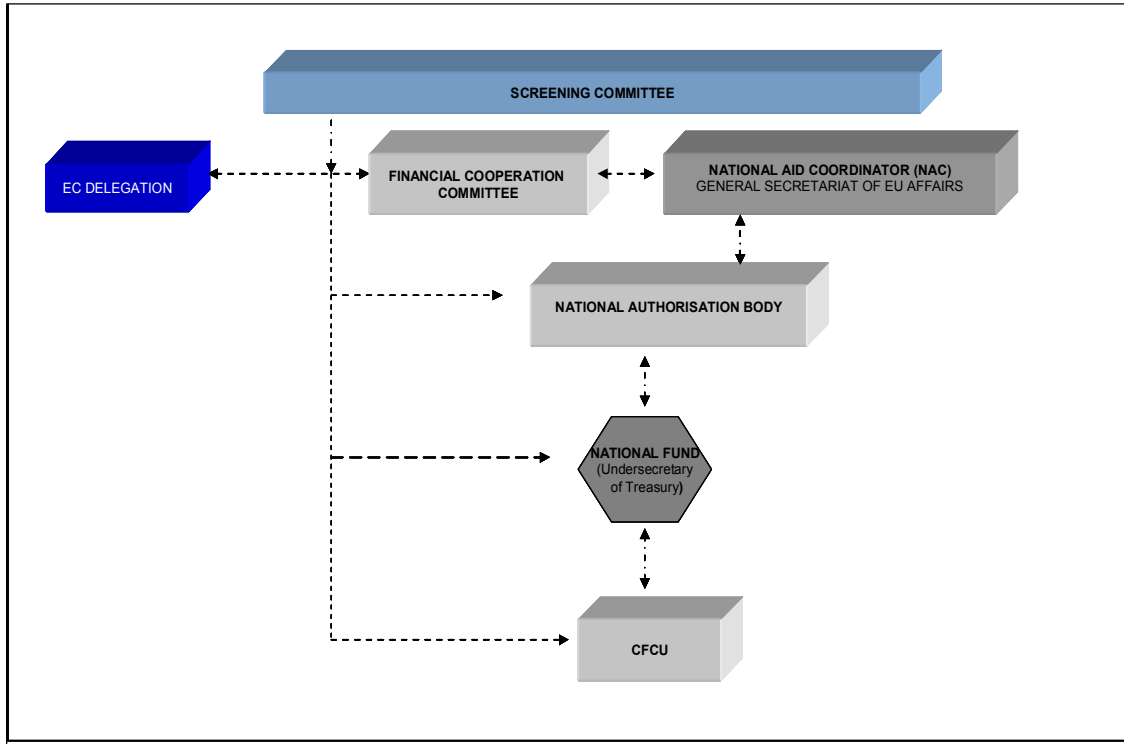


Figure 1 New Institutions for the Implementation of De-centralized Implementation System in Turkey (1999-2006)

Source: Table is prepared by the author according to:

- 1) Council Regulation (EC) No 390/2001 of 26 February 2001 on assistance to Turkey in the framework of the pre-accession strategy, and in particular on the establishment of an Accession Partnership
- 2) Council Regulation (EC) No 2500/2001 of 17 December 2001 concerning pre-accession financial assistance for Turkey and amending Regulations (EEC) No 3906/89, (EC) No 1267/1999, (EC) No 1268/1999 and (EC) No 555/2000
- 3) Genelge 2001/41, Başbakanlık Personel ve Prensipler Genel Müdürlüğü, Sayı: B.02.0.PPG.0.12-320-11540 18/07/2001

National Aid Coordinator, the Secretariat General for EU Affairs and Deputy Prime Minister, is responsible for ensuring a close link between the general accession process and the use of Community financial assistance. Community funds are channelled to National Fund which is institutionalized under the Treasury Ministry. The accounts of the assistance are kept in National Fund. National Authorization Officer, Minister of Economy, is responsible with the financial management of all Programs and

directs National Fund by channelling the redistribution of funds to the relevant beneficiaries. Central Finance and Contracts Unit (CFCU) manages the overall budgeting, tendering, contracting, payments, accounting and financial reporting aspects of all procurement in the context of EU funded Programs in Turkey. It operates as an independent body but is attached to the EU Secretariat General and the National Aid Coordinator.

NEW POSTS/INSTITUTIONS	IMPLEMENTING UNIT in Turkey	FUNCTIONS
<i>National Aid Coordinator</i>	Secretary General for EU Affairs and Deputy Prime Minister	*Responsible for ensuring a close link between the general accession process and the use of Community financial assistance.
<i>National Fund</i>	Institutionalized under the Treasury Ministry	*The entity through which the Community funds are channelled and which keeps the accounts of the assistance.
<i>National Authorisation Officer</i>	Minister of Economy	*Financial management of all programmes *Channels redistribution of funds to the relevant beneficiaries *Financial reporting to the Commission
<i>Central Finance and Contracts Unit (CFCU)</i>	Prime Ministry Project Coordination Unit	*Responsible for overall budgeting, tendering, contracting, payments, accounting and financial reporting aspects of all procurement in the context of EU funded programmes in Turkey. *Operates as an independent body but is attached to the EU Secretariat General and the National Aid Coordinator.
<i>Financial Cooperation Committee</i>	Representatives of: Ministry of Foreign Affairs Underscretary of Treasury Secretary General for EU Affairs (ABGS) State Planning Organisation(DPT) Economy Ministry	*Determines the thematic priorities of funds. *Drafts annual programs for thematic priorities. *Maintain the efficient distribution of the funds according to the annual programs *Maintains the overall operating harmony of the financial cooperation process.
<i>Screening Committee</i>	Representatives of: National Aid Coordinator National Authorisation Body Financial Cooperation Committee EU Delegation of Turkey.	*Meets at least once a year to evaluate existing programmes whether the targets at financial memorendums are met. * Can offer revision of the priorities determined by Financial Cooperation Committee, transfer of money between programs or additional fund.

Figure 2: New Posts, Institutions, Implementing Units in Turkey and Their Function for the Implementation of DIS (1999-2006)

Source: Table is prepared by author according to:

- 1) Law of Genelge 2001/41, Başbakanlık Personel ve Prensipler Genel Müdürlüğü, Sayı: B.02.0.PPG.0.12-320-11540 18/07/2001

2) EU's official website: www.ec.europa.eu

Financial Cooperation Committee composed of the representatives of the Ministry of Foreign Affairs, Undersecretary of Treasury; Secretariat General for EU Affairs (ABGS), State Planning Organisation (DPT), and Economy Ministry maintains the overall operating harmony of the financial cooperation process. Screening Committee meets at least once a year to evaluate existing Programs whether the targets at financial memorandums are met. It is composed of the National Aid Coordinator, National Authorization Body, Financial Cooperation Committee, representatives of EU Delegation of Turkey. In 2003, Commission agreed that the system met the required standards and the projects were given start.

According the EU model defined in previous two tables has six phases from the funding decision to the screening of the process. These phases can be identified as 1-Budget decision Phase, 2-Programrammimng Phase, 3-Evaluation Phase, 4-Financial Agreement Phase, 5-Ipmlementation Phase and 6-Screening Phase and can be followed in Figure 3. In the budget decision phase, Commission proposes the financial resources, related legislation, priorities about financial assistance to the Council and Parliament. Council and Parliament agree on the annual budget amount allocated for Turkey. In the programming phase, Commission assesses annually the priority areas where progress is needed in order to prepare for accession through Progress Reports, Accession Partnership Document. Secretariat General for EU Affairs sets out the measures through which Turkey will make progress to meet and assume the obligations of membership (Copenhagen criteria). The projects and programs to meet Accession Partnership Document are outlined. Than Turkey declares its National Program. Fund beneficiaries in Turkey read National Program and submit their project ideas to government institutions mostly to the related ministries. The ministries evaluate the project ideas and prepare project fiches, submits them Secretary General for EU Affairs. Secretariat General for EU Affairs evaluates technically the logical framework of the project fiches, and their compatibility to National Program and Accession Partnership Document, sends them to Financial Committee.

PRE-ACCESSION FINANCIAL ASSISTANCE PROCESS FOR TURKEY: 1999-2006 PERIOD			
RESPONSIBLE		ACTION	PHASES
EUROPEAN COMMISSION		Proposes (Financial resources, legislation, Priorities)	PHASE 1 (BUDGETARY DECISION)
COUNCIL		Decides or co-decides (Adoption of legislation)	
EUROPEAN PARLIAMENT		Agrees with/without modifications	
COUNCIL		Decides on annual budget amount allocated per candidate country	PHASE 2 (PROGRAMMING)
EU COMMISSION (DG Enlargement)		Assesses annually the priority areas where progress is needed in order to prepare for accession	
EU COMMISSION (DG Enlargement)		PROGRESS REPORT FOR CANDIDATE COUNTRY is evaluated	
EU COMMISSION (DG Enlargement)		ACCESSION PARTNERSHIP DOCUMENT is prepared	
SECRETARY GENERAL FOR EU AFFAIRS (TURKEY)		Sets out the measures through which Turkey will make progress to meet and assume the obligations of membership (Copenhagen criteria). Outlines the projects and programmes to meet Accession Partnership Document.	
SECRETARY GENERAL FOR EU AFFAIRS (TURKEY)		NATIONAL PROGRAMME FOR THE ADOPTION OF THE ACQUIRE (NPAA) is prepared	
FUND BENEFICIARIES (TURKEY) •Provincial and local authorities •Business support organisations and agencies •Cooperatives, associations, foundations, non-profit-making organisations •Non-governmental organisations •Universities		Read National Programme and submit their project ideas to government institutions (ministries)	
MINISTRIES (TURKEY)		Evaluates the project ideas and prepare project fiches, submits them Secretary General for EU Affairs	
SECRETARY GENERAL FOR EU AFFAIRS (TURKEY)		Secretary General For EU Affairs evaluates technically the logical framework of the project fiches, and their compatibility to NP and ACP, sends them to Financial Committee	
FINANCIAL COMMITTEE (TURKEY) Representatives of Ministry of Foreign Affairs, Undersecretary of Treasury and Secretary General for EU Affairs (ABGS), State Planning Organisation (DPT), Economy Ministry		Determines the annual program for priority themes to be funded according to the project fiches, sends it to national aid coordinator	
NATIONAL AID COORDINATOR (TURKEY)		Sends annual program to European Commission	PHASE 3 (EVALUATION)
EUROPEAN COMMISSION		European Commission evaluates the program and give decision on Financial Memorandum	
EUROPEAN UNION DELEGATION (TURKEY)		Sends the Financial Memorandum to National Aid Coordinator	PHASE 4 (FINANCIAL AGREEMENT)
NATIONAL AID COORDINATOR (TURKEY)		Sends the approved projects fiches to the government institutions and the Financial Committee and sends a confirmation letter for the national contribution rates per projects to EU Commission	
NATIONAL AID COORDINATOR AND EUROPEAN COMMISSION		Financial Memorandum is signed	PHASE 4 (IMPLEMENTATION)
NATIONAL AUTHORISATION OFFICER (TURKEY)		Heads the financial management process, Requests the funds from the Commission, direct them to the NATIONAL FUND and CFCU, reports to the EU Commission	
CFCU (TURKEY)		Responsible for overall budgeting, tendering, contracting, payments, accounting and financial reporting aspects of all procurement and opens tenders for the beneficiaries	
FUND BENEFICIARIES (TURKEY)		Beneficiaries send their project proposals in forms of tenders, twinings and direct contracts	
CFCU (TURKEY)		Evaluates the proposals and publish the winners	
FUND BENEFICIARIES (TURKEY)		Implement the projects and sent periodic technical and financial progress reports to the CFCU	
CFCU (TURKEY)		Reports the aspects of fund procurement process to National Aid Coordinator	
SCREENING COMMITTEE (TURKEY) National Aid Coordinator, National Authorisation Officers, representatives from Financial Cooperation Committee, EU Delegation of Turkey.		Overall evaluation existing programmes whether the targets at financial memorandums are met.	PHASE 5 SCREENING

Figure 3: Pre-accession Financial Assistance Process for Turkey: 1999-2006 Period

Source: Table is prepared according to:

- 1) COUNCIL REGULATION (EC) No 390/2001 of 26 February 2001 on assistance to Turkey in the framework of the pre-accession strategy, and in particular on the establishment of an Accession Partnership

2) COUNCIL REGULATION (EC) No 2500/2001 of 17 December 2001 concerning pre-accession financial assistance for Turkey and amending Regulations (EEC) No 3906/89, (EC) No 1267/1999, (EC) No 1268/1999 and (EC) No 555/2000

3) GENELGE 2001/41, BAŞBAKANLIK Personel ve Prensipler Genel Müdürlüğü, Sayı: B.02.0.PPG.0.12-320-11540 18/07/2001

The Financial Committee determines the annual program for priority themes to be funded according to the project fiches, sends it to National Aid Coordinator. National Aid Coordinator sends annual program to European Commission. In the financial agreement phase, European Commission evaluates the programs and declares its decision on Financial Memorandum. European Union Delegation in Turkey sends the Financial Memorandum to National Aid Coordinator.

The National Aid Coordinator sends the approved projects fiches to the government institutions and the Financial Committee and sends a confirmation letter for the national contribution rates per projects to EU Commission. Then the financial memorandum is signed between the National Aid Coordinator and European Commission. National Authorization Officer responsible with the financial management process requests the funds from the Commission, direct them to the National Fund and CFCU. The CFCU is responsible for overall budgeting, tendering, contracting, payments, accounting and financial reporting aspects of all procurement and opens tenders for the beneficiaries. Beneficiaries send their project proposals in forms of tenders, twinning and direct contracts. CFCU evaluates the proposals and publish the winners and projects are implemented by the winner beneficiaries. They implement the projects and sent periodic technical and financial progress reports to the CFCU. CFCU reports the aspects of fund procurement process to National Aid Coordinator. Screening Committee evaluates existing Programs whether the targets at financial memorandums are met and prepares screening reports. These reports are reviewed by National Aid Coordinator and send to the Commission.

The offered model by EU in templates for the implementation of the PFAP in Turkey was totally new for the state institutions, however de-centralized implementation system is established and incorporated in state structure and operated

until 2006 without an impediment and EU's financial assistance transferred to the eligible projects proposed by the addresses policy beneficiaries.

3.2.2. Changes in the State Institutions: 2007-2010

In 2006, with the IPA Council regulation (Council Regulation No 1085/2006 Of 17 July 2006 Establishing An Instrument For Pre-Accession Assistance), the European Commission has included the financial assistance provided under the various financial assistance programs (ISPA, SAPARD, PHARE, CARDS, Turkey Regulation) until this year under a new and single framework mechanism for the period 2007-2013 named 'Instrument for Pre-Accession-IPA'. The basic objective of IPA is to prepare the candidate countries to programming, management and implementation processes of Structural and Cohesion Policy of the EU. The Commission shall ensure the validity of the following principles concerning assistance under the IPA Regulation:

- Assistance granted shall respect the principles of coherence, additionality, co-ordination, partnership and concentration.
- Assistance shall be coherent with EU policies and shall support alignment to the *acquis communautaire*.
- Assistance shall be consistent with the needs identified in the enlargement process and absorption capacities of the beneficiary country. It shall also take account of lessons learned.
- The beneficiary country shall seriously be encouraged to undertaken the programming and execution of the assistance.
- Operations shall be properly prepared, with clear and verifiable objectives which are to be achieved within a given period.
- Any discrimination based on sex, racial or ethnic origin, religion or belief, disability, age or sexual orientation shall be prevented during the various stages of the implementation of assistance.

- The objectives of pre-accession assistance shall be pursued in the framework of sustainable development and the Community promotion of the goal of protecting and improving the environment.

It was stated in first part of Chapter 3 that IPA comprises of following components and the contents thereof were elucidated:

1. Institutional Capacity Building,
2. Regional and Cross-Border Cooperation,
3. Regional Development,
4. Human Resources Development,
5. Rural Development.

Two groups of countries as candidates and potential candidates will benefit from the Assistance to be available within the purview of IPA. The candidate countries will receive assistance within the framework of all components; however potential candidate countries will be able to benefit from assistance to be delivered only within the scopes of component 1 and 2. You can see the countries to benefit from IPA in Table 3:

Table 3: The Countries to Benefit From Instrument for Pre-accession (IPA)

Candidate Countries	Turkey
	Croatia
	Macedonia
Potential Candidate Countries	Albania
	Bosnia and Herzegovina
	Serbia
	Montenegro

It is especially targeted to provide support to the efforts of the candidate and potential candidate countries with the implementation of IPA Program in the following fields:

- Strengthening of democratic institutions and the implementation of the principle of the rule of law,

- The promotion and the protection of human rights and fundamental freedoms and enhanced respect for minority rights,
- Public administration reform,
- Implementation of economic reforms,
- Social inclusion,
- The development of gender equality and prevention of discrimination,
- Supporting civil society,
- Regional and cross-border cooperation, advancement of peace and reconstruction,
- Corporate restructuring,
- Ensuring sustainable development,
- To contribute to poverty reduction.

Framework Agreement on Pre-Accession Assistance between Turkey and the EU has been approved in 2008. IPA Regulation, like all candidate countries, has led to a new implementation mechanism, new duty descriptions, new documents and establishment of new units for Turkey. However, complying with the IPA Regulation has not been very difficult for Turkey due to performance of intensive harmonization efforts thereof to ‘Council Regulation of December 17, 2001 concerning Pre-Accession Financial Assistance for Turkey’. New duty descriptions such as ‘Competent Accrediting Officer’, ‘National IPA Coordinator’, ‘Sectoral Coordinator’, ‘Operational Units’ have come up within the purview of IPA and the ministries were included in the application process with increased responsibilities, their duties became clear, and the system has been made closer to a decentralized format. You can see the IPA implementation structure and functions thereof in Figure 4 and Table 4.

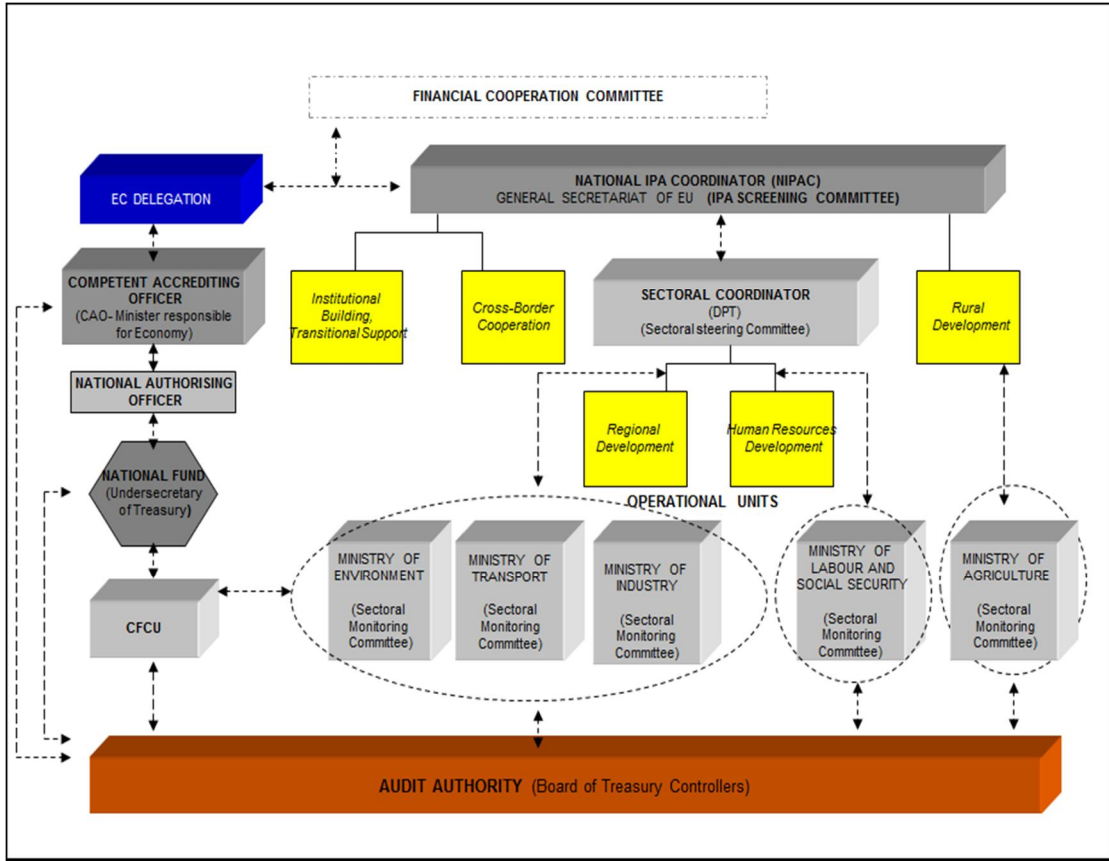


Figure 4: New Institutional Structure for Implementing PFAP under IPA (2006-2010)

Source: Table is prepared by author according to:

- 1) Commission Regulation (EC) No 718/2007 of 12 June 2007 implementing Council Regulation (EC) No 1085/2006 establishing an instrument for pre-accession assistance (IPA) (29.06.2007)
- 2) Council Regulation (EC) No 1085/2006 of 17 July 2006 establishing an Instrument for Pre-Accession Assistance (IPA)- Katılım Öncesi Yardım Aracını (IPA) Oluşturan 1085/2006 sayılı ve 17 Temmuz 2006 tarihli Konsey Tüzüğü (EC) (31.07.2006)
- 3) Katılım Öncesi AB'den Sağlanacak Fonların Yönetimi hakkında 2009/18 sayılı Başbakanlık Genelgesi (04.12.2009)

Table 4: New Posts, Institutions, Implementing Units in Turkey and Their Function for the Implementation of DIS (1999-2006)

NEW POSTS/INSTITUTIONS	IMPLEMENTING UNIT in Turkey	FUNCTIONS
<i>National IPA Coordinator</i>	Secretary General for EU Affairs and deputy prime minister	*Overall co-ordination of assistance under the IPA Regulation. *After examination by the IPA monitoring committee, submit the IPA annual and final reports on implementation a to the Commission and the national authorising office
<i>Sectoral Coordinator</i>	State Planning Organisation	* Preparing Strategic Coherence Framework (SCF) * Contact point in Turkey for the EC regarding Regional Development and HRD Components * Acting as an interface between the relevant authorities (managing authorities, relevant ministers) and the Commission * Chairing Steering Committee for SCF * Ensuring consistency and coherence between Operational Plans (OP) and SCF
<i>Steering Committee For SCF</i>	State Planning Organisation	* Directing the preparation of SCF * Securing compliance of OPs with SCF * Reviewing the progress being made towards achieving objectives and targets * Evaluating the monitoring reports on the implementation of Ops
<i>National Fund</i>	Institutionalized under the Treasury Ministry	*The entity through which the Community funds are channelled and which keeps the accounts of the assistance.
<i>Competent Accrediting Officer</i>	Minister of Economy	*Responsible for issuing, monitoring and suspending or withdrawing the accreditation of the national authorising officer and the national fund
<i>National Authorisation Officer</i>	Hazine Müsteşarı	*Head of the national fund, bear overall responsibility for the financial management of EU funds, the legality and regularity of the underlying transactions, * Responsible for the effective functioning of management and control systems under the IPA Regulation.
<i>Central Finance and Contracts Unit</i>	Prime Ministry Project Coordination Unit	*Responsible for overall budgeting, tendering, contracting, payments, accounting and financial reporting aspects of all procurement in the context of EU funded programmes in Turkey. *Operates as an independent body but is attached to the EU Secretariat General and the National Aid Coordinator.
<i>Program Authorities</i>	Related Ministries	*Drafting the annual or multi-annual programmes; *Monitoring programme implementation and guiding the sectoral monitoring committee, *Drawing up the sectoral annual and final implementation reports to the Commission, national IPA coordinator and the national authorising officer, *Arranging for tendering procedures, grant award procedures, the ensuing contracting, and making payments to, and recovery from, the final beneficiary, *Ensuring internal audit of its different constituting bodies,
<i>Sectoral Monitoring Committees</i>	Institutionalized under the Related Ministries	*Directing the preparation of Operational Plans, *Determining the selection criteria for the projects in the framework of Operational Plans, *Evaluating the results of the implementation of the Operational Plans, *Approving annual and final implementation reports
<i>Auditing Authority</i>	Board of Treasury Controllers	*Responsible for verifying the effective and sound functioning of the management and control systems

This table is prepared by the author according to the legal templates given as the source of Figure 4.

The ‘National IPA Coordinator’ is assigned by overall responsibility for relations carried out with the EU Commission and ensures the coordination of financial assistance. ‘Sectoral Coordinator’ provides the coordination of regional development and human resources development IPA components. ‘Competent Accreditation Officer’ is responsible for the monitoring and accreditation of ‘National Authorising Officer’ and the ‘National Fund’. The national authorising officer, as chairman of the national fund, assumes overall responsibility for financial management of EU funds. The ‘Operational Unit’ is responsible for the management and implementation of the relevant program in accordance with the principles of sound financial management. ‘Auditing Authority’ is responsible for ensuring effective and reliable functioning of the management and control systems. ‘The IPA Monitoring Committee’, in general, focuses on the provision of effectiveness, quality and alignment in the implementation of all programs and activities and achievement of objectives in planning documents and funding agreements.

The phases of assistance of the period 2006-2010 and the documents that have to be prepared are described in detail in Table 4 and Figure 5. Accordingly, the EU Commission, every year, has to prepare a ‘Multi-Annual Indicative Financial Framework’ revealing the distribution of financial assistance to be given for three years under IPA which has the nature of an implementation plan and submit same to the EU Parliament and EU Council.

This document reveals the countries benefiting from IPA components and the amount of assistance to be rendered under each component indicatively. The Council gives decisions after taking the opinion of Parliament vis a vis the proposal from the Commission. EU Commission prepares a ‘Multi-Annual Indicative Planning Document’ in close cooperation with Turkey. Multi-annual Indicative Planning Document shows the distribution of components of the assistance allocated to Turkey according to the activities to be implemented under IPA components and the main priorities. ‘Multi-Annual Indicative Planning Document’ is the principle document that shows in which sectors EU financial assistance will be employed in programming and prioritizing of the

IPA components. Multi-Annual Indicative Planning Documents for 2007-2010 and 2011-2013 periods have been prepared for Turkey

Table 5: New Documents to be Prepared under IPA (2006-2010)

New Documents	Prepared by	Content of Document
<i>Enlargement Package</i>	European Union	*Set of documents presented each year to the Council and the European Parliament by the Commission, the strategic and political part of which consists of the revisions, where appropriate, Commission's strategy paper, a multi-annual indicative financial framework completes the package.
<i>Multi-annual Indicative Financial Framework (MIF)</i>	European Union	*Presenting the Commission's intentions for the allocation of funds for the 3 forthcoming years, broken down by beneficiary and by component, on the basis of the needs and the administrative and management capacity of the country concerned and compliance with the Copenhagen criteria.
<i>Multi-annual Indicative Planning Document (MIPD)</i>	European Union in Cooperation With Turkey	*Established for each beneficiary country and cover the main intervention areas envisaged for that country
<i>Strategic Coherence Framework</i>	Turkey (State Planning Organisation)	*Prepared for Regional Development and Human Resources Development components for 7 years by taking the opinions of European Commission *As a major strategic document, takes into account the priorities of the Republic of Turkey and those of the EU as stated in major policy documents, especially in Multi-annual Indicative Planning Document (MIPD)
<i>Operational Programmes</i>	Turkey (IPA units at Ministries)	*Operational Programmes for Regional Development, Human Resources Development, Rural Development are prepared for 3 years

This table is prepared by the author according to the legal templates given as the source of Figure 4

The State Planning Organization (DPT) prepares the Strategic Coherence Framework Document for Regional Development and Human Resources Development components. This document, prepared through taking the Multi-Annual Indicative Planning Document as reference, comprises the basic objectives and priorities of components and the financial resources allocated. Subsequently, an Operational Program is prepared for each IPA component by the relevant ministries. The operational plans include programs showing activities to be performed under each of the IPA components on the basis of projects, the expected results and success criteria

Figure 5: Pre-accession Financial Assistance Process for Turkey under IPA:
2006-2010

PRE-ACCESSION FINANCIAL ASSISTANCE PROCESS FOR TURKEY: 2006-2010 PERIOD			
RESPONSIBLE		ACTION	PHASE
EUROPEAN COMMISSION	↑	Multi-annual Indicative Financial Framework (MIFF) is designed presenting the Commission's intentions for the allocation of funds for the three forthcoming years, broken down by beneficiary and by component, on the basis of the needs and the administrative and management capacity of the country concerned and compliance with the Copenhagen criteria.	PLANNING
EUROPEAN COUNCIL & EUROPEAN PARLIAMENT		Take a decision on MIFF	
EUROPEAN COMMISSION & SECRETARY GENERAL FOR EU AFFAIRS (TURKEY)		Multi-annual indicative planning document (MIDF) which MIFF constituting the reference framework is prepared. They cover the main intervention areas envisaged for Turkey	
DPT-SECTORAL COORDINATOR (TURKEY)		Strategic Coherence Framework (SCF) is prepared for Regional Development and Human Resources Development components for 7 years	PROGRAMMING
PROGRAM AUTHORITIES (TURKEY) Environment, Industry, Transport Ministries (Regional Development) Labour-Work Ministry (Human Resources Development) Agriculture Ministry (Rural Development)		Operational Programmes for Regional Development, Human Resources Development, Rural Development are prepared for 3 years	
EUROPEAN UNION & TURKEY		Financial agreements are signed for each Operational Plan	FINANCIAL AGREEMENT
IPA SCREENING COMMITTEE (TURKEY) National Aid Coordinator, national Authorisation Officers, representatives from Financial Cooperation Committee, EU Delegation of Turkey.		In following six months after the first financial agreement (memorandum) enters into force, the IPA Screening Committee is established	IMPLEMENTATION
NATIONAL AUTHORIZATION OFFICER (TURKEY)		Demand the fund from Commission and channels them NATIONAL FUND and CFCU and PROGRAM AUTHORITIES to be allocated to the relevant beneficiaries.	
CENTRAL FINANCE AND CONTRACT UNIT (CFCU) & PROGRAM AUTHORITIES		Manages tendering, contracting, payments, accounting and financial reporting aspects of all procurement in the context of EU programmes and publishes the grant and tender calls.	
FUND BENEFICIARIES (TURKEY)		Prepare the project proposals according to the criteria in the calls and send them to the CFCU and Program Authorities.	
CENTRAL FINANCE AND CONTRACT UNIT (CFCU) & PROGRAM AUTHORITIES		Evaluates the proposals and publishes the winners.	
FUND BENEFICIARIES (TURKEY)		Implement the projects, prepare and send technical and financial reports to the CFCU	SCREENING
CENTRAL FINANCE AND CONTRACT UNIT (CFCU) & PROGRAM AUTHORITIES		Reports all the funding and procurement processes to the National Aid Coordinator.	
SECTORAL MONITORING COMMITTEES (TURKEY)		Evaluates the results of the implementation of the operational plans, approves annual and final implementation reports	
STEERING COMMITTEES (TURKEY)		Review the progress being made towards achieving objectives and targets of the operational plans, evaluates the monitoring reports on the implementation of operational plans	
IPA SCREENING COMMITTEE (TURKEY) National Aid Coordinator, National Authorisation Officers, representatives from Financial Cooperation Committee, EU Delegation of Turkey.		Evaluate existing programmes whether the targets at financial agreements are met.	AUDITING
AUDITING AUTHORITY (TURKEY)		Prepares an annual auditing report and send it to the European Commission, National Accrediting Authority and Competent Accrediting Officer	
NATIONAL AID COORDINATOR (TURKEY)	↓	Reviews annual and final report about implementation of IPA and send it to EC and National Authorisation Officer	

Table is prepared by author according to: 1) Commission Regulation (EC) No 718/2007 of 12 June 2007 implementing Council Regulation (EC) No 1085/2006 establishing an instrument for pre-accession assistance (IPA) (29.06.2007)

2) Council Regulation (EC) No 1085/2006 of 17 July 2006 establishing an Instrument for Pre-Accession Assistance (IPA)- Katılım Öncesi Yardım Aracını (IPA) Oluşturan 1085/2006 sayılı ve 17 Temmuz 2006 tarihli Konsey Tüzüğü (EC) (31.07.2006)

3) Katılım Öncesi AB'den Sağlanacak Fonların Yönetimi hakkında 2009/18 sayılı Başbakanlık Genelgesi (04.12.2009)

Financial memorandums are signed according to programs where the activities to be performed under each of IPA components are specified on a project basis that are prepared and submitted to the Commission. The implementation structure subsequent to this part is almost identical with that of the 1999-2006 periods. The significant difference is in monitoring auditing processes. For example, an IPA Monitoring Committee is created within six months of the entry into force of the first financing agreement. The Committee consists of National IPA Coordinator, National Authorizing Officer, Financial Cooperation Committee Members, and Delegation of the European Commission to Turkey and the representatives from the European Commission. Foregoing ensures the compliance and coordination in the implementation of IPA components. IPA Monitoring Committee, in general, focus on ensuring the effectiveness, quality and alignment in the implementation of all programs and activities and achievement of objectives contained in the Multi-Annual Indicative Planning Documents and the Financial Memorandums.

Sectoral Monitoring Committees help IPA Monitoring Committee. Committees are comprised of the National IPS Coordinator, Delegation of the European Commission to Turkey, the National Fund, Central Finance and Contracts Unit, Interim Evaluation Team and the representatives of institutions carrying out the projects.¹²⁷ Project monitoring reports are prepared by the operational units. Sectoral Monitoring Committees review monitoring reports and interim evaluation reports. Based on these reports, they take advisory resolutions for the implementation of the projects in a sound way. Sectoral Monitoring Sub-Committees (SMSC) are as follows: SMSC1 Political Criteria, SMSC 2 Internal Market, Customs Union, Energy and Telecommunications, SMSC 3 Transport, SMSC 4 Environment, SMSC 5 Public Finance, Statistics and

²⁷ General Secretariat of the European Union, (2008), Monitoring and Evaluation, Ankara, www.abgs.gov.tr/files/Mali.../monitoring_evaluation_25.2.2008.ppt, web access date:21.02.2011

Registration Process Support, SMSC 6 Cross-border Cooperation, SMSC 7 Regional Competitiveness, SMSC 8 Human Resources Development, SMSC 9 Civil Society Dialogue, SMSC 10 Rural Development. Secretariat General of EU Affairs took the name Ministry for EU Affairs and the State Planning Organization was renamed as the Ministry of Development in 2011. That same year, Ministry of Industry and Commerce was named as the Ministry of Science and Industry and Technology and a Ministry of Environment, Forestry and Urbanism was established by the merger of the Ministry of Environment and Forestry and the Ministry of Public Works and Housing and the Ministry of Food, Agriculture and Livestock was established in lieu of the Ministry of Agriculture and Rural Affairs. When we examine the official website of the Ministry for EU Affairs to determine the current status of the implementations as of 2011 we encounter the following²⁸:

Public institutions/organizations benefit from the Transition Assistance and Institution Building components. Issues like alignment with the *acquis communautaire*, public administration reform, the reform of justice and home affairs, development of civil society and fundamental rights, environmental policy, education and health system reform, fighting against corruption more efficiently and effectively and financial control are funded under this component through the execution of projects. Another important pillar of this component is the development of EU-Turkey civil society dialogue. In this context the non-governmental organizations have been included in the program through the Civil Society Dialogue project conducted by the Ministry for EU Affairs.

Turkey-Bulgaria Cross-Border Cooperation Program and the European Neighbourhood and Partnership Instrument (ENPI) provides participation in the Black Sea Basin Program under the Cross-Border Cooperation Component. Ministry for EU Affairs acts as the National Authority of the Cross-Border Cooperation Programs since 2010.

²⁸This information was obtained from the official website Ministry for the EU Affairs on 19.03.2012: <http://www.abgs.gov.tr/index.php?p=5&l=1>

Regional Development Component consists of the main titles of Environment, Transport and Regional Competitiveness. Environment and Forestry, Transport and the Ministries of Industry and Trade is responsible respectively in the execution of projects in these areas. This component, in a sense, has the nature of preparation for structural funds after accession for the candidate country. The Transportation, Environment and the Regional Competitiveness Operational Programs (2007-2009) approved under this component have been revised to include the perspective of 2011. It is aimed to improve the transport infrastructure of our country to ensure the establishment of an efficient and balanced transportation system and provide safety and interoperability in the Trans-European Networks (TEN-T) to be built by the Transport Operational Program. The protection of the environment, improving the living standards of people in terms of environment, waste water treatment, provision of quality drinking water and establishment of integrated solid waste facilities is targeted by the Environment Operational Program.

Improvement of the competitiveness of Turkey's economy and reduction of regional socio-economic differences is aimed by the Regional Competitiveness Operational Program.

Preparations for the implementation and the administration of adjustment policies of the Union for Turkey like other candidate countries under the Human Resources Component are supported particularly in adjustment preparations issues for the European Social Fund within the framework of the European Employment Strategy. 'Human Resources Development Operational Program' coordination of which is provided by the Ministry of Labour and Social Security aims the increase of employment capacity and strengthening human capital in the regions where income per capita is 75% below the average of Turkey. In this context, employment, education and social inclusion are identified as priority areas. The component is applied in two ways as umbrella projects and grants. Umbrella projects are the projects that are also named as 'operation', carried out through central public departments or institutions such as the Ministry of National Education, Turkish Employment Agency of the Social Security Institution in order to carry out activities at the national level, develop institutional

capacity and determine the national policies. The most important pillar of the umbrella projects are the grant programs to be used by the concerned parties at local level. Grant programs provide local authorities, social partners, civil society organizations, universities, municipalities, governorates, an opportunity to identify the existing problems, develop joint solutions for cited problems and materialize them with an eye to solve such problems.

It is planned to provide financial support to businesses, individual producers, cooperatives and producer associations in the fields of agriculture, livestock, food, fisheries and alternative agriculture through grant programs within the Rural Development component. It is planned to implement these grant programs within a total of 42 provinces as from 2010 by the Ministry of Agriculture and Rural Affairs and Agriculture and Rural Development Support Agency (ARDSA).

3.2.3. Structure for Benefiting the Community Programs in Turkey

EU Community Programs are the total of activities implemented for a specific period of time, to cover specific areas related to the EU Community policies between member states and candidate countries to promote cooperation.²⁹ Programs enter into force with the approval of the European Parliament and the Council of Europe. Proposal announcements about the program are published by the Commission and the fund distribution process is carried out. Budget of the programs are generated by payments made by participating countries and the resources provided from the EU budget. Applications for a significant part of the programs are sent directly to the European Commission and the assessment is carried out by independent experts. Applications and evaluations for some programs are made by national agencies in the participating country. The main objective of community programs is to develop cooperation. Therefore, existence of partners from different countries in the vast majority of the implementations is a must. Important part of financial support is furnished to projects which do not require investment (such as cultural activities, staff exchanges, research projects, information sharing projects).

²⁹For more information, please visit the official website of Secretariat General of EU Affairs <http://www.abgs.gov.tr/index.php?l=1&p=101> , 26.02.2011

Turkey - EU Association Council Decision dated 6 March 1995, has set forth launching related initiatives for the participation of Turkey in certain Community programs. Helsinki European Council in December 1999 has stated that Turkey will benefit the Community programs like other candidate countries. Turkey will be able to partake in all Community programs open to all EU candidate Central and Eastern European countries and additionally representatives of Turkey will be able to attend to execution committees responsible for monitoring the programs to which Turkey will have fiscal contributions with the observer status in matters concerning Turkey with ‘ The Framework Agreement Between Turkey and the European Community on the General Principles for the Participation of Turkey in Community Programs’ undersigned in Brussels on February 6, 2002 and deemed appropriate for ratification through Law No. 4763 dated 06/20/2002. With the prospect of enlargement of the European Union, in order to the candidate countries to better prepare for adoption of the *acquis communautaire* and for accession in the Union, in the Agenda 2000 (July 1997), the European Commission to the candidate countries proposed the progressive opening-up of a broad range of Community Programs. Main community programs that universities of Turkey may participate in as from 2011 are listed below.

1. Framework Programs (TÜBİTAK),
2. Jean Monnet Program (Secretariat General of EU Affairs),
3. European Union Education and Youth Programs-Lifelong Learning Program (National Agency),
4. Culture Program (Ministry of Culture and Tourism)

Accordingly, displayed in figure 6, the European Commission or our relevant Institution / Organization beforehand declare intention for Turkey to participate in the Community Program. Institution/Organization related to the topic of the program and the participation the Community Program is coordinated by Secretariat General of EU Affairs. The infrastructure needed for participation in the program is created. Memorandum of Understanding which is the official certificate of participation is undersigned between Turkey and the European Union. Participation is approved by the

Decision of Council of Ministers and the process begins with the publication thereof in the Official Gazette.

RESPONSIBLE	ACTION
EU COMMISSION	The Commission decides on the type of programmes, their budgets and their durations
COUNCIL	Decides or co-decides (Adoption of legislation)
EUROPEAN PARLIAMENT	Agrees with/without modifications
RELATED INSTITUTION in Turkey according to the issue area of the Community Program (i.e. TÜBİTAK, Ministry of Culture and Tourism, Ministry of Industry and Commerce... etc) or EUROPEAN COMMISSION	Declaration of Intent to participate a Community Program
SECRETARY GENERAL FOR EU AFFAIRS (TURKEY)	Coordinates the overall participation process
SECRETARY GENERAL FOR EU AFFAIRS & RELATED INSTITUTION (TURKEY)	Establishes the necessary infrastructure for implementing the Community Program
EU COMMISSION & SECRETARY GENERAL OF EU AFFAIRS	A Memoranda of Understanding is signed between Turkey and EU
COUNCIL OF MINISTERS (TURKEY)	Turkey's participation is approved by Council of Ministers and decision is published in formal gazette
EU COMMISSION	Publishes the calls for projects
TURKEY	An annual fee is paid to the Commission
FUND BENEFICIARIES (TURKEY)	Apply directly to the Commission or National Agency in Turkey by proposing a project
EU COMMISSION & NATIONAL AGENCY	Evaluates the proposals and publishes the winners and contracting with them, settlement of the accounts along
FUND BENEFICIARIES (TURKEY)	Implement the projects
EU COMMISSION & NATIONAL AGENCY	Audit or monitor the implementation

Figure 6: Turkey's Participation Process to the Community Programs

This table is prepared by the author according to:

1) Avrupa Topluluğunun Avrupa Araştırma Alanı Oluşturulmasına ve İnovasyona Katkıya Yönelik Araştırma, Teknoloji Geliştirme ve Demonstrasyon Etkinlikleri için Altıncı Çerçeve Programına Katılımı Konusunda Avrupa Topluluğu ile Türkiye Cumhuriyeti Arasında Mutabakat Zaptı

2) Türkiye Cumhuriyeti İle Avrupa Topluluğu arasında, Türkiye Cumhuriyetinin Topluluk Programlarına Katılmasının Genel İlkeleri Hakkında Çerçeve Anlaşma

Framework Programs

EU Framework Programs are the primary Community Programs by which multi-national research and technology development projects were supported in the European Union. Framework Programs (FP) first of which has started in 1984 are multi-year programs and the scope and amount of the budget allocated to each program is increased in each program³⁰. The main objectives of the Framework Programs include strengthening Europe's scientific and technological basis, promoting industrial competition and encouraging cooperation between the countries. The 6th Framework Program was in force during the 2002-2006 period⁶ and 7th Framework Program is valid between the years of 2007-2013. Turkey's official participation in EU Framework Programs was realized firstly in the 6th Framework Program. Contact address of Framework Programs in our country is TÜBİTAK.

Framework Programs provide financial support to projects that will contribute to the implementation of the Lisbon objectives³¹ of the EU and that will create economic and social added value in Europe. No quota has been reserved to countries participating in the EU Framework Programs. Financial support is provided as a result of the assessment of projects that have the qualifications specified in the project proposal announcements by independent referees. The applicants are supported only on the basis of achievements of projects, regardless of nationality or their being resident in a member or candidate country. Universities may participate in the Framework Programs. The main condition requested for all applications to the Framework Programs is cooperation. Framework Programs do not provide support to all projects. Projects with a project subject prepared at the level of the EU's priority areas, and projects with international partners and innovative research and technology development projects are suitable for the Framework Programs.

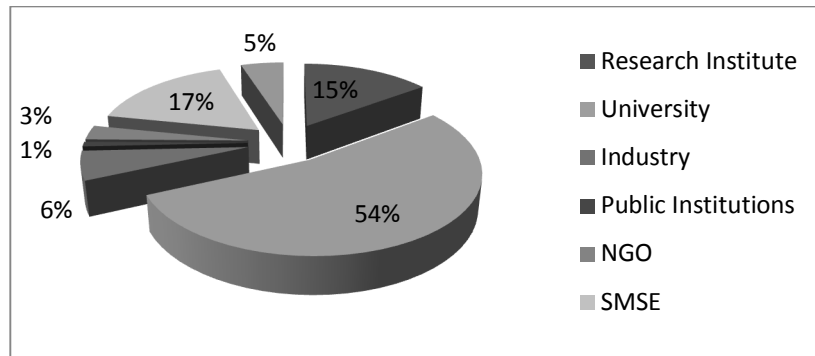
³⁰ For more information, please see the official web page of TÜBİTAK 7thFramework Program :<http://www.fp7.org.tr/home.do;jsessionid=4CF2FC940488D446C1A07AA259F22A9F?ot=1&sid=3100> , web access date: 25.02.2011

³¹ As specified in the EU Summit in March 2000 and within the scope of the strategy named as Lisbon Strategy it was aimed to make EU "the world's most dynamic and competitive knowledge-based economy.

Budget of 7th Framework Program to which a total of 40 countries has contributed along with Turkey covering the years of 2007-2013 is determined as 50.5 billion Euro³². According to the decision of Council of Ministers number 2007/12331, Turkey shall make a financial contribution to the EU overall budget for each year of 7th Framework Program. Scale factor that determines the contribution of Turkey is obtained through dividing Turkey's Gross Domestic Product at market prices by the sum of the Gross Domestic Products of Turkey and the EU Member States at market prices.

Looking at the performance of Turkey's accession, we see that nearly half of the applications (54%) are made by universities in terms of distribution of applications for project partnership according to the types of organization going from our country to the 6th Framework Program of EU. Most types of organizations that make applications, in sequence, are universities (54%), SMEs (17%) and research centers (15%)³³. Rates can be examined in Table 6.

Table 6: Types of Institutions Apply to 6th Framework Program of EU in Turkey



This table is taken from this document: TÜBİTAK,(2006), AB 6.Çerçeve Programı Türkiye'nin Katılımı Organizasyon Tiplerine Göre Dağılım Analizi , web access address:http://www.fp7.org.tr/TÜBİTAK_content_files/285/Degerlendirme_raporlari/A

³² For more information see: EUSG Official Web Site: <http://www.abgs.gov.tr/index.php?l=1&p=101> , 21.02.2011

³³ Ibid.

Jean Monnet Scholarship Program (National Agency)

Jean Monnet Scholarship Program, started under an agreement signed between Turkey and the European Commission in 1989 in order to support the development of relations between Turkey and the EU.³⁴ The grantees have the chance to make a one-year graduate and equivalent academic study in the EU member states within the scope of scholarship which is enjoyed through Turkish officials, students, academics and private sector employees.

Admissions are not made with the application of a comprehensive project like IPA Financial Assistance or Community Program projects but when we thought that the scholarships given to such people were also returning as a contribution to the universities we decided to examine this program also within the scope of our study. Scholarship program consists of three distinct phases³⁵.

1. Jean Monnet Scholarship Program (1990-2002)
2. Extension of the Jean Monnet Scholarship Program (2002-2006)
3. Continuation of Jean Monnet Scholarship Program Project (2007 and later)

An additional source of 10 million Euro was allocated by the European Commission to Turkey in the period covering the years 2002-2006 which is called as the second period of Jean Monnet Scholarship Program.³⁶ The program was conducted by the Ministry of Foreign Affairs and the Delegation of the European Commission to Turkey. In the period covering the years 2007 and the following years thereafter which is called as the third period of the program it was decided to include scholarship program within the scope of Turkey-EU Pre-Accession Financial Assistance. The

³⁴ For more information, see the Jean Monnet Turkey's official web page: <http://www.jeanmonnet.org.tr/web/Welcome/JMTurkey/tabid/54/language/en-US/Default.aspx> ,28.02.2011

³⁵ Ibid.

³⁶ Ibid.

contracting authority of this program as from this date has become the Central Finance and Contracts Unit like the IPA program. In addition, the Jean Monnet Program is also within the scope of the Lifelong Learning Program. Its structure is slightly different than that of Jean Monnet Scholarship Program. It will be discussed in details under the Lifelong Learning Program.

Lifelong Learning Program (National Agency)

Since April 1, 2004 Turkey has participated as a full member to the European Union Education and Youth programs.³⁷ In the first period between 2004-2006 funds provided to Turkey were within the framework of Socrates (education), Leonardo da Vinci (vocational training) and Youth programs. European Union Education and Youth Programs, entered a new era as of 2007. These programs covering a period of seven years until the end of 2013 were divided into two under the names of Lifelong Learning Program and Youth in Action Program. The subject of our project is related to the Lifelong Learning Program among the foregoing. Lifelong Learning Program is composed of four sectoral sub-programs as ‘school education (Comenius),’ ‘Higher Education (Erasmus),’ Vocational Training (Leonardo da Vinci) ‘and ‘Adult Education (Grundtvig)’. It is completed by the ‘transversal program’ including dissemination and use of policy development, language, information and communication technologies. These programs can be seen in Table 7.

Table 7: Lifelong Learning Programs of EU

COMENIUS PROGRAM (School Education)	ERASMUS PROGRAMI (Higher Education)	LEONARDO DA VINCI PROGRAMI (Vocational Training)	GRUNDTVIG PROGRAMI (Adult Education)
TRANSVERSAL PROGRAM (policy cooperation, languages, information and communication technology and dissemination and exploitation of results)			
JEAN MONNET PROGRAM (Jean Monnet Actions; EU Institutions)			

³⁷ For more information, see the official web page of the National Agency: <http://www.ua.gov.tr/index.cfm?action=detay&yayinid=7461927F111B3AFFA71DE3198573F086F893B>, web access date, 21.02.2011

Leonardo da Vinci among cited programs is the Community Vocational Training program. Educational institutions and NGOs can offer Leonardo da Vinci projects. Erasmus program contributes to the development of the transparency and academic recognition of studies and received degrees in the countries participating in the program by encouraging transnational cooperation between universities and providing a reciprocal exchange of students and educators in Europe. Universities, institutes, academies and similar institutions can apply to the program.

Jean Monnet Program is a part of the Lifelong Learning Program and encourages education and research on European Integration in the higher education institutions. In this context by providing, the establishment of Jean Monnet Chairs, Centres of Excellence and modules, aims assisting professors and researchers, and various European institutions and organizations. The program has started in 1989, in our country, especially after 2001, we see the opening of Jean Monnet Centres of Excellence and Chairs in various universities.

National Agency (EU Education and Youth Programs Centre) within State Planning Organization is responsible for carrying out projects under the programs. Presidency of the EU Education and Youth Programs determines the national priorities on an annual basis and presents these priorities in the form of an action plan to the European Commission. The action plan after approval by the Commission is announced by National Call for Proposals Announcement for the relevant year and applied in project applications and contracts within the scope of this call.

A budget with a total of 67 million Euro from both the pre-accession financial assistance and the national contribution shares has been created during the period between the years 2004-2006 under the program for Turkey and same has been used as grants.³⁸

³⁸ Ibid

Culture Program 2007-2013 (Ministry of Culture and Tourism)

Our country has been included in the Cultural Program for the first time in 2006. Although it was the final year of the Culture 2000 program, two universities from Turkey has partaken in the program as a partner in project. In 2007, ‘Memorandum of Understanding concerning the Participation of Turkey to Culture Program (2007-2013)’ was signed between the Republic of Turkey and the European Community in relation to the participation of our country to the ‘EU Culture Program’. The Memorandum of Understanding was approved same year through the Council of Ministers and cited approval number 2007/12330 was promulgated by the resolution of the Council of Ministers in the official gazette.³⁹

The institution carrying out the cultural program is the European Commission and its sub-agencies are the Executive Agency and the Cultural Contact Point. Ministry of Culture and Tourism has undertaken the execution of the program. ⁴⁰The total budget of the program is 400 million Euros. The program covers every aspect of culture, and is open for researchers working in these areas, NGOs and public universities.

³⁹ For more information, see the official website of Cultural Contact Point: <http://www.ccp.gov.tr/hakkimizda.php>, web access date: 28.02.2011

⁴⁰ Ibid.

3.3. Position of the Universities in Turkey in the New Implementation System

What is changed in state structure in Turkey in order to adapt and implement PFAP of EU has been investigated so far through detailed analysis of regulations, directives from both EU and Turkey's side. It is observed that new system (decentralized implementation system), institutional units (Central Finance and Contract Unit, National Agency, National Fund...etc.), administrative posts (National aid coordinator, Competent Accrediting Officer, Sectorial Monitoring Committees....etc.), new documents (Multi-annual Indicative Planning Document, Strategic Coherence Framework, Operational Programs...etc.) as well as procedures and processes (planning, programming, financial agreement, screening) are incorporated into the structure of state in Turkey which is the first receiver of the policy. When the mechanism offered by the Knill and Lehmkuhl (1999), Radaelli (2003), Goetz and Hix (2001) is concerned, it can be claimed that the mechanism of diffusion of EU rules, models regarding the PFAP firstly occurred through vertical mechanism of positive integration by law enforcement on the first receivers of the policy (state institutions) in Turkey. In Knill and Lehmkuhl's words (1999:2), EU policy "positively" prescribes an institutional model to which domestic arrangements have to be adjusted, and accordingly, Turkey complies with European requirements.

However, the beneficiaries of the assistance include not only the state but also provincial and local authorities, business support organisations and agencies, cooperatives, civil society and universities. One group of the receivers and beneficiary institutions of PFAP of the EU in Turkey is the universities. In order to benefit from the policy, universities have to propose a project complying with the eligibility conditions imposed by the EU and manage them according to the model designed in the EU level. Many universities in Turkey applied to the EU programs under PFAP and run their projects during the candidacy period of Turkey. In this part of the thesis, the scope of conditions for universities in order to benefit from the PFAP of the EU is researched. The question is where the universities are located in this new system, processes, institutions, what conditions they might face if they want to propose a project or manage

a project, whether if they have a say in these processes. This question refers to scope of conditions which is termed as “conditions which are likely to affect domestic change in response to the promotion or emulation of EU ideas and institutions” (Börzel and Risse, 2012:1). The potential explanations are traced again from searching the legal directives, but also the project related documents such as project calls, application guidelines, project proposal formats, frequently asked questions (FQA) sheets in the formal websites of the state institutions and legal codes provided for High Education Council (YÖK) in Turkey.. As an outset, the institutional structure of the universities in Turkey is researched from the legal codes in Turkey. The question is how the universities are managed in Turkey, what the actors and their functions are. Secondly, the national financing policy for the universities during the research period is studied. These inputs help us in understanding the comments of the participants in qualitative research part. For instance, one of the questions is ‘what was your motivation to apply to the EU programs?’, and the answers have a potential to be related with the scarcity of funding by state. Consequently, overview about the national financing policy for the universities is thought to be helpful to understand the real phenomena and the participants thoughts. Finally the question of where the universities are located in this new system, processes, institutions, what conditions they might face if they want to propose a project or manage a project, whether if they have a say in these processes is answered.

3.3.1. Formal Organizational Structure of the Universities

The total number of universities in Turkey was 76 in 2002 of which 23 were private universities while 53 belonged to state and this number increased to 156 in 2010 and 54 of these universities were private universities while 102 thereof belonged to state.⁴¹ Higher Education in Turkey is managed by the ‘higher councils’ and ‘university, faculties, institutes and college bodies’ according to Articles 130 and 131 of the constitution of 1982 and Higher Education Act number 2547.

Top management councils in Higher Education are ‘Higher Education Council (HEC)’, ‘Higher Education Supervisory Board’ and the ‘Inter-University Council’.

⁴¹ This information is provided by Head of Department, Ministry of Finance, the Higher Education Services, Sahin,O.(2011) Public Expenditure Budgets in State Universities and Research, presentation, http://www.uhbd.org/PDF/kocaeli/SUNUMLAR/Osman_SAHIN.pdf , web access date: 22.05.2012

HEC consists of seven professors elected by the president of the republic, one member elected by the General Staff, two members elected by the Ministry of National Education and seven professors elected by the Inter-University Council. Its mission is to provide coordinating and planning in higher education. Higher Education Supervisory Board is composed of five professors proposed through the Higher Education Council, one member selected by the Council of State, one member selected by the Court of Accounts and one member selected by the Ministry of National Education. Its duty is to oversee the compliance of education and other activities in higher education institutions with the act number 2547 and make investigation on disciplinary and penalty matters. Inter-University Council consists of rectors, two professors from each university and the general secretary attending as a reporter without the, right to vote. Its duty is the coordination of education, scientific research and activities of the universities, evaluate the applications, suggest the need for faculty members of universities, provide harmony between education principles of similar faculties, perform exams for the degree of associate professor and resolve on the equivalence of foreign academic titles.

The university ruling bodies consist of the ‘Rector’, ‘Senate’ and ‘University Board of Directors’ while a governing body of a faculty shall consist of ‘Dean’, ‘Faculty Board’ and a governing body of an institute consists of ‘Institute Director’, ‘Board of the Institute’ and the ‘Institute of Directors Council’ while the college ruling bodies shall consist of ‘College Director’, ‘College Board’ and ‘College Management Board’.

Rector is appointed by the president of the republic among candidates with the academic title of professor at the universities of the state selected through the university staff members who will assemble through the convocation of the incumbent rector, according to Law No. 2547. The term of office is 4 years. Selection of the rector candidates and appointment of rectors in universities established by foundations is made by the board of trustees. The duty thereof is to manage the university as an officer with first degree responsibility and authorization according to the related laws and regulations.

The Senate, according to Law No. 2547 consists of rectors, vice rectors, deans, one faculty member representing faculty, and directors of institutes and colleges. Its duty is to take decisions on the principles of education, scientific research and publication activities of the university; adjudicate the annual program and the schedule of the training and elect members to the board of directors of the university.

University Board of Directors, according to Law No. 2547, consists of the rector, deans, rectors, three professors and vice rectors who have no voting rights. Its duty is to examine the investment programs and draft budget and adjudicate appeals against decisions of boards of directors of faculties, colleges and institutes.

Dean, according to Law No. 2547, is elected and appointed through the Board of Higher Education for a period of three years among three professors proposed by the rector within or without the university. Foregoing may be reappointed when the office period thereof is over. Dean's duty is to manage the faculty according to the related laws and regulations as the first degree officer in charge before the Rector.

Faculty Board, according to Law No. 2547, consists of dean, the heads of the departments (if any), and directors of institutes and colleges of the faculty, three professors, two associate professors and one assistant professor. Its duty is to organize the education, scientific research and publication activities of the faculty and make plans and programs vis a vis thereto and appoint members to the faculty board and senate. Faculty Board of Directors, according to Law No. 2547, consists of dean, three professors, two associate professors and one assistant professor. Its duty is to make the education plans, programs and prepare a program and draft balance.

A governing body of an Institute, according to Law No. 2547, consists of Director of the Institute and is appointed upon the recommendation of the dean of faculty at institutes of faculty and directly by the rector at institutes which are under the governance of rectors for three years. Its duty is to manage the institute in accordance with relevant laws and legislations. Board of the Institute consists of president, vice presidents and heads of the departments of institutes.

A Director of college, according to Law No. 2547, is appointed upon the recommendation of the dean of faculty at colleges of faculty and directly by the rector at colleges which are under the governance of rectors for three years. Its duty is to manage the college in accordance with relevant laws and legislations. Board of colleges consist of president, vice presidents and heads of the departments or divisions of such colleges.

Staff working at the university, according to Law No. 2547 is called as the 'academic staff'. The faculty members consist of lecturers (professors, associate professors, and assistant professors), instructors and teaching assistants (research assistants, expert, translator, educational planners).

As it is explained in above paragraphs, higher education system in Turkey based on highly a detailed and centrally determined approach which is envisaged by the articles 130 and 131 of the constitution of 1982 and Higher Education Act number 2547. It can be said that administrative autonomy does not much exit in Turkey. Governance, structure and staffing arrangements are all written into the law and controlled from the centre. Universities cannot adjust the numbers and distribution of staff to best meet the needs and priorities of the institution. At the level of individual staff, much energy is exerted in taking on additional teaching loads, either within the university in second education Programs or at other institutions, in order to supplement incomes (EUA Report on Higher Education in Turkey, 2008: 52). The staff is responsible with minimum ten hours of teaching a week, and additional hours are remunerated. According to the EUA Report on Higher Education in Turkey (2008:52), a teaching load of 35 hours per week was reported. The teaching overload has had an effect on research capacity and motivation. According to the report, beyond striving for their own financial advancement, university staff often seemed to lack a clear idea on how to generate additional income other than by teaching additional hours.

In comparison to state universities, private ones certainly seem to enjoy a great degree of freedom in structure, administration. According to the law, foundation universities are established by not-for-profit foundations. Like state universities, the establishment has to be approved by HEC and passed by Parliament. HEC must approve the appointment of their rectors and deans. These universities can set up their own

structure but, given that they are foundations, a board of trustees is mandatory. HEC sets the number of students that can enrol in each undergraduate Program.

As a brief overview, the actual autonomy of Turkish universities is very limited as the government or HEC control central elements such as the budget and its allocation, admissions of students and the number of internal allocation of academic and administrative staff. In that context, it is thought that national regulations which envisage over-detailed and centralized institutional structure might diminish universities' flexibility and their responsiveness to the PFAP of EU. This assumption is tested in qualitative part.

3.3.2. National Financing Policy for the Universities

The common denominator of higher education finance in Turkey is its nature of public services at all levels of higher education which is expressed in the 130th article of the Constitution (HEC, 2007:57). Both state universities and private universities are established by law and bear the feature of public legal entity. Universities provide public service under academic, administrative and financial supervision of public service management and supervisory bodies. The financing of higher education, on which there is a consensus about the public service nature thereof, is carried in the two main ways as for state and private universities. Public financing is adopted in state universities while private financing system is adopted in private universities in pursuance with the constitution (HEC, 2007:57)

Means of public financing of state universities is the balance sheet financing. (2007:57). In this study when the 1999-2010 periods is examined, we see that lump-sum budgeting system was applied for a while in 1998 and then it was abandoned and since 2006 the performance based budgeting systems is being employed. Since 2004, the analytical budget system is applied as the budget classification system (HEC, 2007: 57-58). State, plays a key role to finance the education both with direct appropriations to institutions and subsidies to private spending.

The sources of revenue in the budget share of the state universities in according to 2005 data, share of the budget in the income sources of the state

universities is 57%, while the share of revolving funds is and 38% share of the student contribution is 4%, and the share of other sources is only about 2% (HEC, 2007:19). Looking at the trend after 1990, we see that level of the share of budget financing fell from 80% to 57%, and the share of funding and revolving funds almost doubled while it was previously 20s% (HEC, 2007: 19). Revolving funds consist of revenues obtained from health services provided in university hospitals or from the contracted researches performed by the universities. This increase in the revolving fund in the budget of the university underscores the situation that the universities prefer self-produced resources or in other words ‘private funding’. Several universities had links with business and industry via techno parks or similar schemes, which generated additional income. The potential problem seemed to be that these funds were returned – in accordance with national-level regulations – to the university units that produced them, creating tensions with less money-generating departments and faculties.

Private universities are subject to the rules and regulations same with those of the state universities save financial and administrative issues. Private universities, have three separate sources of funding: (1) Contribution of the Founding Foundation, (2) Student fees, (3) State aid (HEC, 2007: 66). Private universities can be divided into two groups in terms of income distributions. There is generally a strong foundation in the first group of the private universities and large proportion of revenues provided by it (Kale, 2011: 10). In the latter, the large proportion of university revenue is provided from student tuitions. The majority of private universities in number are included in the second group.

Oruç, Çekin, Tenderis, Özmen (2011:21) have stated that the fees to be received in higher educational institutions, principles relating to assistance to be made by the state and the use of financial resources is organized through laws. Budgets drawn up through universities are examined by the HEC, and submitted to the approval of the Ministry of National Education. Each university's annual budget is negotiated by the participation of the Council of Higher Education and Ministry of Finance and with the State Planning Organization (DPT) jointly should same be an investment budget. The HEC sends these budgets to the Ministry of Education together with its own budget and

Minister of National Education argues these budgets in the Parliament. The President of the HEC takes the floor at the beginning and the end in the negotiations performed in the Parliamentary Commission. (TOBB, 2008: 56). You can examine the amount of the budgets of HEC and the universities from 2001 until 2011 in the following table.

Table 8: The Amount of Allowances for Higher Education Council and Universities in Turkey (2001-2010)

YEARS	THE AMOUNT OF ALLOWANCES FOR YÖK AND UNIVERSITIES (Thousand TL)	GDP (%)	TOTAL BUDGET (%)
2001	1.364.910	57,0%	2,81
2002	2.495.968	71,0%	2,54
2003	3.408.608	75,0%	2,32
2004	3.894.070	70,0%	2,58
2005	5.218.467	80,0%	3,34
2006	5.846.823	77,0%	3,21
2007	6.586.692	78,0%	3,29
2008	7.318.285	77,0%	3,35
2009	8.772.719	92,0%	3,26
2010	9.335.457	85,0%	3,68

This table is prepared by the author according to the information provided by Head of Department, Ministry of Finance, the Higher Education Services, Sahin,O.(2011) Public Expenditure Budgets in State Universities and Research, presentation, http://www.uhbd.org/PDF/kocaeli/SUNUMLAR/Osman_SAHIN.pdf , web access date: 22.05.2012

While higher education spending has increased from 2000 to 2010, with the percentage of GDP spent on higher education increases to 0.85% in 2010 from 0.57 % in 2000, it falls short of the goal set by the Lisbon Agenda of 2% of GDP on higher

education expenditure. For Turkey this means that its budget allocation for higher education needs to continue to expand considerably.

A research fund within the Rectorate can be established in universities upon the resolution of the HEC through employment of the revenues of all existing revolving funds in the university. Revenues of this fund are as follows (Council of Higher Education, Higher Education Law No.2547, Accepted: 11/04/1981):

- Amount to be transferred revolving funds,
- All of the revolving fund revenues obtained without the contribution of the faculty members directly or indirectly,
- Research allowances included in the university balance sheets,
- Remaining amount from the fund at the end of the year,
- Donations and grants to be made and other revenues.

In 2001, Law No. 2547 was modified through Law No. 4684 and the ‘research fund’ phrase defined in Law No. 2547 11/04/1981 was removed from the text and this definition was changed as ‘scientific research projects’. Projects to be met from the Fund are prepared in accordance with principles and priorities determined by HEC. Projects are evaluated according to every department of an university in which there is an expert, however priority is given to basic sciences and the subjects of development plans. (Council of Higher Education, Higher Education Regulations 1984: 2). It is seen that the state every year allocates a portion of resources provided to higher education institutions to ‘scientific research projects’ and in addition the revolving fund and donations are also within the research revenues. Thus, research funds denote the use of a portion of the available resources within the framework of a specific purpose rather than being an additional source to the resources that universities have. The amount of appropriations allocated to universities for research and development by the State from 2001 until 2011 can be examined in the following table.

Table 9: The Amount of Allowances for R&D for Universities in Turkey
(2001-2010)⁴²

YEARS	THE AMOUNT OF ALLOWANCES FOR R&D FOR UNIVERSITIES (Thous and TL)	GDP (%)	TOTAL BUDGET (%)
2001	14.775	0,01%	0,03%
2002	74.824	0,02%	0,08%
2003	86.623	0,02%	0,06%
2004	92.441	0,02%	0,06%
2005	148.861	0,05%	0,10%
2006	373.862	0,05%	0,21%
2007	366.475	0,04%	0,18%
2008	373.078	0,05%	0,17%
2009	437.038	0,00%	0,17%
2010	480.389	0,04%	0,18%

This table is prepared by the author according to the information benefited for Table 8

Scientific and Technological Research Council of Turkey (TÜBİTAK) also supports research projects submitted by faculty members in addition to appropriations allocated by the State, for research and development. Scientific and Technical Research Council of Turkey was established as an R & D institution in 1963 to operate in the area of basic sciences, engineering, health sciences, agriculture and forestry. Its two main objectives can be defined as to provide real and financial support open to competition to research and development projects in universities and other public institutions and private organizations.

You can see the contribution of TÜBİTAK to universities on project basis (2000-2010) in table 10.

⁴² Ibid.

Table 10: Contribution of TÜBİTAK to Universities in Turkey On Project Basis(2000-2010)

YEARS	NUMBER OF THE ONGOING PROJECTS	APPROVED BUDGETS OF THE ONGOING PROJECTS (Million TL)	GRANTS GIVEN ACCORDING TO THE YEARLY EXPENSES (Thousand TL)
2000	863	15,10	6,20
2001	1.001	20,10	8,50
2002	1.242	30,90	12,20
2003	1.227	36,20	11,50
2004	1.353	44,20	15,70
2005	2.353	197,10	86,30
2006	3.091	356,30	170,10
2007	3.363	528,20	159,50
2008	3.165	506,70	164,10
2009	2.708	438,90	143,60
2010	2.553	417,90	147,00

This table is prepared according to the information provided by TÜBİTAK (2011). TÜBİTAK tarafından Üniversitelere Verilen Destek Miktarı. Statistical Document. web adres: <http://www.TUBITAK.gov.tr/sid/357/index.htm>. web access date: 25.04.2012

Additionally, to support joint research and development projects of universities and industrial institutions to develop university-industry collaboration within the scope of the Industry Theses Program of the Ministry of Industry and Commerce. You can examine the grant amounts between 2006 and 2010 in the following table.

Table 11: The grant amounts of SAN-TEZ Projects (2000-2010)

	2006	2007	2008	2009	2010	TOPLAM
GRANT AMOUNT(TL)	5.000.000	10.000.000	15.000.000	20.000.000	22.000.000	72.000.000
NUMBER OF THE APPROVED PROJECTS	17	68	45	76	Evaluation process	206

This table is prepared according to the information provided by Ministry of Industry and Commerce Statistical Document, web access address:

<http://sagm.sanayi.gov.tr/> , web access date 25.04.2012

3.3.3. Sources of Uncertainty for Benefiting the PFAP

The high level state institution responsible from the coordination of the IPA programs and Community programs in Turkey, and ensuring a close link between the general accession process and the use of EU's financial assistance is National Aid Coordinator which is General Secretariat of EU Affairs in Turkey, namely Ministry of EU affairs after 2011. (Since the thesis focuses on the time duration between 1999-2010, for naming the institution Secretariat General of EU affairs is used) If universities want to benefit from the policy, firstly, they have to propose an eligible project to state institutions responsible by the management, information promoting, contracting, and implementation of the related IPA program in Turkey. If they want to benefit from a Community program, they directly apply to the Commission or to the national agencies responsible by the program in Turkey.

For the IPA programs, the projects are proposed to different institutions according to the chosen EU priority areas divided into components which are 'Support For Transition And Institution-Building', 'Cross-Border Cooperation', 'Regional Development', 'Human Resources Development', 'Rural Development'. For instance, if they want to propose a project under the components of 'Support For Transition And

Institution-Building’, ‘Cross-Border Cooperation’, they have to follow the project calls published by General Secretariat of EU Affairs and propose a project to the CFCU. As a central unit CFCU is operating as an independent body but is attached to the Secretariat General of EU Affairs and the National Aid Coordinator. Although the CFCU is administratively linked (e.g. for logistic support) to the Undersecretariat of Treasury it operates completely independently of that institution. The CFCU had the sole responsibility over the overall budgeting, tendering, contracting, payments, accounting and financial reporting aspects of the procurement of services, supplies, works and grants in the context of EU funded Programs in Turkey. In 1999-2006 period all of the project application were proposed to CFCU, however in 2006-2010 period the structure was changed as the components of pre-accession financial assistance was determined and the implementation system gained a more de-centralized structure by the enhanced roles of ministries. If they the universities want to propose a project under the components of ‘rural development’, they have to follow the project calls published by General Secretariat of EU Affairs and propose a project to Ministry of Agriculture and Rural Affairs and Agriculture and Rural Development Support Institution (TKDK). For the component of ‘regional development’, the responsible institutions are ministries of Environment, Industry, and Transport. For the ‘human resources development’, the responsible institutions are Ministry of Education, Turkish Employment Agency; Social Security Agency. These institutions evaluate the proposals and publish the winners and projects are implemented by the winner beneficiaries. Universities implement the projects and sent periodic technical and financial progress reports to these institutions.

In the context of community programs, if the universities want to propose project in the context of research and development and international cooperation they apply directly to the Commission referencing to the project calls designed by EU according to its priority areas. However they can benefit from the supports of TÜBİTAK during the project management and application processes. The implementation of the national coordination role concerning the EU Framework Programs is achieved by the TÜBİTAK EU Framework Programs National Coordination Office (NCO) in Turkey. TÜBİTAK support the universities by informing, creating awareness, giving training, creating partnership,

representing universities in EU level especially in the formation of the work programs regarding the Framework programs.

If the universities prefer to propose a project in the context of lifelong learning program, they have to apply to the National Agency which is linked to the State Planning Agency (DPT). National agencies duties are familiarizing , coordinating , and conducting the nation- wide EU Education and Youth Programs , making evaluation of the projects that are selected to be funded, arranging and making the pre-assessment of the project applications that are selected by the EU Commission, realizing Programs and establishing cooperation among member countries and the EU Commission. If the universities want to apply to the Jean Monnet program during 2002-2006, they appeal to the Ministry of Foreign Affairs and EC Delegation in Turkey, however, after 2006, they have to appeal to CFCU.

As it seen, there are many responsible institutions in Turkey according to the sector that the EU directs it pre-accession financial assistance. The list can be expanded. It is observed that the above information in a nutshell is not written in any template or formal website of these institutions during 1999-2010 periods. All of the institutions promote knowledge about their own responsibility areas in the context of PFAP, and the information promoting agents are very fragmented in their administrative links. In this juncture, the first potential problematic appears for the universities as choosing the right institution for gaining information to turn their project ideas to project proposals. In 2011, Ministry of EU Affairs is established and its formal website seems to present a more holistic perspective about the information on PFAP, however, because of the time limitation it is out of scope of our thesis.

All of these institutions and agents publish the project calls, application guidelines, project proposal format, and FQA (Frequently Asked Questions) sheets in their formal websites. For Framework programs and some community programs like ERASMUS, also the financial rules, project management guidelines, grant agreement formats are published. The documents except the project cycle management guidelines under IPA programs and some Community Programs (i.e. Lifelong Learning Program, Jean Monnet Program...etc.) are in Turkish. The documents for Framework programs

are in English. A project call includes briefly the deadlines related with the project application, the total budget of the program of the projects, call specific requirements. Application guidelines explains the targets of the programs, amount of financial allocation provided by the contracting authority, eligibility conditions (i.e. eligibility of the applicants and the partners, eligible actions, eligible costs...etc.), procedures for proposal submitting and timing, rules about evaluation and selection of applications. Content of these documents changes according to the characteristics of each project call. Accordingly, the project format also varies according to programs, but not according to each call under the IPA and most Community Programs that universities can benefit. However, in Framework programs, proposal format are also varies according to the characteristic of the call and the project type (i.e. collaboration project, coordination and support action). Thus it is hard to briefly overview to enumerate the content of the project proposal formats.

For instance, collaboration type of a project proposal under the subprograms (i.e. transport, health, energy...etc.) of cooperation thematic field under Framework Programs includes very briefly the A forms (including the abstract of the project, legal and financial data about the applicants and partners, budget) B forms (scientific quality and uniqueness, implementation, impact, ethical issues, gender issues, detailed budget). A proposal for a project call under the 'cross-border cooperation' component of IPA includes briefly details about the action (summary of the project, objectives, relevance of the action with EU priorities, description of the action and its effectiveness, methodology, action plan, sustainability, logical framework, budget, resources of co-financing, experience of similar actions), the applicant (identity, sectors, target groups, capacity to manage and implement actions such as experience by sector, experience by geographical area, resources, list of management board), partners of the applicant and annexes. The examples can be expanded. In the context of project cycle management guidelines, it is observed that none of these institutions publish these documents in Turkish, however gives link to the European Commission's project cycle management documents which are in English. For instance, the programs under IPA give reference to 'Aid Delivery Methods-Project Cycle Management Guideline' which was published by Commission in 2004. The Guideline has been prepared to support on-going

improvements in the quality of EC development assistance. Quality is defined primarily in terms of the relevance, feasibility and effectiveness of the Programs and projects supported with EC funds, including how well they are managed. The document consist of 158 pages, that is to say it is hard to summarize it in short sentences. However, it compromises project approach, project cycle management operational guidelines (i.e. programming, identification, formulation, implementation including monitoring and reporting, evaluation, audit), logical framework approach, institutional capacity assessment, monitoring, review and assessment, promoting participation and ownership, facilitation skills (i.e learning). Another example, for Framework Programs Commission published a guideline as ‘Rules For Submission of Proposals, And The Related Evaluation, Selection And Award Procedures (COM (2008)4617)’. It consists of 57 pages covering information about submission, pre-proposal checks, reception by the Commission, eligibility review committee, evaluation of proposals, role of experts, terms of appointment, code of conduct and conflict of interest, evaluation criteria, proposal scoring, thresholds and weighting, finalization of the evaluation results, commission reserve list, negotiation and award processes, reporting on the outcome of calls for proposals.

In that context, the second potential challenge for the universities after choosing the right institution for gaining information is understanding and evaluating the tons of documents, guidelines, criteria, relevance, new terms, formats, financial requirements, processes, procedures and to write and submit an eligible project which should also compatible with the existing rules, procedures, institutional mission and strategy in the university. The real examples of the documents of the winner projects are not formally published by any of the responsible institutions. It can be said that universities were in a hub of flux of information directed by many agents, their existing institutional set up and the question was what the appropriate ways, methods were to benefit from the policy.

After writing and eligible project, the third challenge appears as managing the projects compatible with the EU or supporting formal institution level requirements and existing institutional set up. As it is highlighted in above paragraphs, it is observed that

there is no project cycle management document published in Turkish. However, supporting formal institutions like CFCU, General Secretariat of EU Affairs, National Agency, TÜBİTAK inform them by organizing information days, creating awareness, giving training about project cycle management, helping the universities for creating partnership free of charge. However, the significant point here is that the process is also new for the formal supporting institutions and they are also in learning process during 1999-2010, thus their knowledge and expertise might remain limited for some of beneficiaries. This observation is tested in qualitative research part.

When the legal documents were scrutinized for the management of the EU projects, there is a directive published by Ministry of Economy (Official Gazette No. 26 713, dated November 27, 2007) which envisages rules for the managing the financial aspects of the project budgets for public institutions including the universities. It envisaged that ‘Project managers are responsible for the expenses which has to be done in accordance with the project aim and necessities, effective and efficient use of resources, providing justifications for the project expenses to the public administration and the contracting institution and responsible by compensation in any case of damages. It also lays down the systematic to be followed by the financial, procurement procedures to implement the projects. So, the third potential challenge, if the project managers proposed and eligible project, and win financial assistance and understood to manage the project in technical aspects, it is not sufficient, because the other staff and the administrative units like accounting, purchasing, human resources should understand how to operate between the existing rules in the university and the required ones for managing the projects. The other point, financial responsibility for the expenses belongs to the project managers who are mostly academics, not the rector, dean, faculty boards who have decided on the university expenses in Turkey. Is that suitable for the existing routines and procedures in the universities? The second point written in the directive, the money amount transferred by the EU to university should be kept in a private bank account and should not be evaluated as returns to capital gains and registered as an income for the university. So, the fifth potential problematic is to understand how to manage the book keeping and financial management of the expenses related with the projects.

As a candidate country, because of the conditionality, universities seem to have limited space to ‘up-load their views to the European level’ about the PFAP, however it cannot be labelled as zero since the beneficiaries have say in the determination of distribution of the budget to specific issue areas compatible with the EU priority areas during 1999-2010. The first method is to submit their project ideas to government institutions mostly the related ministries. In 1999-2006 periods, Commission proposes the financial resources, related legislation, priorities about financial assistance to the Council and Parliament. Council and Parliament agree on the annual budget amount allocated for Turkey. In the programming phase, Commission assesses annually the priority areas where progress is needed in order to prepare for accession by benefiting Progress Reports, Accession Partnership Document. Secretariat General for EU Affairs sets out the measures through which Turkey will make progress to meet and assume the obligations of membership (the Copenhagen criteria). It outlines the projects and Programs to meet Accession Partnership Document. Than Turkey declares its National Program. Fund beneficiaries in Turkey read National Program and submit their project ideas to government institutions mostly the related ministries. Ministries evaluate the project ideas and prepare project fiches, submits them Secretariat General for EU Affairs. Secretariat General for EU Affairs evaluates technically the logical framework of the project fiches, and their compatibility to National Program and Accession Partnership Document, sends them to Financial Committee. The Financial Committee determines the annual program for priority themes to be funded according to the project fiches, sends it to National Aid Coordinator. National Aid Coordinator sends annual program to European Commission for evaluation.

In 2006-2010 period, ministries took the name of operational units, DPT took the name of sectorial coordinator, and beneficiaries can propose their necessities through the channels of ministries or directly to the ABGS during the preparation of ‘Multi Annual Indicative Planning Document’, operational plans and ‘Strategic Coherence Framework Document’. As the third method beneficiaries as universities also propose their ideas and necessities to TÜBİTAK and TÜBİTAK channels them through participating work Program creating meetings organised in EU level. So, the

fifth potential challenge is to understand and achieve the methods of proposing the necessities or opinions about the IPA and Community programs to EU.

After evaluating the scope of conditions for universities to benefit from the PFAP of the EU, it is observed that implementing procedures of the projects according to the EU model compromises uncertainty and definitely new processes full up with actors, rules, understandings different from the ones that the university staff previously engaged in. There was enormous uncertainty for them to make simple calculation of optimality. Thus, it is thought that the universities' responses to the adaptational pressure brought by the Pre- Accession Financial Assistance Policy of the EU during 1999-2010 were mostly shaped by the cognitive components of the universities which are strongly related with the existence of their institutional capabilities to acquire, store, transform, and utilize knowledge, and thus helpful in explaining the mechanisms of institutional change for universities in order to benefit from the policy. The existence or absence of cognitive components in their institutional structure related with policy benefiting processes might be helpful in explaining why a university empowered by financial assistance and adapt to its requirements while the others could not. This assumption is explored in the findings of qualitative research part.

5. IMPACT OF PFAP OF THE EU ON UNIVERSITIES IN TURKEY: MISFITS, MEDIATING VARIABLES, OUTCOMES

This Chapter includes the analysis of the results of the in depth interviews with the project managers of the chosen universities. Analysis is constructed on four main themes; how participants perceive and what they expect from the EU and the PFAP, how participants define misfits, how participants evaluate the role of formal institutions like TÜBİTAK, ABGS, DPT CFCU, National Agency, non entrepreneurs, cooperative informal institutions that provide universities with material and ideational resources necessary to exploit European opportunities and thus promote domestic adaptation during the policy benefiting processes, and finally whether participants think cognitive components of the their universities play role in this process and if so what these components could be.

6.1. Perception of the EU and PFAP

Depending on the main tenets of institutional approaches employed in Europeanization studies, the answers given to the question How the participants interpret or evaluate the EU as an institution and the Pre-Accession Financial Assistance Policy shed light on the mechanisms of domestic change in Turkey. Therefore, following set of question was directed to the participants:

Do the participants view EU as an opportunity as an emerging political structure which offers domestic actors some additional legal and political resources to exert influence while constraining the other? Did they apply to EU programs in order to maximise their interest with a simple calculation of optimality as it is explained by the rational choice institutionalists? Did the new opportunities and constraints brought by the EU's Pre-Accession Financial Assistance Policy lead to a redistribution of resources and differential empowerment at the domestic level for the universities in Turkey according to the lenses of the participants? Or do they view EU as a structure of meanings, norms, collective understandings, rules of appropriateness and practices? Did they apply to EU programs in order to do the appropriate thing for their selves as an academic and their institutions rather than gaining just more resources as it is explained

by sociological institutionalists? Did socialization into and becoming familiar with European norms and rules of appropriateness through processes of persuasion and social learning have a role in project application and implementation processes in their cases? According to the participants' views, what does EU expect from them and their institution to accomplish a successful project and thus become eligible to benefit from the policy? Do they think that their institution have some credentials to be assessed as successful in benefiting the Financial Assistance Policy of the EU?

When the interviewees asked about their views about the EU, it is observed that they answered the question by starting the sentence as 'personally, there are lots of to talk about EU; however I evaluate EU from the lenses of an academic working on marine sciences, civil aviation, history...etc.' They defined the EU from the lenses of their academic identity and inspired by the terms, concepts and logic in their research area. It appears that EU is seen as a set of rules, standards and a learning process and seeing the EU as well as an opportunity structure for transforming the knowledge into money, an organisation which was established to gather together with goal of being a single power against the big powers of world, a considerable opportunity for researchers to do leading-edge research, a civilization resting on deep political and historical roots. For instance, the participant working on aviation expressed that the main goal in his/her working area was to sustain the coherence of the rules, standards between airspaces, in that sense, he/ she viewed the EU as a union which you found the same rules, standards and quality when you passed the borders within. The participant who is an electric-electronic engineer defined the EU as a structure which there were lots of to learn in technical and sectoral contexts. It can be argued that EU was evaluated as an emerging political structure of meanings, collective understandings, rules of appropriateness and practices by almost all of the participants. EU as an institution meant them approximation of the rules and standards between countries, practices of peacefully of coexisting together, flexibility of researching environment, given value to science and technology. These concepts were considered as substantive opportunities for the development in science as such:

'Due to my job, I evaluate EU from the aviation contexts. There is a motto in aviation: 'Single European Sky'. If the European Union member states exercise different rules

about their airspaces, lots of delays and disorder may occur. EU as an institution resembles the same example. It tries to sustain the same standardization in economy, human relations and culture as it provides in airspaces. In that context, I view it as a union of standards, rules which are implemented beyond the borders of the all counties throughout the Europe.’ (University, Eskişehir)

‘The member states of the EU and the EU itself has well-developed. They established laws, implementing rules, standards about many issues. The issue I am interested in environment and the science, so the standards are important for me. The main failure or inadequacy of Turkey is to set stable standards throughout the country. The rules are changed every day by many institutions such as HEC, TÜBİTAK, and Ministry of National Education. It affects the science and environment negatively and causes loss of time and labour. We invent America from the beginning every day. If we join the EU, same standards will be implemented on science, bureaucracy, environment...etc. (University, Mersin)

When their opinions were asked about the possible motivations of the member or candidate states to join EU, the participants emphasized four types of motivations which are how the participants evaluated that EU constituted an opportunity structure for member or candidate countries. The emphasized motivations were themed as below:

1) Economic Advantages (The highlighted motivational opportunities were returns of single market, rise in incomes and prosperity, regeneration and development of economies)

2) Technical Advantages, Utilization of Knowledge (The highlighted motivational opportunities were more access to developing technology, transfer of the technological knowledge and experience, advantages of standardization in technical and sectorial aspects, increase in service quality, and increase in productivity)

3) Advantages about Political And Legal Systems (The highlighted motivational opportunities were reforming and modernisation of the political and legal systems, development of a political system where the democratic rights are more exercised in the candidate countries, the strengthening of the institutions and stability, and social development)

4) Bid of not to be excluded from the decision making systems that the other states involved in.

It is observed that the participants emphasized that the main motivation for joining EU for the member or candidate countries was to get better economic opportunities.

‘First of all, you open your market to them and they do the same. It is a considerable economic opportunity. When you look at the East European countries, they are economically underdeveloped or backward. In that context, integration strengthens their economy, change their political and legal systems, modernise them. Then, it becomes easy to catch the era and transfer the technology to their country.’ (University 1, İstanbul)

‘In my opinion, states want to join EU for economic and social development. I think that membership has also advantages in technical aspects. For instance, Ford Otosan (Turkey Branch of Ford Motor Company) prefers to produce trucks in Bulgaria. One of the reasons of this choice is that Bulgaria is European Union state and that is to say there is a settled system in technical aspects.’ (University, Kayseri)

‘EU is perceived as peace and welfare basin where regional integration has taken place. In that context, membership brings economic advantages, but at the same time strengthens the domestic institutions and stability. It has become a gravity centre in Europe in the context of breakdown of the walls. So, the neighbour countries desired to be included by this community which is more democratic, economically well-developed, and liberal than their selves. This is the main motivation. But at the same time, EU which has 500 million inhabitants has taken very important decisions affecting lots of countries in the world political arena. So, in my opinion, the other motivation is the desire not to be excluded from the decision making systems in the world politics.’ (University, Antalya)

It can be argued that contrary to the most answers given how they evaluate the EU as an institution, at this point, it is easy to trace the roots of rationalist institutionalism.

When it comes to questions about the Pre-accession Financial Assistance Policy of the EU, it appears that most well-known programmes in Turkey are all individual research programs (People program), industry-academia partnership programs, Framework programs, mobility programs (Leonardo, Erasmus) and IPA programs such as Active Labour Initiatives under IPA. While talking about the these programs, it was observed that all the participants have a common perception that Turkey had transferred a significant amount of budget every year to EU for the Community programs, however, could not return the money it invested. One of the participants said that although Turkey had been at a loss about the invested money, the state should continue to contribute financially, because the projects done by the EU funding had contributed to the development in science in Turkey and carried the research quality to the upper levels. The participants were asked what could be the

motivation of EU to transfer financial assistance to the countries. The answers and comments are categorized under four themes. According to the participants, EU transfers financial assistance through various programs to the candidate and member states with the motivations below:

1) Strengthening integration by fostering cooperation and practices of working together between countries,

2) Economic development, investing in science and technology in order to compete with China, USA and Japan,

3) Supporting social and cultural cohesion between countries and spreading values and its values

4) Creating partners who have the same standards and using the same terminology with itself.

More than half of the participants highlighted the concepts of technological and scientific development, standards, cohesion and integration while defining the main motivations of EU to transfer financial assistance to the candidate and member states. When all the comments are reviewed, the following logic can be deduced from their expressions: All of the participants thought that EU has a strong economic power in the world market and in order to sustain its current position, it had to provide competitive advantages against China, USA and Japan. According to their views, the main competitive advantage in the world market is the technological development in our era. For technological development, mobility between people, transfer of knowledge and implementing the same standards are required by countries. More than half of the participants remarked that EU aimed at fostering transfer of knowledge and mobility with its financial tools, strengthening cooperation and common working culture by transferring funds to the successful projects, and this aim had also a relation with the cultural integration. How is this relation defined? According to the participants, by the projects, countries exchange researchers, students, their cultural relations are developed, and they gain cooperation practices, become familiar with each other's working styles, terminology and vocabulary, thus become eliminate the prejudices to each other. In that

context, EU provides a base or platform maintaining a cooperative atmosphere where promotion of European culture, social and technological cohesion might better flourish. According to the participants, technologic or economic development has strong links with cultural familiarity between stakeholders and EU is extremely aware of this necessity. For instance, ability to act together to turn the small scale into large scale requires institutions which know and understand each other, and operate coherently under common goals. One of the methods of strengthening the common understandings between institutions is maintaining the cultural familiarity. Consequently, most of the EU programs conditioned cooperation between institutions and countries for proposing eligible project to be awarded by Financial Assistance and thus serve also this purpose. Also one of the participants emphasize that through benefiting the financial assistance academics were implicitly directed to work on the priority areas determined by EU:

‘For instance, there is a cultural integrity problem of EU. Germany has problems with UK; UK could not get along well with France. By these funds transferred to successful projects, all these countries come together and work under a common goal: development in science. They exchange researchers, students, their cultural relations are developed, and they gain cooperation practices, become familiar by each other’s working styles. Consequently, all these occurrences become strengthen the integration. In order to compete with USA, they coordinate big research projects and pool their experience and knowledge. In that context, EU wants its counterparts have the same development levels in technological aspects with itself. By the Pre-Accession Financial Assistance, EU desires to reveal the technological potential of Turkey, because at the end this will contribute to EU’s competitiveness in the world. It invests in science and technology by supporting cooperation and mobility projects to approximate Turkey to these aims, by the way, it also become facilitate the cultural integration.’(University 1, İstanbul)

‘With financial assistance EU aims to strengthen its relations with the countries it transfers the financial assistance. Also, it spreads its values to these countries. The issue has also a foreign policy and security dimensions. By financial assistance policy, EU might aim to improve its influence at its periphery and strengthen its security. When you benefit these funds, it brings you more resources and flexibility for your research. However, these financial resources become magnetise you to some prioritized areas. In that context, EU may have explicit or implicit goals about shaping and routing. You somehow include the views of the funder, to your project.’ (University 2, İstanbul)

‘The main motivation is to strengthen its competitiveness. USA is big continent in which the level of mobility is very high. However, in Europe, there are many small countries which have to develop mobility and connections and get familiar with each other to do worldwide business. In that context, EU provides a base or platform for better and efficient business relations with supporting these cooperation projects

between countries. Its motivation is to create institutions which know and understand each other and have ability to act together to turn the small scale into large scale.’ (University, Eskişehir)

‘... to create equal stakeholders and partners which have the same qualifications with EU and using the same terminology and vocabulary. We can say that EU transfers the financial assistance to Turkey with the same motivation; creating an actor who it can communicate and contact with.’ (University, Ankara)

After the questions about EU’s motivations, the participants were asked what their motivations were to apply to the EU programs and benefit from the EU’s Pre-Accession Financial Assistance Policy. The aim of this question is to investigate their opportunity perceptions that filter their response to the policy; Whether they apply to EU programs in order to do the appropriate thing for their selves as an academic and their institutions as it is explained by sociological institutionalists rather than gaining just more resources in order to maximise their interest with a simple calculation of optimality as it is explained by rational choice institutionalist? The participants expressed that they applied to the EU programs by following the below ideals, desires and needs:

- The ideals of adding value to the university and the students and turning the vast knowledge in universities to good account of society,
- The desire and need to increase the recognition and visibility of their academic works and university in international affairs, to enhance international cooperation, transfer the know-how to their universities and create academic networks,
- The need to gain additional resources to their limited research budget in order to conduct more comprehensive, far-reaching, international research.

During this part of the interviews, it was understood that more than half the participants had experience in Europe for postgraduate or academic purposes and already participated or become familiar with the EU projects. Therefore, it can be said that, besides their motivation, they had research routines or styles that are gained during their studies in Europe like collaborating with international partners under EU projects. The most connoted subjects were desire and need to enhance international cooperation and relations, and the pressing need to create alternative sources to the university budget

for conducting comprehensive, far-reaching, international research. Below comments give below:

‘My motivation is to contribute to university and the graduates. Mobility projects mostly don’t make a major contribution to your research goals however they give the opportunity to help the other people and provide added value for them. Accordingly my main motivation is to enhance the qualifications of the graduates of our faculty. The only program I knew in these times was the EU’s and I applied. If I knew other alternatives, I would have applied to them also.’ (University, Eskisehir)

‘I stayed two years in Germany. During that period, I worked with the academics who were in charge with EU projects and learned how to apply and manage the projects. After I turned back to Turkey, since I had already been familiar with the research grants of EU and know its contribution to the university, I applied to the programs. (University, Konya)

‘We always highlight in our speeches that there exists ain Turkey: The knowledge and experience in universities unfortunately could not be transferred to the industry, society and could not be utilized in the good accounts of them. How can you foster this transfer? Consequently, our main motivation to apply EU programs is the ideal to create an added value of the community in our region.’ (University, Kayseri)

However all of the participants also underlined that although EU published their evaluation criteria in the lists which everyone could easily find in the project call guidelines, the perception of the real criteria had been developed by learning through experience during the project application and the management processes; becoming familiar the rules, norms and styles of the EU and working cultures of the project partners. Briefly, the participants emphasized that meeting below requirements or expectations of EU are important to drive a successful project adapt to the required necessities:

- Existence of original project idea (All of the participants expressed that there was not a single and common definition of the term of ‘original’ and it changed according to the content of the project call. They expressed that they understood what EU meant by the word of ‘original’ through a long learning process and during their communications with Commission. One of the participants stated that they went through a learning process with the first consortium they participated. They internalized all the rules and working styles in the project meetings, got familiar both technical and social aspects of the project, felt the meeting atmosphere and got aware of the unwritten

rules, ways of doing things. According to all of the participants it is not enough or sufficient to have an original project idea, the hard part is to present it properly. In that context, the work programs and related guidelines should be read meticulously and all the key words that EU wants to see should be included in the project proposal. The other participant gave another example by saying that everybody writes something in the dissemination part of the proposal; however, EU expects something 'original'. After a while, through a close communication period with the Commission, they learnt what is meant by 'original'. For instance, when they asked the (EU) scientific officer of their project what is meant by 'original', she did not explain explicitly what was expected by 'original', but kindly insinuated inviting the parliamentarians to the workshops would be an original idea.

- The subject of the project should be listed in the EU's priority areas, compatible with the target of the EU programs and have a potential to contribute a solution of a problem throughout the EU.

- The applying institution should have fore standing academic background which could be justified by publications, patent numbers...etc. about the project topic. It should also have a sufficient administrative capacity (qualified personnel, sufficient financial record, having a capacity to co-finance the project, project management experience...etc.) and research infrastructure (equipment, laboratories, academic networks...etc.)

- The partnership structure and the composition of the project team should carefully be designed and have the level of expertise and skills which are sufficient to solve the problem and implement the project. Not with big groups, but working with key experts, researchers and institutions is better to be preferred. And also it is evaluated as better to have existing relations with the project partners and get already acquainted with members of the project team and their capabilities before applying an EU program. In this way, you know who can accomplish the activity in the planned time.

- A project proposal which includes key words, giving reference to EU documents, measurable and realistic work plan and budget, suits to the to the eligibility criteria defined in the EU guidelines should be proposed.

- Project team should have command of foreign language in academic context as well as daily life in order to create social networks. (One of the participants underlined that the academics in the universities in Anatolia don't have much chance to compete with the ones in big cities in the context of foreign language.)

One of the participants in Ankara raised criticisms against the EU's evaluation process of the projects. This participant who had lots of experiences in the multinational project consortiums and took an active part in the EU meetings to design the projects' work programs expressed that there was no more fair competition in evaluation of the Framework Programs of the EU. According to her/him, the winners of the projects were already determined before the project calls were opened. The participant expressed that he/she could understand which research centre or institution prepared the call by reading its details or the country of the institution prepared the call by looking at the priorities of it. Nevertheless, another participant stated that he had worked in the group meetings for the preparation of the work programs, and all the evaluation process were undertaken according to the rules published by EU. He said that he thought projects were evaluated as fair with non-discrimination principle. The other issue on which almost all participants agree was if applicant institution had no previous experience it is better to join a project which was designed by an institution or a consortium that had experience on project proposal writing and management:

'The expertise in the project subject area is expected by the EU. It is necessarily to have experience and significant background before applying to a program. How does EU measure the expertise? It measures by taking into consideration of the previous projects, works of the consortium and the partners. If you don't have previous experiences, it is better to start with joining to a consortium as a partner. We went through a learning process with the first consortium that we participated. We internalized all the rules and working styles in the project meetings. We got familiar both technical and social aspects of the project. We felt the meeting atmosphere and got aware of the unwritten rules, ways of doing things. It is not enough or sufficient to have an original project idea, the hard part is to present it properly. So, you have to examine the guidelines in detail. If the guideline says the submission time is 16.00, don't submit one minute later. If the guideline requires ten pages of a project summary, never exceed the page limit. Working with key experts, researchers or

institutions is more fruitful than working with big groups. It is better to have existing relations with the project partners and get already acquainted with members of the project team and their capabilities before applying an EU program. In this way, you know who can accomplish the activity in the planned time. EU expects to see harmony between the project partners during the project implementation.’ (University, Gaziantep)

‘Your project idea should fit to the EU priorities on that area. You should attentively follow the work programs and related document published by EU. You should establish partnerships and write a significant project. In that context, the work programs and related guidelines should be read meticulously and all the key words that EU wants to see should be included in the project proposal. The point is how you present your contribution in the solution of a problem of EU or how you meet a need of EU. The other point is whether your project team has the credentials and expertise to solve the mentioned problem in the project proposal. Therefore, academic or professional backgrounds of the project team members become an important eligibility criterion. If you convince the Commission on that items, your project most likely to be evaluated as successful. The other important issue is the language. It is hard to say that the academics in the universities in Anatolia can compete with the ones in big cities in the context of foreign language. Additionally, the project budget should be realistic and measurable. Sometimes Commission comments that the research potential of the project is high; however, the activities cannot be undertaken with the total amount in proposed budget. Thus, you have to plan the project with a realistic approach and all the risks and potential problems should be eliminated beforehand.’ (University, Sinop)

It is noteworthy to remind that that all participants viewed and defined EU from the lenses of her/his own academic identity. More than half of the participants remarked that EU aimed at fostering transfer of knowledge and mobility with its financial tools, strengthening cooperation and common working culture by transferring funds to the successful projects, and this aim had also a relation with the cultural integration. EU programs conditioned cooperation between institutions and countries. In secondary research part, it is observed that EU positively prescribes an institutional model to which domestic arrangements have to be adjusted regarding the PFAP and diffusion firstly occurred through vertical mechanism of positive integration by law enforcement on the first receivers of the policy (state institutions). However, as the comments of the participants illustrate that , when it hits to the second receivers of the policy like universities, diffusion also continues with indirect framing mechanism which occurs [when EU affects domestic arrangements even more indirectly such as by altering the beliefs and common understandings of domestic actors and follows horizontal mechanisms where there is no pressure to conform to EU models, but

beneficiaries voluntarily adapt to the EU necessities]. For instance, according to the participants, by the projects, countries exchange researchers, students, their cultural relations are developed, and they gain cooperation practices, become familiar by each other's working styles, terminology and vocabulary, thus become eliminate the prejudices to each other. In that context, EU provides a base or platform maintaining a cooperation atmosphere where promotion of European culture, social and technological cohesion might better flourish. According to the participants, technologic or economic development has strong links with cultural familiarity between stakeholders and EU is extremely aware of this necessity. For instance, ability to act together to turn the small scale into large scale requires institutions which know and understand each other, and operate coherently under common goals. One of the methods of strengthening the common understandings between institutions is maintaining the cultural familiarity. Accordingly, most of the EU programs conditioned cooperation between institutions and countries for proposing eligible project to be awarded by Financial Assistance and thus serve also this purpose. Also one of the participants emphasize that through benefiting the financial assistance academics become pulled to work on the priority areas determined by EU, become include the views of the funder in their projects. In that context highlighted that EU might have explicit or implicit goals about acts of shaping and routing.

For the participants' motivations to apply to the EU programs under its Pre-accession Financial Assistance Policy, the most emphasized subjects were ideals of to do the appropriate things for adding value to the university and the students and turning the vast knowledge in universities to good account of society, desire and need to enhance international cooperation and relations in order to prove and improve their scientific capabilities , and the pressing need to create alternative sources to the university's limited budget for conducting comprehensive, far-reaching, international research. It is observed that the programs under the Pre-accession Financial Assistance Policy were evaluated as providing appropriate tools or opportunities for realizing these ideals, desires and meeting the needs simultaneously. During this part of the interviews, it was understood that more than half the participants had experience in Europe for postgraduate or academic purposes and already participated or become familiar with the

EU projects. Therefore, it can be said that, besides their motivation, they had research routines or styles that are gained during their studies in Europe like collaborating with international partners under EU projects.

It is understood that all of the participants were well-informed about the EU programs and had comprehensive knowledge on how to meet the necessities imposed by EU to benefit from the policy by reserving their criticisms on EU's evaluation processes. All of the participants expressed that EU published their evaluation criteria in the lists which everyone could easily find in the project call guidelines, however, the perception of the real criteria had been developed by learning through experience during the project application and the management processes, becoming familiar the rules, norms and styles of the EU and working culture of the project partners.

4.2. Misfits between the Institutional Levels

Briefly, misfit can be defined as the congruence the between European and domestic policies, processes, and institutions determining the degree of pressure for adaptation generated by Europeanization. According to Börzel (2000:5), analysing the degree of adaptational pressure is important to identify the outcomes for the extent of the impact of Europeanization that is the scope and direction of domestic change in member states. The literature on Europeanization in the EU is not relevant only to the studies in EU Member States but also to candidate countries because they are affected by substantially the same independent variable as the member states (i.e *acquis communautaire*). Accession of Central and Eastern Countries to the EU depended on adapting to and implementing already existing EU law. Thereby, the outcomes for the extent of the impact of Europeanization are valid also for candidate countries such as Turkey.

Misfits can occur at both at policy and institutional level and in any form. At this point, it is important how they were perceived by our participants. In that context, firstly, the views and opinions of the participants whether if the rules, procedures, values, ways of doing things in their institution fit to that of at the EU level, and in which ways they differed or fit to each other in the context of PFAP of the EU were

asked. Secondly, participants were requested to define the misfits if they thought there were any and asked whether if they felt adaptational pressure on them to fit the rules, procedures, values, and ways of doing things in EU level. When all comments were analysed , it appeared that all of the participants thought that there were a number of misfits between two levels which could be categorized into three themes. These are:

1. Misfits between Financial Rules, Processes, Regulations,
2. Misfits in styles and ways of doing things,
3. Misfits in standards.

4.2.1. Misfits in Financial Rules, Processes, Regulations

All of the participants emphasized that there were misfits on financial rules, processes between EU and their universities during the project application and management processes of benefiting from the programs under the Pre-Accession Financial Assistance Policy of EU. For the main reasons of the misfits, the participants expressed that EU regulations did not resonate well with the laws that their university had to oblige in Turkey. Another reason highlighted was that EU rules, regulations, and guidelines were not understood properly by the university units like finance and treasury and this situation created compliance problems. According to them, explanatory guidelines or directives addressing the methods of solving financial compliance problems were published by Ministry of Finance, and training given by the Secretariat General of EU Affairs, CFCU and TÜBİTAK, however all of these institutions are also in learning process during 1999-2010, thus their knowledge and expertise remained limited for some of beneficiaries. All these institutions and the administrative units of the universities understood the process late after a learning period.

As a principle, EU transfers the budget amount of the project that is found successful by the Commission to the universities, but does not interfere with the internal operations. It envisages that the operations should be undertaken according to the national law and university's existing financial codes. It is observed that this principle caused confusions and uncertainties for the administrative units of the universities

during the implementation of the processes. For instance, one of the participants mentioned that the advance receiving limit for the academics was determined at 600 TL in their university and when the costs of laboratory equipment necessitated in their EU project were taken into consideration, this amount was very limited. He/ she highlighted that this rule created many troubles in the project implementation process and might cause delay in committed time schedule for the project.

Another participant expressed that the project grant amount transferred to university without any problem, however the amount was perceived as an income and put into revolving funds by the financial department of the university and some amount of it was cut since they did not know to keep the transferred money in escrow accounts. He/she added that there was no regulation explaining how to solve this problem in Turkey at those times. The other participant foregrounded that the rule that envisaged a low limit for daily allowance given for travelling foreign counties caused him to pay most of the project meeting expenses from his own budget.

Many academics working in state universities explained that they were inhibited to be paid for their labour in the EU projects by the university because they were under the civil servant status, however, EU projects had taken lots of time and labour both in administrative and technical aspects. At the same time, they were pressed by the teaching duties, and that was very un motivating for them to apply more programs. All the participants strongly highlighted that they precisely did not participate in EU projects for gaining any individual financial benefit, however, expressed that when their existing work load and the amount of salaries taken into consideration, an additional and labour consuming work without any compensation did not motivating them to apply more programs. It is observed that the participant working in the private university could receive additional income for the labour they put in the EU projects and the advance limits were more flexible than the state universities. EU offers to use the existing personnel costs limits per month in the beneficiary institution for the EU projects. Half of the participants expressed that there was a big difference between their salary rates in Turkey and their European partners, and it is observed that this difference pulling down their motivation in project management processes.

One of our participants said that the project managers were charged with all financial responsibility of the project by a regulation⁴³ put into force in 2005, and this regulation enabled them to work under more flexible expense limits for the EU projects in their institution. All of the participants confirmed that they were bestowed authority by the rector ship of their university with financial responsibility of their projects. According to the directive published by Ministry of Economy (Official Gazette No.26 713, dated November 27, 2007), ‘project managers are responsible for the expenses which has to be done in accordance with the project aim and necessities, effective and efficient use of resources, providing justifications for the project expenses to the public administration and the contracting institution and responsible by compensation in any case of damages’ is mentioned. In that chapter, it was expected that bestowing the financial responsibility for the expenses to the project managers who are mostly academics, not the rector, senate, dean, university board of directors who have decided on the university expenses might cause tensions, because it might not evaluated as suitable for the existing routines and procedures in the universities. However, in this part, it is observed that this directive does not cause any incongruence by the existing routines, moreover supported by the rectors, or senate of the universities for efficient use of the project resources.

The other problem they encountered was the hardships in sustaining the co-financing. Some of the participants expressed although the decision was given to co-finance a project by rectorship, their existing budget procedures, or internal directives of the university did not let to co-finance a project in the early times of the EU programs. Some of the participants emphasized that there were many bureaucracy and limits in expenditure from overhead for the benefit of the projects such as the expenses required for the unforeseen situations. Principally, overheads are designed to cover in particular the costs of non-professional, administrative and secretarial staff not charged as direct costs, the depreciation of buildings and of equipment, water, electricity,

⁴³Official Gazzette, 25.3.2005, “Avrupa Birliđi ve Uluslararası Kuruluşların Kaynaklarından Kamu İdarelerine Proje Karşılığı Aktarılan Hibe Tutarlarının Harcanması ve Muhasebeleştirilmesine İlişkin Esas ve Usuller”, No: 25766 and “Avrupa Birliđi Ve Uluslararası Kuruluşların Kaynaklarından Kamu İdarelerine Proje Karşılığı Aktarılan Hibe Tutarlarının Harcanması Ve Muhasebeleştirilmesine İlişkin Yönetmelik”, 27.11.2007, No : 26713

telecommunications and postal services, office equipment in a project. The other misfits highlighted by all the participants were about expense methods based on foreign currency, budget management, VAT exemption and purchasing processes. Almost half of the participants expressed that the grant amount transferred by EU to the university accounts in Euro, and mostly spent in TL. The exchange rate was taken according to the local banks provided by Central Bank in Turkey. However, some of the participants highlighted that the EU envisaged the use of EU Central Bank's exchange rate which was very incompatible with the existing accounting soft wares and the procedures of the universities. For VAT processes, one of the participants underlined that although the VAT exemption procedure was precisely followed by his university, it is not sufficient to apply it without recognition of the procedure by the subcontracting companies. He said that many companies did not even hear about the procedure. Even though the finance department explained the related procedure and showed the legislation, the firms did not accept to work with them. Moreover, some of them accused the university by tax evasion. According to the participants, in order to adapt the rules to benefit from the Financial Assistance Policy, it was necessary that not only the state and their university, but also the other related institutions should get familiar with the rules and adapt to the processes. Following comment can describe best this misfit.

'The major misfits become apparent in explaining the EU's financial rules and requirements to the universities' financial units and sustaining clarification. The regulation published by Ministry of Finance in 2005 came to our rescue and bestowed all the financial responsibility to the project manager. As you know, EU leaves the financial management of the project to the beneficiary institution. However, the existing rules of the institution may not be compatible with the EU's requirements. For instance, you have to join a project meeting and make travel to abroad; however your daily travel allowance must not exceed 150 EURO according to the existing procedures of your university. How can you get along with 150 euro in any European country? What can be done? You spend it from your own budget. Another example, you have to buy equipment for the project and you need advance, however, according to the procedures of your university, maximum amount of advance is limited with 600 TL (app. 270 Euro). What can you buy as laboratory equipment with this small amount? These misfits pushed the project very hard situations and caused loss of motivation. In the early times of the EU projects, the first instalment by EU for a project was taken into the revolving capital and some amount of it was cut by the university. The financial unit considered it as income. However, we gain it as a grant ensured by a grant agreement. It was not an income for the university; it was a grant for our project which is to be spent according to the accepted budget in the agreement and should be kept in the escrow accounts. We had lots of discussions with our finance unit to persuade them about the dos and don't about the transfers from EU. It

did not work. Then, we applied to TÜBİTAK, obtained details of the similar cases and explained the finance unit that the money should be kept in escrow accounts. Meanwhile, the Ministry of Finance published a regulation confirming our demands. Now, our university has a new procedure about the transfers from the EU and it provides that any transfer from the EU will be spent according to the budget in the grant agreement. It is not enough that your institution adapts to the rules of EU, because you cannot operate efficiently without the other related institutions, companies in your environment get familiar with the rules and adapt them. For instance, we took VAT exemption certificate for the expenses of the project, however could use it with only some big companies. The small firms abstained to work with us, because they did not know anything about the VAT exemption procedure, and we could not convince them about the legality of the project. I know this sounds ridiculous but some companies thought that we evaded tax. The legal documents did not make a sense to them.' (University, Gaziantep)

Almost all participants stated that they were under strong pressure and had many problems about financial procedures required by EU since they did not have any expertise on the issue. According to them, project related financial duties did not fall into the scope of the duties of academics. It is observed that most of them got into scrape and lost extreme time in matching the expenses and bank accounts, tracking the invoices and expenses, explaining the financial data in audits by the EU. All participants highlighted the indispensability and importance of the financial expertise in the project management processes and required professional project management units in their institution. Some of the participants said that a significant amount of money was paid back to the EU due to the ineligible financial operations according to the EU's financial rules because of the lack of information and expertise. You can see comments of one our participants:

'We applied to many institutions like TÜBİTAK, DPT for grants to our research projects. When we compare their operating rules with the EU, we can say that EU requirements are very pressing. In the other projects, there are not much rules on financial management. For instance, in EU projects, the purchasements exceed a pre-determined cost amount should be put in a tender. It is more cumbersome however brings standards' (University, Kayseri)

In most of the EU projects, final transfer of the grant is installed after the evaluation of the final report. One of our participants expressed that he/she needed the money before the final transfer and asked his university whether if he/she could borrow it from the overhead of the project on condition that he would return it back as the final amount transferred. Unfortunately, his/her university could not accept his suggestion due to the fact that this operation was not compatible with the existing rules for use of

overheads of the projects. He/she stated that this situation caused a serious problem for the success of the project, caused delays in planned activities and he felt painted into a corner.

4.2.2. Misfits in Ways of Doing Things

Some of the participants expressed that there were differences between the working culture or styles between their project partners' institutions in European states and their institution; and also misfits in ways of doing things in the context of bureaucracy, paperwork requirements and thinking on project base between EU and their institution. The participants defined that the adaptation to the misfits in working culture and styles passed smoothly as the cooperation between institutions deepened and the familiarity and knowledge about each other's practices increased. Indeed, participants underlined that after a while these differences enriched the relations. However, they said that the bureaucratic style of EU and its paperwork necessities were totally different from the ways of doing things in their institutions. The issue of thinking the tasks through project management logic was new and developing approach for the institutions in Turkey and needed time to adapt.

All of the participants stated that there were strong misfits between the bureaucratic style of EU and its paperwork necessities and the existing ways of doing things in their institution. Participants stated that in their institution works were not tracked by this much precise and formal rules, they followed more flexible working style:

'In our first project application, EU project specialists wanted us to stick revenue stamp on the application form. I had troubles to find it anywhere in Turkey. Then, they removed this procedure. They necessarily wanted us that to all the documents were signed by rector. These are some examples the problems in the bureaucratic style of the EU.' (University, Eskişehir)

'EU style is very bureaucratic, that's why an adaptation period exists. There are lots of documentary work and bureaucracy. When you don't understand a point or solve a problem, you cannot find a contact point from Commission in the proposal writing period. However the project management unit in our university help us to clarify the processes.' (University 1, İstanbul)

Some of the participants explained that thinking or evaluating an idea or a subject through project designing and implementing mentality, benefiting the resources according to a work plan and budget according to a grant agreement which envisages the rules of processes was a new arrangement and developing approach for the institutions and in Turkey. That's why some incongruities could occur between the perceptions of the people and expectation of EU.:

'In Turkey, evaluating an idea or subject according to project approach is a very new mentality . Pre-existing approach was that the state transfers the financial resources to the research and there was not much rules about obtaining them. But now, the financial resources are transferred according to different rules. For instance, the targets are defined at the outset and then the resources are allocated according to a plan to realize these targets. In our culture, people tend to say that 'I have perfect idea, give me money'. We don't think systematically and have holistic approach. We still could not internalize the way of thinking that starts with the premise that everything is a part of a whole. However, I think that it is normal when you consider the history of working culture in Turkey. EU has worked with project mentality since 1960s, whereas Turkey has just started in this era. Step by step we internalize the project base thinking and allocate the financial resources according to the priorities of a whole. For instance, regional development agencies were established in Turkey, and they are result of a holistic approach on regional development. The institutions in Europe have already become professionalized on the EU grants and projects. I visited a research institute in Germany last year, learnt that their annual return was about 80-90 million Euro and much of them obtained from the EU projects. It has a crowded and professional project management office following the funding opportunities and lobbying at the Brussels. Thus, we can say that there are misfits about the project base thinking between the institutions in Turkey and Europe due to the fact that we are in a learning process.' (University, Antalya)

Another participant pointed out that the other academics in the University could demand the project manager to buy equipment which are not listed in the project budget and could not easily comprehend that the project budget was limited with the plan in the grant agreement. Consequently, since they were not aware of the project mentality, they thought that project managers could spend the grant amount freely as they wanted and did not regard their demands, thus, were displeased with the project manager. In that context, participants underlined that gaining a project mentality required a learning process, and when the total working culture history in Turkey is considered, they say that these concepts were ever-increasingly developing.

4.2.3. Misfits in Standards

Some of the participants stated that the working standards that the European partners followed in their institutions during the trainings were not congruent with the existing ones in their institution. For instance, one of the participants pointed out that during the training activities in the project, the EU required surveys about the lectures with students and evaluated them according to the feedbacks from the students. Participant said that this type of standard for conducting training was not included by their internal directives, for example there was no code to document the trainings by student surveys, however after the project, the institution also internalized this standard by their internal directives.

4.3. Roles of Formal Supporting Institutions, Veto Players, Norm Entrepreneurs, Cooperative Informal Institution

According to Börzel (2000:2), misfit is necessary but not sufficient condition for expecting change. The second condition is that there are some facilitating factors responding to the adaptational pressure. The facilitating factors are termed as “mediative factors” or “intervening variables” that filter the domestic impact of Europe. In the context of theory of rationalist institutionalism, Börzel (2003:8) states that literature identified two mediating factors that influence the capacities of domestic actors. These are ‘multiple veto players’ and the “facilitating formal institution”. They provide actors with material and ideational resources necessary to exploit European opportunities and promote domestic adaptation. According to Börzel (2003:8) a low number of veto points and the existence of facilitating formal institutions determine whether policy and institutional misfit lead to redistribution of resources and the differential empowerment of domestic actors. The existence of multiple veto points can empower domestic actors with diverse interests to avoid constraints and, thus, effectively inhibit domestic adaptation. According to Börzel and Risse (2003:65), existing facilitating formal institutions can provide actors with material and ideational resources necessary to exploit European opportunities and thus promote domestic adaptation.

For the “process of socialization” approach, Börzel (2003:11) identifies two mediating factors for the degree to which misfit leads to processes of socialization. These are “norm entrepreneurs” and “cooperative informal institutions”. Norm entrepreneurs mobilize at the domestic level to persuade actors to redefine their interests and identities in the light of the new norms and rules by engaging them in process of social learning (2003:11). According to Börzel (2000:9) there are two types of norm and idea promoting agents: “epistemic communities” and “principled issue networks”. She explains (2000:9) that “epistemic communities” are networks of actors which legitimate new norms and ideas by providing scientific knowledge about cause and effect. She states that “advocacy and principled issue networks” bound together by shared beliefs and values rather than by consensual knowledge and persuade other actors to reconsider their goals and preferences. According to her, “cooperative informal institutions” (2003:11) contribute to consensus building and burden sharing. They entail collective understandings of appropriate behaviour that strongly influence the ways in which domestic actors respond to the Europeanization pressures (2003:11).

In that contexts, this part includes the questions about when the participants encountered a problem or wanted to ask a question about the EU processes, formats, rules, who they applied to take advise about the solution, whether if there were supporting formal institutions provide universities with material and ideational resources necessary to exploit European opportunities and thus promote domestic adaptation or norm entrepreneurs, cooperative informal institutions which entail collective understandings of appropriate behaviour that strongly influence the ways in which domestic actors respond to the Europeanization pressures. For instance, how the participants evaluated the role of TÜBİTAK, Secretariat General of EU Affairs, CFCU, National Agency in adapting to the EU model for project application and management, what the improvements could be done for better performance.

All of the participants stated that in the proposal writing or project implementation period, if they encounter with a problem (especially in financial issues), something they could not understand the real point or decide on what would be next step, they asked for the EU Commission, TÜBİTAK, National Agencies and CFCU as

the supporting formal institutions. It is observed that half of the participants evaluated the role of these formal institutions as effective, whereas the half of them appreciated their efforts but emphasized that their structure and working styles should be improved. The participants applied to take support or consultancy mostly on the problems encountered with in writing a project proposal, designing the project budget or financial management issues, forging international partnerships:

‘TÜBİTAK has an important role in project application and management processes. You can find postings of the institution who wants to forge partnerships under a project call of EU in the website of the TÜBİTAK. It can help you to contact with these institutions. You can also send your project proposal for a review and they edit it and offer you revisions. (University 1, İstanbul)

‘We apply to project coordinators. We got feedbacks from coordinator about the proposal writing processes. Also TÜBİTAK also can review the proposal. It supports you to contact with other project coordinators, informs you about the big project idea fairs, and finances your transportation expenses. Institutions of EU does not have facilitating role in the whole process.’ (University, Sinop)

The participants who joined or coordinated to multi partnered, international, big budgeted projects expressed that they preferred to contact directly with the EU Commission or the coordinator of the project as more effective way of getting support. The main reason of this preference is defined as due to the expertise or previous project experiences of the coordinators, and their close relations with the Commission, they could quickly get the root of the problem and offer to the point solutions. However, some participants said that applying to EU Commission required a huge bureaucracy and codes of communication and constrain their efforts and motivations to deal with the problems:

‘When we met a problem, we ask it to the project coordinator. If it does not have an idea about the issue, brings it to Commission and obtain information about the topic. Project coordinator could also invite the EU representatives of the Program to the project meetings and direct the partner’s questions and enabled them to discuss the complicated issues mutually. If we are a partner in a project, EU representatives inform us about certain issues. Is it effective? I can’t not say that we are so happy with the inputs of the Commission. One of the reason is Commission has a very bureaucratic structure, there are lot’s of codes of communication, and priorities of it. So, the first discussing point sometimes may not be the scientific priorities, and we have to revolve around the main topic, could not touch it directly. So, I can not say that input of Commission is very facilitating. However, I don’t have an idea for the betterment of the process.’ (University, Mersin)

As it is explained previously, the formal contact point of Framework Programs in our country is TÜBİTAK. The participants expressed that in certain aspects they found the support of TÜBİTAK effective to benefit from the PFAP, however in some aspects there were ways to improve itself. For instance, one of participants said that she could easily contact with the TÜBİTAK and it had supported the participant to find international partners and in reviewing the project proposal. The other participant expressed that TÜBİTAK financially supported him to join the project idea forging meetings in Europe and creating connections with the international partners. Two of the participants explained that staff of TÜBİTAK was inadequate in expertise and quantity when the amount and variety of the grants directed to Turkey was taken into consideration:

‘Of course, TÜBİTAK has a role in the processes; however, it is hard to say that it is effective. Although the TÜBİTAK staff consists of well-intentioned people who wants to support us, their expertise and experiences are limited. In that context, I can not say TÜBİTAK don’t support us, it is much more correct to say that TÜBİTAK could not be able to help us. For instance, in the project proposal writing period, we shared our ideas with specialists in TÜBİTAK, however, they could not revise it in scientific means, because their specialization area was not coinciding with ours. In Europe, this kind of formal institutions are composed of researchers with different specialization topics and have an expertise, knowledge to contribute to the proposal in scientific and technical aspects.’ (University, Mersin)

‘We apply to TÜBİTAK and National Agency. In the cohesion process, these formal institutions facilitate the adaptation. However, unfortunately, I could not say that support of TÜBİTAK were effective in the project application process. TÜBİTAK’s budget separated to fostering the research and development has been incrementally enhanced in last years. One of the negotiation chapters, research and development, rapidly was opened and closed. Of course, I believe that TÜBİTAK has a significant role on this issue. However, it is hard to say the same thing in the context of EU projects. When I speak from my own experience, I can say that staff of TÜBİTAK is inadequate in expertise and quantity when the amount and variety of the grants directed to Turkey is taken into consideration. Yes, you can call TÜBİTAK as much as you want in the project application process; however it is generally not possible to take pure and correct information about your questions. Last year we applied to a program and were in close contact with TÜBİTAK in all application process. Our project was not even included in evaluation process, because we missed a criterion in application process and because TÜBİTAK mislead us. For CFCU, as an auditing institution, it ensures that all the processes in benefiting the policy will be undertaken in harmony with national law, procedures and EU regulations. According to the scope of its work, it is seen more effective adaptational processes. (University, Antalya)

One of the participants stated that contacting directly with the Commission is much more effective, because they could get clear answers to their questions and these

inputs were very important in the success of their project. It is observed that participants thought that Commission as the funding body had the right answers about the expected credentials in partnership structure design, or an answer of the question in the proposal. One of the participants expressed that project coordinator could invite the EU representatives of the Program to the project meetings and direct the partner's questions and discuss the complicated issues mutually:

When we asked the opinions of participants about inefficiencies about performance of the formal institutions during the project application and management processes, one of the participants expressed that TÜBİTAK as the other types of institutions could apply to the EU Programs and benefit from the grants by proposing a successful project and highlighted that it was an unfair competitive practice. According to her comments, competing with TÜBİTAK as an institution was impossible when its budget, resources compared to those of a University. He/she expressed that TÜBİTAK was the only national contact point of the EU programs and had the authority to see all the proposals to review them before the application. According to him/her, there was a conflict of interest in this case, and TÜBİTAK should be excluded from the programs that the universities apply as the beneficiary institution. Other participant emphasized that the quantity and expertise of the TÜBİTAK staff should be enhanced when the amount and variety of the grants directed to Turkey was taken into consideration. An another participant highlighted that TÜBİTAK should be composed of researchers from wide range specialization topics and had an expertise, knowledge to contribute to the proposal writing in also scientific and technical aspects. Another participant highlighted that it would be better TÜBİTAK to take academics' opinions, suggestions before joining to the work program meetings designed in the EU level. If it had an existing practice like that, it should increase the frequency and visibility of them. According to him/her, in order to bargain about the research priorities which would take place in the EU work programs, not only TÜBİTAK, but also academics attend to the meetings:

'In Europe, the supporting formal institutions consist of researchers from wide variety of interests. In that sense, the professionals in the institution can help you in not only format of the proposal, but also contribute it in technical, scientific aspects. We are in close contact with the one or two specialists about environment in TÜBİTAK. They are all well-intended people. They are graduated from environmental or petroleum

engineering. However they don't have an idea about the topic we researched. In that context, they cannot guide me about what scientific aspects I should foreground in the proposal, or how I could improve the idea. So, like similar types of institutions in Europe, TÜBİTAK should also employ researchers from wide range specialization topics who can contribute to the proposal writing processes in also scientific and technical aspects. (University, Mersin)

Less than the half of the participants drew attention the role of the National Agency and CFCU during the interviews whereas almost all participants spoke about the role of TÜBİTAK. The participants displayed a positive attitude toward CFCU's role, however, CFCU is criticized by rapid fluctuation of responsible specialists in admission and the participants highlighted that this situation sometimes caused delays in the communication.

‘Actually we did not request much from formal institutions. Our university has a project management unit, however its structure is very new. So, we have solved our problems by trial and error. The specialists in CFCU change very often, and this can cause delays in the communication, thus, may not be effective.’ (University, Kayseri)

Views of participants were also asked whether they thought there were cooperative informal institutions and norm entrepreneurs or idea promoting agents that filtered the adaptational pressure by EU and supported them in the process of Financial Assistance Policy. At first, participants did not identify any cooperative informal institutions and idea promoting agent. When their meaning according to the Börzel's conceptualization (2000:9) were explained in detail, the first connotations came about the Project Management Units and the support of the decision makers in their institution. Some of the partners defined the functions of the Project Management Units close to the Börzel's definition for cooperative informal institutions as ‘contributing to consensus building’ among different institutions, people, and level of legislation and ‘burden sharing’ especially in the risks of financial and administrative operations and decisions. One of the participant stated that the main difference between the support of TÜBİTAK and the Project Management Unit in their institution was that the PM unit can work with academicians by considering the micro-level variables rather than macro-level as TÜBİTAK, create institution specific solutions to the problems which were both congruent with the directives and procedures in all levels (EU, national, institution) rather than giving general answers to the questions. According another participant, PM units had the expertise on the content of the goals and procedures of both EU and their

institution, detailed knowledge about the interests, ways of doing things, personages of the academicians, and promote knowledge, understanding between two levels, clarify the mutual expectations in all administrative, financial processes.

‘We apply to the Sponsored Project Office in our university and take the necessary consulting from them. It is a very complicated process, so they support us on how we should progress to take an appropriate action, write an eligible proposal, design and manage the budget, methods of networking activities, access to big projects. The main difference between the support of TÜBİTAK and the Project Management (PM) Unit is that the PM unit can work with us by considering the micro-level variables rather than macro-level as TÜBİTAK, create institution specific solutions to the problems which were both congruent with the directives and procedures in all levels (EU, national, institution) rather than giving general answers to the questions we directed to. EU has no role in all process.’ (University 1, İstanbul)

To put it briefly it can be argued that according to the views of the participants there are supporting formal institutions like TÜBİTAK, Secretariat General of EU Affairs, CFCU, National Agency working in efforts and their duty is to provide universities not much material and but mostly ideational resources necessary to exploit PFAP and promote adaptation in the policy benefiting processes. However, the significant point according to their views, existence of formal intuitions is not sufficient, they should also have a capacity to work effectively between institutions at national level and be perceived efficient by the policy beneficiaries. That is to say, the number of the supporting institutions in the national system does not matter if they don’t function or propose appropriate solutions to the challenges perceived by the policy beneficiaries. In that context, the efforts of supporting formal institutions during the policy benefiting processes of PFAP is appreciated very much and found helpful in some aspects for instance in reaching the international partners, providing financial assistance for the travel expenses to attend the international project meeting or overcoming the procedural incongruities between their institution in order to adapt the EU requirements, however when all the related processes are taken into consideration, they are not evaluated as robust, comprehensive and having the required capacity to promote domestic adaptation.

One expressions of the participant explained the situation very significantly: ‘I cannot say TÜBİTAK don’t support us, it is much more correct to say that TÜBİTAK

could not be able to help us'. For instance, one of the participants stated that in the project proposal writing period, they shared their ideas with specialists in TÜBİTAK; however, TÜBİTAK could not revise it in scientific means, because its specialization area was not coinciding with theirs. The participants do not assess the support of TÜBİTAK as comprehensive and also underlined that in Europe, the supporting formal institutions consist of researchers from wide variety of interests and could help in not only format of the proposal, but also contribute to it in technical- scientific aspects. Some of the participants expressed that they unfortunately could not evaluate the supporting formal institutions efforts as robust because they might sometimes mislead the beneficiary institutions during the processes which caused the exclusion of their university from benefiting the policy. There are other issues raised by participants as such: 'I know that lots of competent experts work in CFCU to striving to help the beneficiaries during the processes, however, they change very frequently, and this cause delays in the communication, thus, disturb the reliability which is very important for us in learning to adapt during the processes. In the context of the reliability of the supporting formal institutions, one of the participants expressed that TÜBİTAK as the other types of institutions could apply for the EU Programs and this caused a conflict of interest, According to him/her, this situation disturbed the reliability of the support of TÜBİTAK during the policy benefiting processes and added that if an organic relationship between TÜBİTAK and Universities can be established, adaptational processes could pass more quickly and the number of the projects that Turkey coordinates would increase.

According to the more than half of participants, explanatory guidelines or directives addressing the methods of solving compliance problems between the institutional levels especially in financial aspects were published by Ministry of Finance, and trainings given by the Secretariat General of EU Affairs, CFCU and TÜBİTAK; however all of these institutions are also in learning process during 1999-2010, thus their knowledge and expertise remained limited for the beneficiaries. It is observed that all these institutions and the administrative units of the universities understood the process late after a learning period.

In the context of veto points, we observed that the only one is European Commission external to the institutional structures of the beneficiaries. It is observed that participants thought that Commission as the funder had the right answers about the expected credentials; however, since it has very bureaucratic structure, there are lots of codes of communication, and priorities it is very hard to reach it. One of the participants criticized EU about the evaluation process of the projects. According to her/him, the winners of the projects were already determined before the project calls were opened. The participant expressed that he/she could understand which research centre or institution prepared the call by reading its details or the country of the institution prepared the call by looking at the priorities of it. However, another participant stated that he had worked in the group meetings for the preparation of the work programs, and all the evaluation process were undertaken according to the rules published by EU. He said that he thought projects were evaluated squarely with non-discrimination principle. It is observed that the participants do not perceive any veto player in national context.

The participants did not identify any cooperative informal institutions and idea promoting agent. When we explained their meaning according to the Börzel's conceptualization (2000:9) in detail, the first connotations came about the Project Management Units and the support of the decision makers in their institution. Some of the partners defined the functions of the Project Management Units close to the Börzel's definition for cooperative informal institutions as 'contributing to consensus building' among different institutions, people, and level of legislation and 'burden sharing' especially in the risks of financial and administrative operations and decisions. These units provided information about the appropriate ways, methods to benefit from the policy. These units work with academicians by considering the micro-level variables rather than macro-level as supporting formal institutions do, create institution specific solutions to the problems which were both congruent with the directives and procedures in all levels (EU, national, institutional). They have the expertise on the content of the goals and procedures of both EU and their institution, detailed knowledge about the interests, ways of doing things, personages of the academicians, and promote knowledge, understanding, and clarify the mutual expectations in all administrative levels.

In these scope conditions, there are supporting formal institutions but they are not evaluated as robust, comprehensive and having the required capacity to promote domestic adaptation and perceived as having limited knowledge and expertise since these institutions are also in learning process during 1999-2010, and low multiple veto points, the only perceived one is the Commission and beneficiaries did not identify any cooperative informal institutions and idea promoting agent, can't there be internal institutional factors like institutional cognitive components that may drive them to interpret EU's policy and help them to understand and propose an appropriate response to the policy? The answer of this question is researched in next section.

4.4. Role of Cognitive Components in the Organisational Structure

In previous section, according to the comments of the interviewees, the role of mediating factors such as “multiple veto players”, the “facilitating formal institutions” and “norm entrepreneurs”, “cooperative informal institutions” were explained. It is observed that there are supporting formal institutions but they are not evaluated as robust, comprehensive and having the required capacity to promote domestic adaptation and perceived as having limited knowledge and expertise since these institutions are also in learning process during 1999-2010, and low multiple veto points, the only perceived one is the Commission and beneficiaries did not identify any cooperative informal institutions and idea promoting agent. All these variables are external to the institutional structures of universities. In that context, we researched whether if the project managers of the chosen universities identify other factors that enable them to win the funds and successfully implement their projects according to the EU model including rules, systems and concepts which are totally new for them. EU publishes the criteria to benefit from the funds in templates; however are they clear or sufficient for them to respond the opportunities brought by the policy? How do they interpret them? Can't there be internal institutional factors like institutional cognitive components that may drive them to interpret EU's policy and help them to understand and propose an appropriate response to the policy? Or are there internal institutional factors which enable them to adapt the requirements of the EU model when we consider the role of mediating factors explained in previous section?

We asked these questions because this thesis takes the perspective that action is tightly bounded up with interpretation, because the efforts to cope with uncertainty necessitate interpretation. In chapter 4, it is observed that implementing procedures of the projects according to the EU model compromises uncertainty and definitely new processes full up with actors, rules, understandings different from the ones that the university staff previously engaged in. There was enormous uncertainty for them to make simple calculation of optimality and the role of mediating factors such as “multiple veto players”, the “facilitating formal institutions” and “norm entrepreneurs”, “cooperative informal institutions” are limited. Thus, it is thought that the universities’ responses to the adaptational pressure brought by the Pre- Accession Financial Assistance Policy of the EU during 1999-2010 were mostly shaped by the cognitive components of the institutional structure of the universities which are strongly related with the existence of their institutional capabilities to acquire, store, transform, and utilize knowledge, and thus helpful in explaining the mechanisms of institutional change for universities in order to benefit from the policy. It is thought that the existence or absence of cognitive components in their institutional structure related with policy benefiting processes might be helpful in explaining why a university empowered by financial assistance and adapt to its requirements while the others could not. In this part this assumption is tested by applying to the participants’ views.

In order to define the content of the term, it is better to define it word by word. Institutions are rules of conduct in organizations. By rules, it is referred to the routines, procedures, conventions, roles, strategies, and technologies, but also the beliefs, paradigms, codes, cultures, and knowledge that surround, support, elaborate and contradict those roles and routines (March and Olsen, 1989:21-22). Organizations can be defined as structured social system consisting of groups and individuals working together to meet some agreed on objectives (Greenberg and Baron, 1995:11). The key distinction between institutions and organisations is that between rules and players (North, 1991). Organisations are thus groups of players who come together for a common purpose or to achieve specific objectives. Institutional structure is organization's complex system of mutually connected and dependent elements or parts, which constituting a particular modalities of arrangement and rules of conduct.

The term cognition comes from the Latin verb *congnosco*, meaning ‘learning’. One can argue that individuals within organizations learn, not the organization themselves. Accordingly, the counter argument to the perspective is that organizations do learn, in the sense that they encode inferences from history into routines that guide behaviour. By cognition, referencing to Schneider, Angelmar (1993:356), we refer to the ability of the organization to acquire, store, transform, and utilize knowledge. In that context, the cognitive components can be basically identified by the elements of an organization that provide the frames of meaning (Giddens, 1976:142) that guide individuals to act on behalf of the organization. When we say cognitive capacities, we refer to the perceptual, intellectual, learning capacities embedded in the institutional structure of organizations. They are related with processes of thought which support or inhibit how the individuals in the perceive opportunities brought by the policy, thus, influencing their preferences and behaviour.

According to the comments of the participants, the institutional cognitive components are categorized under two themes comprising sub-branches; these are ‘actor related components’ and ‘process related components’. When the participants asked ‘what do you think as influential to know or learn during the project application and management processes and facilitate the adaptation to the EU model’ and ‘can you define any characteristics or capacities for your institutions in order to manage a successful project and adapt the required necessities of the EU compared to other institutions’, in first instance, they dwelled upon the themes focusing on the processes or requiring processes such as knowing the logic of project cycle management, understanding what is expected by EU , considering the power and speed of institutional learning process, ability to forge close communication with the institutions of EU and establishing partnerships and cooperation with the other institutions before the project application, existence of institutional culture based on cooperation, participatory decision making, thus, the first theme is named as ‘process related components’ and more detailed questions were directed the participants. Participants also emphasized the roles of the decision makers’, boards’, rectorship’ support, credentials of project related staff , desire for scientific visibility and recognition, ownership feelings for the projects, thus the second theme is determined as ‘actor related components’ and more detailed

questions were directed the participants. After detailed questions the sub-branches of the two main themes emerged explicitly. After evaluating the comments of the participants, 'actor related components' are themed under two sub-branches as 'managerial level components', and 'staff level components'. For the theme of 'managerial level components', participants highlighted the role of 'credentials of leadership', 'existence of desire for prestige and visibility', and 'strategy and mission'. For the 'staff level components', participants dwelled upon the roles of 'prior knowledge and experience levels' and 'existence of ownership feeling for the project'. Thereafter, the participants significantly emphasized the role of 'learning process'. In that context, 'process related components' explains the role of components of learning process themed under three sub-branches as 'credentials of interaction and communication with other individuals, groups and institutions', 'information and knowledge creation abilities' and 'credentials of organisational culture'. Here, the subject should be drawn, especially in gold, we do not claim that these components are separated from each other by definite lines, but in the coding phase of the interviews it is observed that the highlighted themes are in this direction. We are aware that the change should be defined as a function of both performance and the learning and effective institutional change can only occur when both performance and learning occur for the collective. These findings are open to be discussed and developed by many disciplines. In next sections, these components are explained individually and the works of organisational behaviour scholars are benefited to understand the findings, for instance the terms used by the participants better. To retreat again, the intention is not reaching generalizations, but catching contextual findings to understand the process of change emanated by PFAP and explore its richness, depth, and complexity. You can see the themes and sub-branches in figure 7.

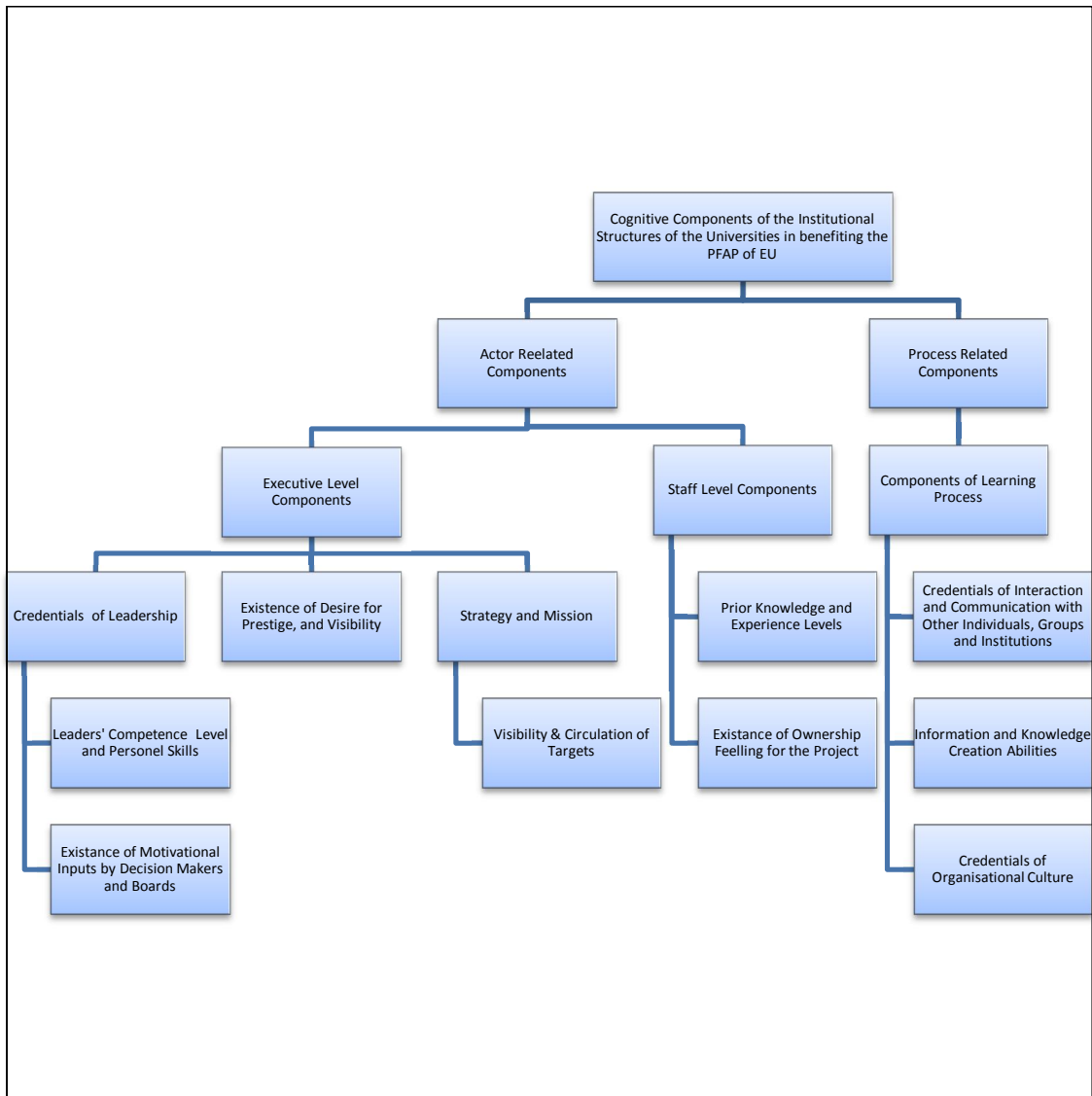


Figure 7: The Cognitive Components of the Institutional Structures of the Universities in Turkey during benefiting the PFAP of EU

For each component, evaluation of the comments of the participants is presented in next sections. In that context, every section includes the asked questions and the main findings. A general conclusion part is not written for each section; however the whole evaluation for the components is presented in the conclusion part of the thesis. This method is preferred in order to draw the big picture at the conclusion part by including the findings in the secondary research phase and avoid from tiring the reader.

4.4.1. Process Related Components

4.4.1.2. Components in the Level of Organizational Learning Processes

The concepts of “organizational learning” (Schon, 1983) became prevalent and stylish in the 1990s (Wilson, 2010:202) as did the Europeanization studies. According to Argyris (1992) “organizational learning” means the learning undertaken or achieved by individuals within organizations. This perspective views organizational learning as dependent on the cognitive processes of individuals in the organization and focuses on the detection of errors, so that individuals can learn to do things correctly. This perspective argues that individuals within organisations learn, not the organization themselves. According to Schwandt and Marquardt (2000:23), there is a difference between individual and organizational learning. According to them individual learning is a necessary but not sufficient condition for organizational learning to occur. They noted that in the individual, location of the learning process is assigned to the body and mind, however in organization; it is contained within the social dynamics of actions and the complexity of interacting components of the organization. It is this complexity that prohibits assuming that organizational learning can be represented by the sum of the learning within the organization (2000:23). Accordingly, the counter argument to the first perspective is that organizations do learn, in the sense that they encode inferences from history into routines that guide behaviour (Leavitt and March, 1988).

According to Wilson (2010:202), organizations learn when the knowledge that their members have is explicitly known and codified by the organization. In other words, organizations has learned if any of its units have acquired information and are able to use this information on behalf of organization. Wilson (2010:207) emphasized that according to this perspective learning is seen as an integral part of successful functioning: organizations need to learn in order to transform in response to the rapidly changing environmental conditions. With the lenses of second perspective, Dogdson (1993:377) defines the learning process as ‘the ways institutions build, supplement and organise knowledge and routines around their activities and within their cultures, and adapt, adjust and develop organisational efficiency by improving the use of the broad skills of their workforces’. According to him, general explanation of need to learn is the

requirement for adaptation and improved efficiency in times of change. Schwandt and Marquardt (2000:3) remark that only by improving the learning capacity of organization, change dynamics can be dealt and add that learning inside the organization must be equal to or greater than the change outside the organization or the organization will not survive or succeeding.

In that context, it is aimed to understand how the institutional learning processes during the project application and implementation periods in benefiting the PFAP of the EU was undertaken and whether the participants thought that it has role decisive during these periods, and if yes, how this role was defined. According to the comments of the participants, we categorized three themes defined as the elements of the institutional learning process regarding to the adaptation to the PFAP of the EU. These are ‘information and knowledge creation abilities’, ‘credentials of interaction with other individuals, groups, institutions’ including decision making and persuasion processes and ‘credentials of organizational culture’. You can find the details of each theme in next parts.

4.4.1.2.1. Information and Knowledge Creation Abilities

In literature, distinction between information and knowledge is made (Boisot, 1995, Davenport and Prusak, 1998; Nonaka and Takeuchi, 1995). According to Dreske (1981:86) information is commodity capable of yielding knowledge and what information a signal carries is what we learn from it. According to Nonaka and Takeuchi (1995:58-59), information is a flow of messages, while knowledge is created and organized by the very flow of information, anchored on commitment and beliefs of its holder. According to Davenport and Prusak (1998:5), knowledge is a flux of mix of framed experiences, values, contextual information and expert insight that provides a framework for evaluating and incorporating new experiences and information. In organizations, it often becomes embedded not only in documents or repositories but also in organizational routines, processes, practices, and norms.

In that context, we studied the answers of the questions as how the interviewees gained information about the PFAP of the EU in their institution, whether

if the project application and management process was clear for them, how they evaluated their knowledge level about the EU rules and styles in the project application and implementation process, what factors facilitated or inhibited to utilize the information about the policy benefiting processes and to turn them into knowledge, for instance how the knowledge about the EU model is exploited, transferred and disseminated among people in their institution, which assets such as operational practices are emphasized by the participants as decisive in adaptational period.

According to the expressions of the interviewees, they use three information sources. These are 1) Colleagues, 2) EU Commission, TÜBİTAK, CFCU, National Agency and 3) Project Management Units in their institution. The information is gained by the incoming mails and bulletins from the mentioned information sources, through the discourses in trainings, workshops, project meetings, by tracking the formal web pages, and the presentations in the programming meetings organised by the European Commission. It is observed that most benefited information source was the first one (colleagues), the least used was the third one (project management units in their institution). The third information source is the least used one, not because it was less preferred, but due to the fact that only half of the universities had these types of institutional units in their structure. Almost all of the participants underlined the necessity and indispensability of establishment of such units in their university in order to be more successful in knowledge management and coordinating the processes.

When participants were asked how the information was diffused during project application and implementation processes in their institution, for instance, how a project idea was turned into project application, which actors included and what were their role and which procedures were followed through these processes. Half of the universities had project offices helping them in proposal writing, budget preparation and management, compliance checking, communication with funding agencies or sponsors, any negotiations and modifications, and they acted as knowledge promoters about the processes. It is observed that the participants initiated international relations with potential partners for the project long before publication of the project calls and then they participated the consortiums established by these groups, and mostly they thought

that this was the ideal method to forge partnerships. After the call published, a discussion between the partners took place about the main subject of the project, as they reached a consensus, the period of writing proposal started. Almost all the participants stated that looking for a partner after the publication of the project call is not a proper way, because the time is very limited. Almost all participants expressed that it was not necessary and required that all the partners revise and rewrite the proposal document, it was not appropriate to expect same performance from all of the partners, so it was better to write it with a small focused academician group and send it to the other partners whether if they wanted to add something to the proposal.

According to almost all of the participants, close communication with EU Commission or research groups in Europe, lobbying, getting acquainted with the ways of doing things and working culture of the related actors is very decisive in the project application and management processes. After the proposal is put on paper, it was submitted electronically to the EU system. If EU requires a bargaining process to take place and the parties persuade each other and the grant agreement is signed. Consequently, the person who is authorized by rector takes all the financial, technical and administrative management responsibilities of the project. Then the first instalment of the grant amount is transferred to an escrow account or the university. The units incorporated into the project implementation processes are finance, human resources, purchasing departments, international office, and accounting divisions. Almost all of the universities don't have internal procedures for the application and management of EU projects; however, there are some internal directives about financial issues. The content of the directives changes to one university to other, but fits to the rules produced by HEC and Ministry of Finance.

When they are asked about the clearness of the rules, criteria in application and implementation process, they evaluated them as clear however how to implement them remains problematic because what x person understand by a rule depends on his/her interpretation. All the participants stated that the guidelines explained what was to be written in a project proposal, however they did not reveal how to write it or what key or appropriate words should be included or which EU documents should be referenced in

the proposal. All of the participants emphasized that maintaining the coherence between what was expected by EU and what was understood to do require a long learning process. All of the participants expressed that EU had its own terminology and jargons and it took time to adapt them. Just on that point, the other participant emphasized that the main hardship in project application and management, understanding the content of the call or what was expected by an X rule properly. He underlined that if the academics did not attend to the work program preparation meetings, it was very hard to understand what a call implied and required for a successful project. Another participant highlighted that for social scientists, it took time to get familiar with the concepts like sustainability, or formats like budget sheets, logical framework of the proposal, if you don't spread common understanding about these concepts internally in the institution, it took long time to meet incisively the EU requirements. According to him one of the best ways to overcome this problem is spreading the best practice methodologies that are tested by the colleagues firstly inside the institution. You can see the comments of the participants below:

‘It is not very clear, indeed a complicated process. It is very hard to understand the EU documents. It has a formal website where you can download documents about projects; however it is complicated, too. When you read the documents, you meet with different concepts which are hard to perceive and rarifying the processes. I could not understand why they prepare such documents.’ (University 1, İstanbul)

‘No, they are not clear. We asked for our colleagues who have experience on proposal writing and project management. Also, National agency helped us to understand the required processes. For instance, one of the parts in the proposal is the ‘Dissemination And/Or Exploitation Of Project Results’. In order to give a pleasant answer to that question, you should know your institutional capabilities well. We wrote that we would use the TV and radio of our university as dissemination tools. We read all the rules, guidelines related with the projects both in EU and Turkey level. Then, we worked in cooperation with the other departments in our university and created internal rules, procedures, forms. (University, Eskişehir)

‘The guidelines are very clear in my opinion. However, Turkish people tend to do the things without sufficient reading and this hardens the processes. For instance, designing the logical framework and budget of the project is not very easy for the academics from social sciences. It is better to take help from the experienced colleagues.’ (University, Konya)

‘We knew the application process, however did not know how to write a proposal. Yes, there is a proposal format and guideline explain what you should write in in, however does not mention how to write it. We treat the proposal as ordinary proposals of other international fund giver organisations. We understood we should not do it

while submitting our proposal in second times. In first time, we did not know we should use the key words in the call text, give reference to the EU documents like green papers. Yes there is a guideline, but it does not mention these kinds of cruces. In our third project, we knew how to do better, because we had learned through experiences from the first project attempts and communicating with the other partners and the EU scientific officers during the processes. In these days, we could be able to contact directly with the scientific officers of the programs and obtained direct information, feedbacks from them. They were very important inputs for the success of our proposal. Now, I know that this is defined in the project call, infact, this is expected. (University, Ankara)

4.4.1.2.2. Credentials of Interaction with Other Individuals, Groups, Institutions

In this part, answers to the question whether if the credentials of interaction with other institutions, groups, institutions was identified by the participants as having a supporting or constraining role in the project application and management processes were sought. Accordingly, the first question was about the time dimension; how much time they had between the call and project submission. The participants said that they had approximately six months; however, if they attended to the work program meetings where the content of the project call in forthcoming year is determined in, it is extended to twelve months. Then which elements they thought that could be decisive while working lots of units, people, and institutions during this limited time were asked. Almost all of the participants expressed that the speed of the communication within the university and with the other institutions was very decisive since they worked according to a plan under the pressure of certain deadlines. According to the participants, for a quick and clear communication, it was decisive to have previous working experience between parties and know each other's working culture, capabilities and interests beforehand. Relying on each other about getting deliverables promptly, having experience and knowledge on project management, existence of a professionalized project management office had facilitated the adaptation process to the rules and model that EU envisaged to benefit the financial assistance policy.

Secondly, we requested our participants to describe the characteristics of the communication and interaction between the people and the departments through these processes in their institution. Briefly, the characteristics that the participants highlighted can be summarized as the existence of quick information flows, compatible work

distribution between project team with the subject and the target of the project, openness of the project related people and the units to the new ideas and implementation methods, the responsiveness of the decision makers and administrative units, participatory working style, conducting random project meetings with the partners which keep the communication alive, good command of English of the project team, existence of multidisciplinary working approach, the multinational project management experience of the project leader. You can see the comments of the participants below.

‘First of all, cooperation or collaboration idea and participatory working culture should exist in the beneficiary institution. An original idea, good team, cooperation and professionalism are required for success in project application and implementation processes, thus adapting to the expectation of the EU. For instance, if I have an idea during the processes, I immediately share it with related stakeholders and got feedbacks from them.’ (University, Antalya)

‘I have a fruitful project team, and the rectorate supports us about EU projects. It is important that many academics with different research interest can pay attention to the project. In my opinion, good command of English is also important asset.’ (University, Sinop)

‘For adapting easily to the processes, the project manager has an important role. In big projects, project manager should distribute work and delegate responsibilities properly. He/she should have good relations with the partners, and previous project management experience. The project managers should pay much attention to the communication activities, for instance, random project meetings are very important.’ (University, Mersin)

Thirdly, we asked the participants how they define process of conducting a project with many partners from different counties, cities and also having different institutional structures like firms, research centres, consultancy firms, universities, associations, public institutions. All of the participants emphasized that working with partners was not an easy process however very important in academic aspects in contexts of contributing to the research area and knowledge transformation between institutions. The most problematic issues are meeting the commitments co-ordinately and writing periodic reports. All of the participants highlighted that if the research goals, previous experience on project subject, publications, patents, their motivation for the project, and project monitoring methods of the partner institutions are alike, this facilitates all the processes. According to the comments of the participants, the institutions which had alike capacities (research infrastructure, staff...etc.), or previous

working experience, and were familiar with each other's procedures, styles, working culture could work in harmony and meet the commitments more easily, thus the adaptation occurs before long.

In first phases of the partnerships, some participants expressed that there could be bias between people and institutions since they did not know each other well. Thus, according to them, the socialization, dialog, goodwill and persuasion had strong role to adapt to each other. One of the participants highlighted the importance of paying attention and time to the social relations as well as the academic tasks when the parties did not have sufficient knowledge about each other. The other participant stated that one of the problems emerged between the partners during the implementation of the project was the uneven working speeds of the partner institutions emanating from different the knowledge level and the research capacities of the institutions. Another participant expressed that most of the partners did not have an active role in project proposal writing, they only read the text and declared to join the project, thus, the project proposals were not an output of a common ground:

'Your relation with your partner is very decisive. You accomplish your work with success, but your partner does not. The previous experience, knowledge, studies and publications of your partner are very important. Acculturation is also important. Some people may not know Turkey and may have bias to us. However, we invite them to Turkey, our city; introduce our culture their prejudices quickly dissolve. It is the same for us. When we go Europe and get familiar with them, know each other better, our opinions also change.' (University, Sinop)

'You work with many partners. However, working speed of every partner can be different. For instance, the working speed and performance of the institutions from North Europe is higher than the Mediterranean countries and associated countries. In my opinion, it is related with the research capacity of the institutions. For instance, a research institute in Germany has been recruiting 500 researchers and it has a long research history on the subject area of the project. So, it is not logical to expect the same performance from all of the institutions.' (University, Mersin)

'We met some problems with our partners during the project, because we had not enough experience about the processes. For instance, we sent money to a partner before we got the related project deliverable. We should not, because they did not work properly and send back the money. The problem solved by the help of the financial officer of the program. The decisive point is working with partners who have alike credentials with your institution. Working with partners is a pleasant experience for an academician. For instance, three of partners I worked in previous project join again to my new project. In previous project, all of the partners already had working

experience with each other except us. I had some concerns, however they quickly passed away. (University, Ankara)

We asked participants whether if they attended the programming processes of the EU programs. Three of the participants expressed that they participated programming processes through the channel of TÜBİTAK or directly appealing to EC by the communication channels of their European partners. One of the participant said that TÜBİTAK sent the draft versions of work Programs and asked feedback from them in order to present them in EU work program designing meetings. The other participant expressed that the other method of joining to the programming processes is lobbying in Brussels and persuading Commission to invite their institution to the programming meetings:

‘Before the project calls are published, TÜBİTAK requested our opinions on the content of the calls and asked us if we want to add something to the call. We also attend to the Commission’s programming meetings and shape the content of the calls. For instance, we have a new project with a budget of 700.000 Euro. Before the call published, our project team lobbied in Brussels and shape the content of the call in the work program meetings. Commission paid attention to our opinions and published the call as we proposed.’ (University, Mersin)

Finally, we asked the participants how they define the persuasion processes during the policy benefiting processes. Some of the participants directly answered this question; some of them answered them indirectly while answering the other questions. When all the comments of the participants are taken into consideration, it is observed that the persuasion processes started very long ago from the project application period, and their influences increased during the project application and implementation processes. One of the participants emphasized that the research priorities of a country or an institution of a country could only be included in the EU priorities revealed in the work Programs only if Commission was persuaded to do that. The other participant stated that TÜBİTAK attended to the work program preparation meetings of Commission and it was not a proper way to defend the priorities of the academics, because it involved a hard bargaining and persuasion process with EU and she/he thought that academics could better explain and defend the research necessities and

potential contribution of their research priorities rather than TÜBİTAK representatives. According to other participant, the persuasion process becomes very important in partner finding period, solving a problem like the allocation of the budget to the partners or tackle with a partner when it did not realize its commitments, removing the prejudices caused by lack of information about each other. You can see the comments of the participants below:

‘Persuasion processes are quite important, especially in the first periods of partnerships. For instance, in our first project, I talked with my first partner at about seven and a half hour to persuade him to join the project. But now, they can sign a paper that I sent without read it. The Europeans are reluctant to work with the developing countries. If you are from a developing country, you have to persuade well your European partner. Our partner strives to meet its commitments, nevertheless delays occurred since it has already busy schedule. The dialog and goodwill are very decisive in solutions of the problems. The project staff may have prejudices to each other in early times of the project, however, bias are easily removed when you work together and learn each other.’ (University, Konya)

‘In order to propose a successful project, you have to join the work program meetings of EU and persuade them about the necessity of including your research priority in the work programs. Who does join to the meetings? TÜBİTAK. It should better to ask academics about the possible research priorities on a theme, our possible contributions, capacities, which themes should be foregrounded. If an organic relationship between TÜBİTAK and universities can be established, the number of the projects that Turkey coordinates will increase.’ (University, Ankara)

During this part of the interviews, when we are asking detailed questions to understand the characteristic of the interaction with other individuals, groups, institutions including persuasion processes which are evaluated as one of the elements of learning process that causes the institution to benefit from the PFAP and adapt its necessities compared to other institutions in same institutional category, it was noticed that one of the most emphasized element is the organizational culture and the role of project leaders. In that context, more detailed question were placed on these topics and explained in next sections.

4.4.1.2.3. Credentials of Organisational Culture

Culture is very popular explanatory concept frequently used to describe an organization, a rationale for people’s behaviour, a guideline for action, a cause for condemnation or praise, or a quality that makes an organisation what it is (Kunda,1992,

in Wilson,2010:219). The concept has been used only since 1970s (Schein, 1990). In this thesis, the definition of Schein (1985:6) about organisational culture is benefited. According to Schein, organisational culture is:

The deeper level of basic assumptions and beliefs that are: learned responses to the group's problems of survival in its external environment and its problems of internal integration; are shared by members of an organization; that operate unconsciously; and that define in a basic 'taken -for-granted' fashion in an organization's view of itself and its environment.

Geertz (1973) sees organizational cultures as web of meaning; culture itself is an on-going creation of those who live in within its influence (Wilson, 2010:219). Meanings around which consensus has already evolved are incorporated as norms, beliefs, symbols, and values of organizational culture and become a part of the way in which future interpretations are made. According to Wilson (2010:219), values, beliefs and shared meanings may be researched through interviews.

In that context, we asked the participants whether if the informal values, norms, beliefs, assumptions have a facilitating or limiting role in project application and implementation processes, thus adapting to the requirements of the policy. More than half of the participants stated that they have role throughout the processes. For instance, one of the participants expressed that what top level management of the university expected from academics about the EU projects was related with the organisational culture. According to hem/her if the academics believed that the management supported them in joining to the projects and were conscious about the importance of the projects, it was a triggering factor in applying to the programs. Other participant emphasized that organisational culture became very decisive in working with many partners which is a pre-condition in project application and management processes. He/she emphasized that their partner institution had an organizational culture very open to international cooperation, and their working style was very systematic and explanatory, and these factors facilitated the whole processes:

‘Our university aims to be one of the world leading universities. That’s why; the top level management supports the academics to apply EU programs, and expect them to bring success throughout Europe. In that context, if there is such an organisational culture which encourages the academics about the projects in an institution, it is very effective in project application process, because it gives you motivation to adapt challenges.’ (University 1, İstanbul)

‘If there is an organizational culture which does not familiar with the project management issues, the department may have a tendency to resist the tasks brought by the projects. Everyone should be more open. The people should have working culture focusing on the accomplishment of work, think more quickly and practically. Also, the working culture should be open to cooperation’. (University 2, İstanbul)

‘During the project, cultural interactions are also important. When you don’t know well about a country, institution, person, you may have bias. For instance, some people in the projects could not show the Turkey’s place in the world map. However, we explain them, show them, invite them to Sinop. When they come, get familiar with our culture, understand our scientific capacity and power, their ideas easily change.’ (University, Sinop)

In the context of organisational culture, another participant highlighted that the language (English) was very important, however it was better to see it as just a communication tool rather than feeling a necessity to speak excellently. He/she expressed that many of the academics he/she knew could not access the EU programs since they evaluated their selves as poor English users:

‘Organizational culture is very decisive in processes. For instance, our partner’s working style was very systematic and explanatory. When we visited them to undertake one of the project activities, we saw that everything was thought on behalf of us before our arrival. They prepared introductory packages about their institution for us. Their working style was very systematic. We learnt lots of from them about the training methodologies and styles. The language is very important in order to adapt each other however it is better to see it as just a communication tool rather than feeling a necessity to speak excellently (University, Eskişehir)

One of the participants expressed that by EU projects many institutions from different countries and sectors came together and work under common goals, and while working together, a common terminology was created. Than this common terminology

facilitates most of the processes during benefiting the financial assistance According to him/her, industry academia cooperation which was set as eligibility criteria for some projects was not developed well in Turkey, and one of the most important reasons for that is the existence of communication deficiency between them. In that context, she/he emphasized the role of EU projects in creating a communication culture between these institutions.

Another participant expressed that he/she met some cultural differences with the partner institutions in a project. For instance, the relations in the partner institution was more horizontal rather than hierarchical, the people paid attention also to social events as well as working, they had a working culture open to spend time with colleagues after work, accomplishing the deliverables in the committed time was a norm, and they could attend to formal meetings with informal clothes like shorts. All of the participants said that these differences dissolved as the partner institutions interact with each other, as the people got acquainted with each other's culture, style and norms:

‘The working and research culture of the European partners is different from us. In that sense, you have to know how to work according to EU working culture. For instance, you have to keep your words, if you said that you will give a data in a specific date and hour, you should do it. There is no limitation about expressing your ideas; however you have to comply with the rules of courtesy. If you have a problem with budget, you can demand revision after a logical justification. Every word of the coordinator is not a rule; coordinator listens your objection and if he/she finds it reasonable, the makes changes. You learn it by time. They have less hierarchy in their relations, whereas there is a strong hierarchy between the student and the academics. They can come to a formal meeting with just shorts. They work very systematically. You have to be evaluated as credible by them. They prefer the partners who can afford to work in harmony with their style, send the project reports, or accomplish the deliverables in time. It is also important to join to the social events with them. Cultural exchange is also important and they need time to better know you. If it is possible, it is good to organise the kick off meetings in Turkey. In this way, they visit your city and get familiar with your culture. ‘ (University, Gaziantep)

The other participant said that it was not good to make generalisations; however, sometimes he could notice differences in organisational culture of the different countries. For instance, according to him/her, the staffs of Nordic Countries more stucked to the time plans than the Mediterranean counties (Turkey included) and the project management logic might create inconsistencies more in Mediterranean

countries, however, he added that through the time and learning process all these inconsistencies were disappeared:

‘Organisational culture has a considerable role in the processes. For instance, while working with Germans and Britons, everything is in good trim. They accomplish everything in time and as they committed before. It may not be good example, but there are differences in working paradigms between the Mediterranean countries (including Turkey) and them. We usually make lots of commitments and less plans, consequently could not catch the project timing well. We don’t encounter with these kinds of problems with Nordic countries. They do what they write to the proposal and do not bargain about timing and the content of the deliverables. For us, we can say that by time we learn the working systematic of EU and get familiar and understand it.’
(University, Mersin)

4.4.2. Actor Related Components

After evaluating the comments of the participants, ‘actor related components’ are themed under two sub-branches as ‘managerial level components’, and ‘staff level components’. For the theme of ‘managerial level components’, participants highlighted the role of ‘credentials of leadership’, ‘existence of desire for prestige and visibility’, and ‘strategy and mission’. For the ‘staff level components’, participants dwelled upon the roles of ‘prior knowledge and experience levels’ and ‘existence of ownership feeling for the project’.

4.4.2.1. Managerial Level Components

In this part, more detailed questions directed to the participants about the role of managerial level components such as leadership, incentives and barriers directed by decision makers in the institution, institutional strategy and mission during the processes of benefiting the PFAP.

4.4.2.1.1. Leaders' Competence Level and Personal Skills

Almost all of the participants stated that the role of project manager is very decisive for the success of whole processes. According to them, the individual characteristics of the project manager is also important as well as his/her experience and knowledge level. Some of the participant highlighted that the scientific reputation, his previous experience on project management model and rules of EU, technical competences were very facilitating credentials:

‘Coordinator should be good at in both aspects; technical and administrative. H/she could be able to motivate the project personnel. In that context, his/her previous experience on project management is very important. Besides technical capabilities, administrative capabilities are also important.’ (University, Konya)

‘In multipartnered a project, all the responsibility belongs to the project manager, thus, he/she should be able to master all the rules and details EU expects.’ (University, Sinop)

Some other participants added that the project manager should also know the partner institutions very well and capable of understanding the EU’s language and what is expected in a call for success. For the individual characteristics, it was highlighted that if the project manager was a good team player who can work with people from various background, nationality and culture, embrace the project and create ownership feeling for the project, be a consensus builder, have a solution oriented perspective, the processes flow without any problem:

‘First of all, you have to spare time for the project. You have to understand literally what is meant by EU in the project calls. Coordinator should have also administrative capabilities besides his/her technical qualities. Additionally, you have to know with whom you will work very well. It is hard to work some professors who have the same title with you. (University, Gaziantep)

‘The technical competences and individual credentials of the project manager are very important. The project manager should have strong coordination capabilities. The scientific reputation is also very important. If he/she is not evaluated as credible person, he cannot gather people around himself in a project. He should be knowledge promoter and good consensus builder. Especially, in division of labour and budget allocation, these credentials become very important. So, he/she should have high qualities in scientific and administrative aspects.’ (University, Mersin)

4.4.2.1.2. Existence of Motivational Inputs by Decision Makers, Boards

In this part, our participants were asked whether if they thought the perspective or vision of the decision making boards or committees had role in the processes of benefiting financial assistance policy, and whether if incentives and barriers were directed by them to the project staff in the institution. All of the participants said that all the decision makers and related boards supported them in the project application and the management processes. This support took the forms of exemption from the lectures during the project duration, organising project cycle management trainings, providing financial support to the project staff for the project meetings in abroad, co-financing for the big projects, establishing a project office to support the academicians in project application and management processes, spreading the proposals of the previous successful projects, maintaining administrative support for the big workshops and conferences in the projects, giving motivation awards to the project managers, giving permission to the project staff to gain additional salary for their efforts and work in projects, making supportive speeches about the importance and the value of the projects. You can find the comments of our participants below:

‘They support us very much. For instance, I am exempted from giving lectures for two years during the project duration. They always informed us about the project opportunities, and encouraged us to join a project. I am financially supported by the university to attend the project meetings in Europe. The project office shared the previous proposals of successful projects with me. For my university, joining to the EU projects is very worthwhile attempt.’ (University 1, İstanbul)

‘Our rector is eager for joining EU projects and opening the university to foreign countries. The universities work very reserved in Turkey. Our management wants to break this characteristic. The vision of the managers becomes very important in projects. For instance, project application and management trainings are organised regularly in our university. Last year the rector gave incentive awards for the project managers of the successful projects. He foregrounds the importance of the projects in his speeches and encourages us.’ (University, Kayseri)

‘We are supported by rectorship. In our first project, the first instalment of the project could not be transferred before the kick-off meeting and we were in need of money for travelling abroad. In that context, our rectorship gave us the money we required. The support of rectorship is very decisive in the success of the project.’ (University, Eskişehir)

4.4.2.1.3. Wording and Circulation of the Strategy and Mission

When views of participants were asked whether if there are strategies about benefiting the financial assistance policy of the EU and if yes whether if they circulated well, more than half of the participants expressed that they did not know whether if there is a written strategy. However, they stated that their university has a mission to enhance the international cooperation, and thus increase the number of the EU projects and this mission is well known by the university staff.

‘I don’t know whether it takes a part in the strategy of the university; however our university has a mission like being successful in Europe. We want to make our university widely known in Europe. In that context, the perspective of the management board is very decisive. This perspective is known by all academics in the university and I don’t think that it should be written.’ (University 1, İstanbul)

‘I don’t know that there is an explicit written strategy about that, however, we have an international office and in my opinion this shows that university has a plan about that.’ (University, Kayseri)

‘Institutional strategy matters, if the strategy is on recognition in local level, it does not need EU projects. However if it is on international cooperation, EU projects become important. Our university has a strategy for enhancing the international cooperation.’ (University, Antalya)

4.4.2.1.4. Existence of Desire of Prestige, Recognition, Visibility

We asked the participants whether if there was difference in the image between the institutions which conducted lots of EU projects and the other which did not, if yes what kind of differences they thought there were. More than half of the participants expressed that the project brought prestige, visibility and recognition in their region and international level. According to them, the projects contributed to the university’s scientific recognition and visibility of the academics in research world. Some of the participants stated that conducting EU projects was evaluated as the symbol of internationality of a university:

‘Yes there is a difference between their images. If you received funds from EU, it means that you are a world standard university. If most of your academics are awarded by EU, that is to say your institution could easily take its part in the European scientific arena.’ (University 1, İstanbul)

‘By the projects, our university recognized in international level more. They contribute to the marketing of the university in abroad. Our international relations developed. We easily find new partners after the EU projects.’ (University, Konya)

‘Image is very important. You make regional, national and international images for your institution. The recognition of your institution increases in the eyes of EU institutions and the institutions in the EU countries. If you are a university, you work in universal levels, that is to say you should be recognised in international level. In that context, EU projects can be evaluated as symbol of internationality. As a university, the more international relations you have, the more power in the subject areas.’ (University, Antalya)

‘You can easily feel the difference. Making an EU project looks like playing soccer in champion’s league. You have regional league, super league and champion’s league. If you conduct EU project, your chance to join to the champion’s league increases. Visibility is an indispensable need for a university. In my opinion, every university should put targets for forging international projects and motive its academics. International cooperation brought quality. The prestige, money is embedded there and you have to take them.’ (University, Gaziantep)

One of the participants highlighted that one project paved the way for the cooperation in other projects; the partnerships in one platform could continue in other platforms and thus contributes to the research capacity of the university in financial and scientific aspects. The other participant highlighted that the visibility of his academic work about Black Sea is maintained by the EU projects. Another participant expressed that if a university conducted EU project, it meant that it gave value to its students and academics:

‘Of course, there is difference. I, my staff and university are much more recognised by the people after the projects. When someone or an institution from any country all over the world needs information or research about Black Sea Region, they immediately call us. They also apply to our university without purposes to forge EU projects, with other research goals.’ (University, Sinop)

When we asked whether desire of prestige, legitimacy, and visibility could be evaluated as a motivational factor for benefiting the financial assistance policy, more than half of the participants labelled it as strong motivation.

4.4.2.2. Staff Level Components

We asked to our participants what qualifications and characteristics the project staff should have in order to facilitate the adaptation to the EU model. All of the participants stated that if the project staff had project application and management

expertise, all the processes can flow with fewer problems, because the speed and quality of the communication increases:

‘The expertise of the people you work with is very important. How to write a project requires expertise. Also, the speed of the communication is also important; everyone should give immediate feedbacks to each other. If the staff has expertise, they may communicate faster.’ (University 1, İstanbul)

‘Creating teamwork is very important aspect, however sometimes it is very hard to achieve. EU might prefer that project staff should deal with only the tasks of project. However in academic life, it is very hard to deal only with the projects. Project personnel have heavy teaching duties, research duties prioritized by the intuitions they work. For instance, sometimes it is very hard to find a time and place to make meetings about projects. In that context, project staff should be very unbending or determined about the tasks of the project.’ (University 2, İstanbul)

‘It is better that project staff has previous working experience and know each other well. By this way, you don’t meet with surprises. The expertise of the project staff is very decisive. The project team should not be very crowded and include people who can work together in harmony.’ (University, Gaziantep)

All of the participants highlighted that the staff should have an ownership feeling for the project, they should believe the goals of the project and have willingness to realize them:

‘The project staff should have proper technical and administrative capabilities, ability to work in harmony and willingness to achieve the project goals. Not only academics but also financial experts should also be included in the project. The most important factor is desire to work together and finish the project by success.’ (University, Konya)

‘It is decisive to have a good project team. And the team should have ownership feeling to the project and work willing fully. (University, Eskişehir)

These particulars were evaluated as indispensable characteristics for the project staff that were facilitating the adaptation period. Additionally, according to some participants if the project staff knew each other well from previous works and trusted each other on the achievement of their commitments, everything would go better:

‘Original idea, proper work distribution and professional team are very important. We are still far from these credentials. Our social relations work differently. For instance, the relation between the project staff is more hierarchical and vertical in our working culture. Cooperation culture is new for us. However, in order to gain success in projects, you have to be open to cooperate with different people and institutions.’ (University, Antalya)

4.5. Impact of the Pre-Accession Financial Assistance Policy

In this part, we asked the participants the impact of the financial assistance policy on individual (career, ways of doing things, opinions, understandings, perceptions, values, relations...etc.) and institutional (processes, procedures, collective understandings, perceptions, working styles...etc.) aspects. According to the comments of the participants, the impact areas were categorised under eight themes. It is observed that the impact areas were not independent from each other or separated by thick lines. For instance, while a participant started to explain the impact on his/her research interests, than continued his/her words by the impact on his/her ways of doing things. Accordingly, these themes were much intertwined and hard to put them into frames. These themes were:

- Attitudes,
- Ways of doing things,
- Skills, competences,
- Opinion, understandings, point of views,
- Collective understandings, paradigms
- Interests,
- Institutional relations.

4.5.1. Change in Attitudes

According to Ajzen (2005:3) an attitude is disposition to respond favourably and unfavourably to an object, person, institution or an event. We unfortunately could not get much response from the participants about the changes on their attitudes in the institution directly emanated by the PFAP. The participants emphasized change in collective perspectives in the institution rather than the individual attitudes. The highlighted change theme was turning of the negative opinions about people and institutions which the participants did not work before into positive as they interacted with each other. The main reason was related to the lack of information which created bias about people and institutions; however they are removed through time as the

knowledge level increased. All of the participants stated that they feel very pleasant for that they accomplished the goals of the project and it was a very favourable outcome for their career.

4.5.2. Change in Ways of Doing Things

All of the participants except one expressed that there were change in their ways of doing things in the institution after benefiting the PFAP of EU. ‘The way of doing something’ lays emphasis on how a one performs something. The participants stated that after the EU projects, they become more organised or planned while conducting a work, research task, for instance they started to record every details and keep them. Some of the participants said that they learnt to use the time more efficiently after the projects:

‘Projects brought opportunities to work with many people, recognize them, and create routines for cooperation. For instance, academics and administrative personnel started to work under common goals together. It was an experience for me to understand the working systematic by considering the deadlines, considering the flow of more than one tasks by focusing on the results. Projects brought working routines under time limitations.’ (University 2, İstanbul)

‘EU projects drive you to be more planned or systematic.’ (University, Mersin)

Another aspect highlighted is during the collaboration practices with their European partners, beneficiaries transferred the ways of doing things of their partners which they evaluate as more efficient and fruitful to their own institution. For instance, one of the participants stated that they changed the lecture conducting method for specific lectures in their faculty by including new exercise preparation methods and lecture evaluation forms:

‘In my opinion there are changes in ways of doing things. For instance, we changed the lecture conducting process after we review our partners’ processes. We applied the exercise preparation methods of our partner, added lecture evaluation forms to our process.’ (University, Eskişehir)

Another participant said that he/she and his colleagues started to use workload charts in their institute for efficient time management:

‘When I was in Europe during my post-doc study, I learnt time management very well. I transferred it to my students when I came back in Turkey. The time management is

also very important in EU projects. By EU projects, my students learnt how to manage their time efficiently and comply with the deadlines. Consequently, their ways of doing things changed.’ (University, Sinop)

‘Of course, there is change. I applied the best methodologies I saw in the partners’ organisation. For instance, all workload was controlled by the sheets and charts in partner’s organisation. I found it very efficient method and customised it according our needs. For instance, EU envisages that you should record the details of the projects, or keep a copy of any document you send to other people or institutions. Now, I implement this rule in all my work.’ (University, Gaziantep)

4.5.3. Change in Opinions, Point of Views

Almost all of the participants said that there were considerable changes in their opinions and understandings. The most highlighted change was the removal of the bias towards European people and institutions.

‘Before the project, our partner institution was in a utopic place in my views, because it was the most well-known and leading institution in Europe and had a great research infrastructure when it is compared to our institute. By the projects, I had a chance to reach a realistic understanding, quit from my exaggerations about the institution. That was a perfect experience about breaking away preconceived opinions about the other research institutes which we locate them in an inaccessible place in our minds’ (University, Eskişehir)

One of the participants emphasized that the project bring the practice of thinking a target with all its cost, risks and sub activities. Another participant highlighted that his understandings about appropriate behaviours of a coordinator of multinational research project changed. By the projects, he said that he understood that communication abilities are crucial as the academic excellences to conduct an international project.

‘During the projects, by time, your understandings about how to behave in the international project meetings, how to defend an idea in a multinational team develop very much. You learn the appropriate behaviours of a coordinator, it has an important impact on your views about being a coordinator. Europeans are result-based people. They want to work with the people who can work in harmony with them. In that sense, not only the academic qualities, but also the communication abilities become important. Many people may think that academic excellence pave the way for joining an EU project. This opinion changed when you join many EU projects.’ (University, Gaziantep)

‘My opinions did not radically change, however my project contribute me to understand what EU especially want from a project.’ (University 1, İstanbul)

4.5.4. Change in Job Skills, Experiences

According to Knapp (1963) skill is ‘the learned ability to bring about pre-determined results with the maximum certainty often with minimum outlay of time or energy or both’. Knapp says that skills are learned abilities. In that context, all of the participants said that designing and managing an EU projects contributed very much to their working skills and experiences and added that the first projects constituted the references of the next projects.

One of the participants emphasized that by the trainings in the project his knowledge level increased, found new comparative study opportunities. He/she added that also his own lectures became more example rich and he/she could raise the awareness of the students about the differences and the similarities of the structure of the same lectures in the European universities:

‘In my opinion, projects had very positive effects on my career. I just came to Turkey from abroad. EU recognised me as an outstanding academician by the funds it transferred to my project and it was an asset in my curriculum vitae.’ (University 1, İstanbul)

‘By the projects, I can say that my knowledge and experience were deepened. I could give more sound examples while giving my lectures and also raise the awareness of the students about the differences and the similarities of the structure of the same lectures in the European universities.’ (University, Eskişehir)

‘I told you that I have been in Europe for a long time and attended to the EU projects there. These experiences were very important and acted as a key for opening many doors to me in Turkey. The academic studies are the vitals of our life, however activities like workshops, organising conferences that are supporting the academic studies constitute the other very essentials of our life. For instance, I produced many publications by the workshops we organised by the projects or shared the findings of my researches by public, various experts, scientists in panels and took their feedbacks. It is a great contribution to my progression in science.’ (University, Antalya)

When we asked the academic contributions of the projects to the participant’s life, all of them highlighted that besides the academic contributions like increase in number of patents and publications, projects helped to the development of their social skills, communication abilities and international networks which is valued as important as the academic gains. Participants said that not only the academic studies but also the coordination and support activities of the academic studies like conferences; workshops

were useful for development in science. According to them, EU projects contribute them to reach these opportunities and maintaining the mobility between the research groups.

Some of the participants stated that by the projects, they could become aware of the differences in given opportunities to academics by the institutions and compare them. Almost all of the participants said that the lecturing duties were much heavier, but their incomes much lower than their European partners'. They emphasized that in order to maintain their family's life quality, they had to give more lectures to earn money, which in turn caused them not to find time for research and develop their academic qualities. Two of the participants expressed that their university let them to earn money additional to their salary for their labour in the projects and this was a good motivation for them because the workload of the projects was very heavy. Most of the participants emphasized that if they could earn money for their labour in the projects, it would contribute to their career because they would not have given lectures. It is observed that especially the academics in state universities were not let to earn additional incomes from the projects. Although this situation caused demotivation for them and they felt time and workload pressure, they joined to the project by following their ideals for forging international cooperation and recognition.

One of the participant said that it was very pleasant to work with the scientist who spoke with same terminology and saw the same colours in academic meanings. Most of the participants emphasized that EU projects gave the opportunity to work with an international team about their interest area and they learnt their style, working systems, exchange knowledge and consequently it contributed very much to their scientific capabilities.

'It is a great pleasure to be with the scientist that you use the same vocabulary and see the same colour. In Turkey, there is always a discussion between academics about the lecture hours they committed since the more lectures they give the more income they receive. We all know that the income amounts of the academics especially working in state universities are not very satisfied. For that reason, in order to sustain their life standards, the academics remain in a position to work long hours and carry a heavy teaching burden. By EU projects, you can get more income without committing yourselves to long lecturing hours and do your academic research at the same time. The other advantage I would like to highlight is that you can travel to abroad for your

case studies or international conferences which in turn contribute to the development of your scientific skills by EU projects. When we think that the budget resources for the travelling abroad with academic purposes are very limited in state universities in Turkey, it is a considerable opportunity. Not only had me, but also most of my assistants reached opportunities to do international studies about their research by EU projects.’ (University, Sinop)

4.5.5. Change in Interests

Some of the participants expressed that their research interest areas was enlarged or diversified. All of the participants expressed that projects produced new ideas, partnerships, activities and this eventually has an impact on their studies and research interests.

‘Every partnership in international level paves the way for new projects, workshops, new ideas and networks. Scientific development requires cooperating, collaborating, and sharing ideas and knowledge. You transfer your academic gains in international level to national level and this creates new research interests.’ (University, Mersin)

4.5.6. Change in Collective Understandings

Almost all of the participants expressed that there were changes on the collective understandings, perspectives of the people in the institutions and perceptions of the other actors around the institutions and highlighted that this change did not mean a radical diversion from the general institutional missions. One of the participant stated that their department had a nationalist and introverted stand as it is the history department and by the projects they were not as conservative as they were before and broke down many mutual prejudices through the communication and interaction. Another participant said that the students attended to the exchange programs expanded their horizon as they meet with different cultures, nationalities:

‘Our department focuses on research at history. That is to say, we have a more nationalist and introverted stand than the other departments. By the projects, our approaches become more moderated and less conservative. In the first years, the other academics blamed us with very sharply, but now their perceptions also changed. I talked to our first partner around 7.5 hours in order to persuade them for collaboration. But now, they can sign if ever I put an empty sheet in front of them. We removed all the bias, negative images through communication. (University, Konya)

Other participant explained that one of their project aimed at giving vocational training to the disabled people and at the end of the project the concerns and

reservations about finding job was removed and their perception about their capabilities were changed. Almost all of the participants expressed that their and the other people's views about project related colleagues, partner institutions and the project team changed. For instance, an understanding like 'this department is very successful' or 'this department is really hard-working' spread through the institution after the projects. The other participant said that he/she won the funding for his project just as he had been accepted for job by the university; this in turn contributed him to prove his scientific competences and effect the other academics' perception of him in the university. Another participant stated that projects contributed to the spread of idea of that all people could live in peaceful coexistence because outputs of the projects demonstrated that independent from any nationality, academics, experts could work together and produce science:

'It is not only working, it is also creating common values while working. It is not just about transferring the funds, but also forging shared understandings of common public goods like human rights, democracy, peace, welfare. The working environment that the EU projects provide contributes to the spread of the idea that 'people can peacefully co-exist together' and changes the perceptions of the parties.' (University, Antalya)

Other participant highlighted that projects produced cooperation and communication culture which changed the views of the people's about foreign institutions and contributed their capabilities of presenting their works in international level. All of the participants expressed that projects contributed to the creation of the common working culture by fostering communication, friendship, mutual understanding between parties through countries and removal of the bias. They added that projects met the fundamental necessity of the scientific development which is the sharing and promoting the information and knowledge, opening the research institutions to the service of all people of the world's countries:

'EU projects contributed significantly to the vocational and personal development. For instance, the student firstly flight to abroad, took passport, saw a different country and deal of them by oneself. That's a big gain for the young people. They meet with students from different cultures, world views, life style, and this experience definitely rocked their world.' (University, Eskişehir)

‘After the projects, the other academics in our university started to think more positively about our research studies and a collective impression that our group was very hardworking and successful spread between them.’ (University, Sinop)

‘In projects, you work with lots of international institutions, people from different nationalities and cultures. Of course project has some contributions to the academic studies; it is one of the aspects. But also they have an impact on your conceptualisation of working.’ (University, Ankara)

4.5.7. Change in Institutional Processes and Procedures

Almost all of the participants expressed that EU projects caused changes in institutional procedures, processes and establishment of new institutional units like project offices. In the first insight, the most highlighted issue about the change was observed as the professionalism brought by the EU project to the institutions. In half of the universities, the project offices which are responsible for all project application and project management operations in order to adapt to the EU requirements for benefiting the financial assistance policy were established. Basically, project application processes start with the discussion of research ideas, directions, funding opportunities, synergies, and potential collaborations and cover all steps taken until the successful completion of the grant or contract agreement. It is observed that these offices’ functions include help with proposal writing, budget preparation, compliance checking, coordination with the Institutional Ethics Board where necessary, communication with EU institutions, any negotiations and modifications. Project management process starts with a successful grant agreement and the allotment of resources. A main component of project management process is financial management which includes expenditure management in coordination with Purchasing and Human Resources departments in the universities. Presentations, reports, compliance checks and coordination with sponsoring agencies or establishments are all project management offices functions. It is observed that the project management office runs the entire term of the grant or contract agreement. In process of time, these units became professionalised and produced their own procedures in order to maintain the adaptation between the EU regulations, necessities, models for benefiting the financial assistance policy and the internal rules, administrative instructions and law that the university has to obey in Turkey.

One of the participant stated that the existing departments refreshed their rules and working codes after the projects and became more efficient. For instance, he/she stated that there was an airport in the borders of the university, and by one of the EU projects, the airport was started to be utilized more efficiently, new trainings initiated and more students found chance to benefit from these trainings and the other facilities of the airport. The other participant expressed that by an EU project a new cultivation centre about one of the mushroom species which was very hard to grow in their city was established and started to be utilized not only by the university but also by the local community. Another participant said that he went to Germany and visited many universities with a committee composed of the representatives of the other universities in Turkey for analysing the best practice models of implementation of the Erasmus program and then transferred most of the processes and procedures to his/her university and emphasized that after these adaptation to the Bologna process was maintained easier.

The most connoted processes that are evaluated as changed were financial, purchasing and human resources processes. For the financial processes, briefly, the participants laid stress on the new procedures and hardships about operating on foreign currency, book keeping in escrow accounts, expense planning and budget tracing, overhead expenditure For purchasing processes, it is observed that the tendering procedures were changed according to the EU requirements and subcontracting principle was internalized. For the human resources processes, time utilization methods were started to be used. All of the participants expressed that projects brought institutionalisation and professionalism to their university. By professionalism, they meant turning an idea to a project, utilize the resources as it was planned and committed, record and register all of the details and efficiently report it. By institutionalisation, they refer that duties and activities became more systematic and planned, the work flows and allocations became more clear, and organised.

4.5.8. Change in Institutional Relations

All of the participants expressed that the quality and quantity of their university's relations changed and they became more international and competitive.

They highlighted that EU projects contributed to the recognisability and reputation of their selves and institutions in academic aspects, and created many new cooperation opportunities. One of the participants expressed that they had been previously cooperating with USA about research and development, by EU projects, their relations with European countries considerably developed.

‘By projects, our competitiveness about our research area increased very much. University started to take place in press more frequently. That is to say visibility and recognisability increased.’ (University, Sinop)

‘My connections with the colleagues in Europe besides USA developed very much. This year I will join to new projects with the scientists in Europe which is very fruitful between my networking activities.’ (University 1, İstanbul)

‘The very important point is that you connect to lots of institutions and colleagues by the EU projects and your networks absolutely become enriched. Since they had a chance to learn your working style and trust you about the responsibilities in EU projects, you can easily persuade them for partnerships in other projects. This consequently contributes to our institution’s relations, it become more open to international cooperation.’ (University, Eskişehir)

‘Previously, we had been working with USA and had not much contact with Europe. Moreover, we can say that our relations with Europe were almost non-existent 10 or 15 years ago. There were framework programs of EU, however Turkey was not included. In these times, we were mostly supported by NATO and National Science Foundation of USA. Than Turkey participated to the framework programs and it was a good opportunity forge new partnerships and relations. Now, our institute has close relations with the institutes of almost all of the European countries, and I can say that half of our research studies are funded by national institutions and half of them by European Commission.’ (University, Mersin)

As a brief overview, it is observed that the PFAP of the EU has impact on beneficiaries both by individual (ways of doing things, opinions, understandings, skills and experience, interests) and institutional (processes, procedures, collective understandings, perceptions, working styles, relations) aspects. For the changes in the opinions and understandings, it is observed that there are two major change areas. These are change in ‘conceptualisation of working’ in beneficiaries mind and the ‘viewing the others’ while working. The change in first area is associated with increase in practice of thinking a target with all its cost, risks and sub activities, maturation of understandings about appropriate behaviours of a coordinator of multinational research project, emerging an understanding that communication abilities are crucial as the academic excellences to conduct an international project. The change in second area associated

with the removal of the bias towards European people and institutions. It is emphasized that bias are removed through time as the knowledge level about each other increased.

We unfortunately could not get much response from the participants about the changes on their attitudes in the institution directly emanated by the PFAP. However, it is observed that the change of ways of doing things which lays emphasis on how one performs something is associated again with the change in ‘conceptualisation of working’ in the beneficiaries mind. Beneficiaries explained that they become more organised or planned while conducting a work, research task, they started to pay more attention record the details and keep them, produced methods to use the time more efficiently like monitoring the time consumption by workload charts, transferred the ways of doing things of their partners which they evaluated as more efficient to their own institution such as lecture conducting methods.

For the impact of PFAP to the workings skills and experiences in the chosen beneficiary institutions, mostly highlighted issue is that besides the academic contributions like increase in number of patents and publications, projects helped to the development of the social skills, communication abilities and international networks which are valued as important as the academic gains. Participants said that not only the academic studies but also the coordination and support activities of the academic studies like conferences; workshops were useful for development in science. They have already known the importance of these tenets before benefiting the policy however; it is observed that EU projects contribute them to reach these opportunities and maintain the mobility between the international research groups and thus created a change in understandings of the beneficiaries by proving the indispensability of these tenets for maintaining the development in science. Most of the participants emphasized that EU projects gave the opportunity to work with an international team, exchange knowledge, learn the partner’s style, working systems, and consequently it contributed very much to the development of their scientific capabilities. During the interviews, it is learnt that especially the academics in state universities were not let to earn additional incomes from the projects. Although this situation caused demotivation for them and they felt

time and workload pressure, it is observed that they joined to the EU programs under PFAP by following their ideals for forging international cooperation and recognition.

It is observed there were changes in collective understandings in the beneficiary institutions. Firstly, the collective understandings of the faculty and the academics that conduct more than one EU projects changed; however, this did not mean a radical diversion from the general institutional missions. Secondly, the perspectives of the people in the institutions to the academics participating to the EU programs were changed. For the example to the first change type is that according to the comments of the participant, his/her department which had a nationalist and introverted stand since it is the history department become more moderate and broke down many mutual prejudices between internal departments and the other institutions through the communication and interaction. On the other side, according to the beneficiaries, projects produced cooperation and communication culture inside and between the institutions, changed the views of the participants about foreign institutions and contributed their self-confidence to present their works in international level. In that sense, we could say that participants reviewed their academic capabilities and redefine their academic identities, research interests in this collaborative atmosphere secured by the rules of the EU. For instance, some of the participants expressed that their research interest areas was enlarged or diversified whereas all of the participants expressed that projects produced new ideas, partnerships, activities and this eventually has an impact on their studies and research interests. Another highlighted aspect is that projects contributed to the spread of idea that all people could live in peaceful coexistence, because the outputs of the projects demonstrated that independent from any nationality and culture, academics, experts could work together and produce science for the sake of humanity. It is observed that not only the perspective of the academics, but also the understandings of the students and the target groups participated to the projects are highlighted as changed. It is highlighted that the students attended to the exchange programs expanded their horizon as they meet with different cultures, nationalities. Their presentation and language skills are illustrated as developed. Other participant explained that one of their project aimed at giving vocational training to the disabled people and at the end of the project their concerns and reservations about finding job

was removed and their perception about their capabilities were changed. For the second type of change, one of the most highlighted issues is that the projects contributed beneficiaries to prove their scientific competences in the institution and effect the other academics' perception about their scientific capabilities. According to the participants view, the academics and departments conducting EU projects were started to be evaluated as more successful or hardworking by the others because the burdens and hardships of conducting an EU project is well known by them and overcoming them besides the teaching duties is associated with being hardworking.

It is observed that EU projects caused changes in institutional procedures, processes and establishment of new institutional units like project offices. The most connoted processes that are evaluated as changed were financial, purchasing and human resources processes. For the financial processes, briefly, the participants laid stress on the new procedures about operating on foreign currency, book keeping in escrow accounts, expense planning and budget tracing, overhead expenditure. For purchasing processes, it is observed that the tendering procedures were changed according to the EU requirements and subcontracting principle was internalized. For the human resources processes, time utilization methods were started to be used but not much wide spread. All of the participants expressed that policy benefiting processes brought institutionalisation and professionalism to their university. By professionalism, they meant turning an idea to a project, utilize the resources as it was planned and committed, record and register all of the details and efficiently report it. By institutionalisation, they refer that duties and activities became more systematic and planned, the work flows and allocations became more clear, and organised. However it is observed that this change occurs only for the departments, institutes or faculties included in the project cycle management processes.

In half of the universities, the project cycle management offices were established. It is observed that these offices' functions include help with proposal writing, budget preparation, compliance checking, coordination with the internal departments where necessary, communication with EU institutions, any negotiations and modifications. Presentations, reports, compliance checks and coordination with

sponsoring institutions are all project management offices functions. In process of time, these units became professionalised and produced their own procedures in order to maintain the adaptation between the EU regulations, necessities, models for benefiting the financial assistance policy and the internal rules, administrative instructions and law that the university has to obey in Turkey. Besides establishment of new institutional units, some of the beneficiaries highlighted that the existing units were started to be utilized more efficiently. For instance, the unused airport located in the borders of one of the beneficiary university was brought into service for the trainings to the students. All of the participants expressed that the quality and quantity of their university's relations changed and they became more international and competitive. They highlighted that EU projects contributed to the recognisability and reputation of their selves and institutions in academic aspects, and created many new cooperation opportunities. One of the participants expressed that they had been previously cooperating with USA about research and development, by EU projects, their relations with European countries considerably developed and half of the funding for their research are collected from EU projects.

As a conclusion for this part, we can say that degree of adaptation of the chosen universities to the PFAP is modest. Although there are substantial changes in the collective understandings, ways of doing things, procedures and processes, institutional relations in the chosen universities, change occurs only for the departments, institutes or faculties included in the project cycle management processes and were not accommodated by the total institutional structure. For instance, tendering procedures were changed according to the EU requirements and subcontracting principle was internalized, however the new procedure is only applied to the projects, not to the other purchases such as investment goods. For instance, in human resources processes, time utilization methods were started to be used but not applied to the all departments of the university. Quality and quantity of their university's relations changed and they became more international and competitive, however this change is limited with the departments joined to the EU programs. There is a change in collective understandings about the 'conceptualisation of working' and the 'viewing the others' while working, however

again this change is absorbed by the people in the university who are included during
the policy benefiting processes.

5. OVERVIEW OF THE FINDINGS AND EXPLANATORY MODEL FOR THE EU IMPACT

In the light of the legal templates and conducting in-depth interviews with the representatives of the beneficiary universities, a model for explaining the mechanisms of the impact of Pre-Accession Financial Assistance Policy of the EU on the institutional structure of the universities in Turkey during 1999-2010 is drawn. Main findings on which the model based can be themed as such: change in state institutions, constraining factor for benefiting the policy- the uncertainty, mechanisms of change, impact of the policy.

A) Change in State Institutions:

FINDINGS:

1. Considerable policy and institutional changes occurred in both EU and Turkey's side in the context of PFAP between 1999 and 2010.

2. When PFAP hits the first receiver of the policy, state institutions in Turkey, it created a change with new systems, processes, and institutions designed to implement the policy and adapt to its necessities. The change is an example of positive integration.

B) Constraining Factor for Benefiting the Policy- The Uncertainty:

FINDINGS:

3. There is a strong uncertainty for the universities, the second receiver of the policy if they want to benefit from the policy.

4. The first uncertainty theme is choosing the right institution for gaining information to turn project ideas to project proposals, because there are many information promoting agents, quick change in their administrative links.

5. The second theme of uncertainty is understanding and evaluating the tons of documents, guidelines, criteria, relevance, new terms, formats, financial requirements, processes, procedures.

6. The third theme of uncertainty is understanding the complex structure of managing the projects compatible with the EU requirements and existing institutional set up.

7. The fourth theme of uncertainty is understanding and achieving the methods of proposing necessities or opinions about the IPA and Community programs to EU.

C) Mechanisms of Change

FINDINGS:

8. The EU is viewed as structure of meanings, collective understandings, rules of appropriateness and practices and academic identity plays a role in viewing the EU.

9. When PFAP hits to the second receivers of the policy, universities, it continues with framing mechanisms.

10. Learning through experience, socialization with EU institutions and European partners occurred during the policy benefiting processes.

11. There are misfits between levels of institutions which generates adaptation pressure. These misfits are associated with 1) Misfits between Financial Rules, Processes, Regulations 2) Misfits in styles and ways of doing things 3) Misfits in standards.

12. There are facilitating factors such as formal supporting institutions, veto players, norm entrepreneurs, cooperative informal institutions that help the universities to overcome the uncertainties and filter the adaptational pressure, however their roles are limited. The supporting formal institutions' efforts are appreciated, but not evaluated

as robust, comprehensive and having the required capacity to promote domestic adaptation.

13. The only veto player is EC and there are no norm entrepreneurs, cooperative informal Institutions.

14. There are cognitive components of the institutional structure of the universities which are strongly related with the existence of their institutional capabilities to acquire, store, transform, and utilize knowledge become helpful in overcoming the uncertainties and filter the adaptational pressure emanated by the PFAP

15. There are components focusing on processes related with organizational learning such as ‘knowledge creation and utilization processes’, ‘interaction with other individuals, groups, institutions’ including decision making and persuasion processes, ‘organizational culture’.

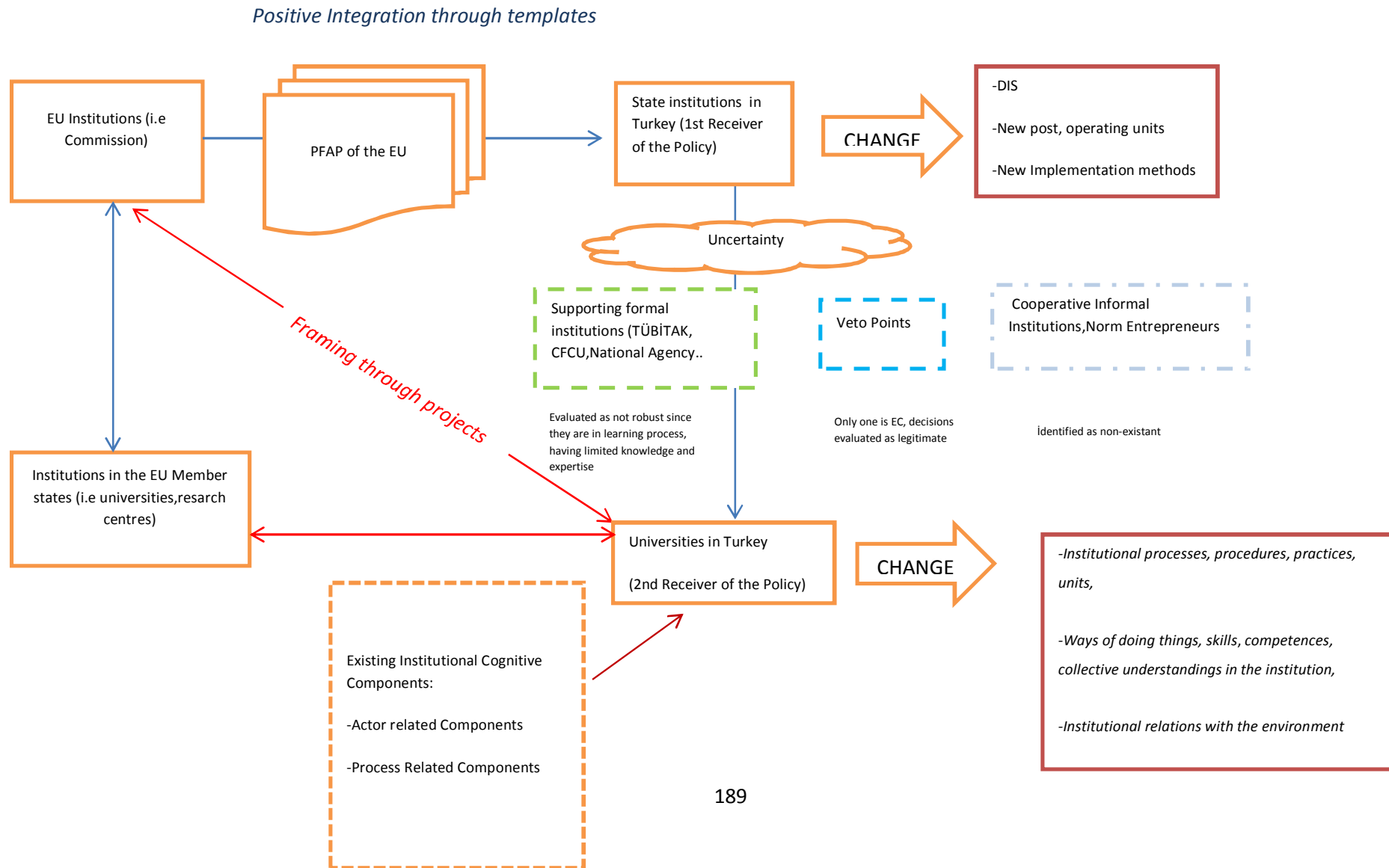
16. There are components focusing on actors such as ‘credentials of leadership’, ‘existence of desire for prestige and visibility’, and ‘visibility and circulation of target’, ‘prior knowledge and experience levels’ and ‘existence of ownership feeling for the projects’.

D) Impact of the Policy

FINDINGS:

17. The degree of adaptation of universities to the Pre-Accession Financial Assistance Policy during 1999-2000 is modest.

Figure 8: The Mechanisms of the Impact of Pre-accession Policy of EU on Universities in Turkey (1999-2010)



1. Considerable policy and institutional changes occurred in both EU and Turkey's side in the context of PFAP between 1999 and 2010.

The EU has increasingly concerned with its internal economic and social cohesion since the 1970s. The main instruments of EU's cohesion policy are the 'Structural and Cohesion Funds' aimed to redistribute part of the member states' budget contributions to the poorest regions. Parallel to the deepening and widening process of European integration, the EU's cohesion policy and its main instruments have been gradually strengthened by reforms. The major reforms were undertaken respectively in 1988, 1993, 1999 and 2006. Each reform was a response to the enlargement process and the contemporary economic-political conjuncture which brought new deals and outcomes for the related stakeholders. Consequently, the implementation methods of the cohesion policy were in a position to be redefined. Its progress is secured by the founding Treaties such as Rome Treaty (1957), Single European Act (1986), Maastricht Treaty (1992), Amsterdam Treaty (1997) and Lisbon Treaty (2007). In Helsinki Summit (1999), EU leaders agreed to start the process of membership negotiations with ten countries of Central And Eastern Europe (CEEC). That is to say, the candidate countries should have to adjust their domestic economic, political and institutional structures in line with EU standards in order to benefit from the cohesion policy in case of accession. Without the preparation period, it would not be possible to enable the weakest regions to take active roles in community cohesion policy. In order to share the costs and burdens of their adaptation period, the pre-accession strategy of the EU was strengthened and pre-accession assistance was introduced in 1999 including PHARE which was given a 'pre-accession' focus after 1993, SAPARD, and ISPA. Meanwhile Turkey-EU relations entered a new era after Turkey was granted the candidate status in the Helsinki Summit (1999). The EU declared that same conditions with other candidate countries would be valid for Turkey during the pre-accession period. Consequently, the financial assistance allocated to Turkey have been collected under a single framework with the 'Council Regulation of 17 December 2001 concerning 'Pre-Accession Financial Assistance For Turkey'. Also, Helsinki European Council in December 1999 has stated that Turkey will benefit the Community programs like other candidate countries. The main objective of community programs is to develop cooperation. With

the prospect of enlargement of the European Union, in order to the candidate countries to better prepare for adoption of the *acquis communautaire* and for accession in the Union, in the Agenda 2000 (July 1997), the European Commission to the candidate countries proposed the progressive opening-up of a broad range of Community Programs. In that context, Turkey will be able to partake in all Community programs open to all EU candidate Central and Eastern European countries and additionally representatives of Turkey will be able to attend to execution committees responsible for monitoring the programs to which Turkey will have fiscal contributions with the observer status in matters concerning Turkey with ‘The Framework Agreement Between Turkey and the European Community on the General Principles for the Participation of Turkey in Community Programs’ undersigned in Brussels on 2002. In 2006, in the interests of coherence and consistency of Community assistance, assistance for candidate countries as well as for potential candidate countries were combined under a single framework for the 2007-2013 budget period; IPA (Instrument of the Pre Accession Assistance). The basic objective of IPA is to prepare the candidate countries to programming, management and implementation processes of Structural and Cohesion Policy of the EU. In this context, the EU has provided approximately a total of 4.468 billion Euro of financial assistance to Turkey between the years 1999-2010 including the grants given by Community Programs which are evaluated in the general framework of PFAP by Secretariat General of EU Affairs in Turkey. The beneficiaries of this assistance may include not only the state but also provincial and local authorities, public institutions such as universities, business support organizations, cooperatives and civil society.

2. When PFAP hits the first receiver of the policy, state institutions in Turkey, it created a change with new systems, processes, and institutions designed to implement the policy and adapt to its necessities. The change is an example of positive integration.

For implementing the pre-accession financial assistance policy, the EU prescribes a model with EU templates such as regulations, decisions and guidelines, and exerts vertical pressure directly to the candidate countries to bring their domestic

arrangements in line with these templates. In the context of Europeanization theories, this is a kind of positive integration. By Knill and Lehmkuhl's words (1999:2), EU 'positively' prescribes an institutional model to which domestic arrangements have to be adjusted, and accordingly, member states have only limited institutional discretion when deciding on concrete arrangements in order to comply with European requirements. It occurs as the same in candidate countries based on conditionality. Between the period of 2000- the inception year of the policy and 2010-the year research is conducted, it is observed that new system (de-centralized implementation system), institutional units (Central Finance and Contract Unit, National Agency, National Fund...etc.), administrative posts (National aid coordinator, competent Accrediting Officer, Sectoral Monitoring Committees....etc), new documents (Multi-annual Indicative Planning Document, Strategic Coherence Framework, Operational Programs...etc) procedures and processes (planning, programming, financial agreement, screening) incorporated into the structure of state in Turkey which is the first receiver of the policy. That is to say there is a change in state structure in Turkey in order to adapt and implement PFAP of EU. The change is traced through analysing the regulations, directives published by EU and Turkey's side and explained in detail by flowcharts in Chapter 4.

3. There exists a strong uncertainty for the universities, the second receiver of the policy, if they want to benefit from the policy.

One group of the receivers and beneficiary institutions of PFAP of the EU in Turkey is the universities. When we questioned where the universities are located in this new system, processes, institutions, what conditions they might face if they want to propose a project or manage a project from the legal templates, guidelines, it is observed that there is a strong uncertainty. Before going into the findings for the sources of uncertainty, it is useful to briefly overview the findings for universities position in Turkey in aspects of their formal institutional structure and the national financing policy during the research period. These findings can be traced again through analysing the legal codes.

The higher education in Turkey is managed by the ‘higher councils’ and ‘university, faculties, institutes and college bodies’. The higher education system in Turkey based on highly detailed and centrally determined approach envisaged by the articles 130 and 131 of the constitution of 1982 and Higher Education Act number 2547. It can be said that administrative autonomy does not much exist in Turkey. Governance, structure and staffing arrangements are all written into the law and controlled from the centre. Universities cannot adjust the numbers and distribution of staff to best meet the needs and priorities of the institution. At the level of individual staff, much energy is exerted in taking on additional teaching loads, either within the university in second education programs or at other institutions, in order to supplement incomes. The staff is responsible with minimum ten hours of teaching a week, and additional hours are remunerated. A teaching load of 35 hours per week was reported. The teaching overload has had an effect on research capacity and motivation. Scholars identify that beyond striving for their own financial advancement, university staff often seemed to lack a clear idea on how to generate additional income other than by teaching additional hours.

In comparison to state universities, private ones certainly seem to enjoy a great degree of freedom in structure, administration. According to the law, foundation universities are established by not-for-profit foundations. Like state universities, the establishment has to be approved by Higher Education Council (HEC) and passed by Parliament. HEC must approve the appointment of their rectors and deans. These universities can set up their own structure but, given that they are foundations, a board of trustees is mandatory. HEC sets the number of students that can enrol in each undergraduate program.

As a brief overview, the actual autonomy of Turkish universities is very limited as the government or HEC control central elements such as the budget and its allocation, admissions of students and the number of internal allocation of academic and administrative staff. In that context, it is thought that national regulations which envisage over-detailed and centralized institutional structure might diminish

universities' flexibility and their responsiveness to the PFAP of EU. This assumption is tested and falsified for the chosen universities in qualitative part.

The common denominator of higher education finance in Turkey is its nature of public services at all levels of higher education which is expressed in the 130th article of the Constitution. Both state universities and private universities are established by law and bear the feature of public legal entity. The financing of higher education, on which there is a consensus about the public service nature thereof, is carried in the two main ways as for state and private universities. Public financing is adopted in state universities while private financing system is adopted in private universities in pursuance with the constitution. State, plays a key role to finance the education both with direct appropriations to institutions and subsidies to private spending.

The sources of revenue in the budget share of the state universities in according to 2005 data, share of the budget in the income sources of the state universities is 57%, while the share of revolving funds is 38% and the share of the student contribution is 4%, and the share of other sources is only about 2%. Looking at the trend after 1990, we see that level of the share of budget financing fell from 80% to 57%, and the share of funding and revolving funds almost doubled while it was previously 20s%. Revolving funds consist of revenues obtained from health services provided in university hospitals or from the contracted researches performed by the universities. This increase in the revolving fund in the budget of the university underscores the situation that the universities prefer self-produced resources or in other words 'private funding'. Several universities had links with business and industry via techno parks or similar schemes, which generated additional income. The potential problem seemed to be that these funds were returned – in accordance with national-level regulations – to the university units that produced them, creating tensions with less money-generating departments and faculties. After examining the amount of state allowances for HEC and the universities, it is observed that while higher education spending has been increased from 2000 to 2010, with the percentage of GDP spent on higher education increases to 0.85% in 2010 from 0.57 % in 2000, it falls short of the goal set by the Lisbon Agenda of 2% of GDP on higher education expenditure. For

Turkey this means that its budget allocation for higher education needs to continue to expand considerably.

It is observed that a research fund or a fund of scientific research projects within the structure of rectorate can be established in universities upon the resolution of the HEC through employment of the revenues of all existing revolving funds in the university. Projects to be met from the Fund are prepared in accordance with principles and priorities determined by HEC. Projects are evaluated according to every department of a university in which there is an expert, however priority is given to basic sciences and the subjects of development plans. It is seen that the state every year allocates a portion of resources provided to higher education institutions to scientific research projects and in addition the revolving fund and donations are also within the research revenues. Thus, research funds denote the use of a portion of the available resources within the framework of a specific purpose rather than being an additional source to the resources that universities have. When the amount of allowances for research and development for universities between 2001 and 2010 is evaluated, the average annual amount is found as %0.03 in the GDP. TÜBİTAK also supports research projects submitted by faculty members in addition to appropriations allocated by the state, for research and development. Additionally, to support joint research and development projects of universities and industrial institutions to develop university-industry collaboration within the scope of the Industry Theses Program of the Ministry of Industry and Commerce. When we evaluate all the financial data and considering the low amounts of national financing for universities in Turkey, it seems that benefiting from the PFAP of the EU is a considerable opportunity for them. So the question is where the universities are located in this new system, processes, institutions brought by the PFAP, what conditions they might face if they want to propose a project or manage a project?

4. The first uncertainty theme is choosing the right institution for gaining information to turn project ideas to project proposals, because there are many information promoting agents, fragmented in their administrative links.

The high level state institution responsible from the coordination of the IPA programs and Community programs in Turkey, and ensuring a close link between the general accession process and the use of EU's financial assistance is National Aid Coordinator which is General Secretariat of EU Affairs in Turkey, namely Ministry of EU affairs after 2011. If universities want to benefit from the policy, firstly, they have to propose an eligible project to state institutions responsible by the management, information promoting, contracting, and implementation of the related IPA program in Turkey. If they want to benefit from a Community program, they should directly apply to the Commission or to the national agencies responsible by the program in Turkey.

For the IPA programs, the projects are proposed to different institutions according to the chosen EU priority areas divided into components which are 'Support For Transition And Institution-Building', 'Cross-Border Cooperation', 'Regional Development', 'Human Resources Development' and 'Rural Development'. For instance, if they want to propose a project themed under the components of 'Support For Transition And Institution-Building', 'Cross-Border Cooperation', they have to follow the project calls published by General Secretariat of EU Affairs and propose a project to the CFCU. As a central unit, CFCU is operating as an independent body but is attached to the Secretariat General of EU Affairs and the National Aid Coordinator. Although the CFCU is administratively linked (e.g. for logistic support) to the Under secretariat of Treasury, it operates completely independently of that institution. The CFCU had the sole responsibility over the overall budgeting, tendering, contracting, payments, accounting and financial reporting aspects of the procurement of services, supplies, works and grants in the context of EU funded programs in Turkey. In 1999-2006 periods all of the project applications were directed to CFCU, however in 2006-2010 period the structure was changed as the components of pre-accession financial assistance was determined and the implementation system gained a more de-centralized structure by the enhanced roles of ministries. If the universities want to propose a project under the components of 'rural development', they have to follow the project calls published by General Secretariat of EU Affairs and propose a project to Ministry of Agriculture and Rural Affairs and Agriculture and Rural Development Support Institution (TKDK). For the component of 'regional development', the responsible

institutions are ministries of Environment, Industry, and Transport. For the ‘human resources development’, the responsible institutions are Ministry of Education, Turkish Employment Agency; Social Security Agency. These institutions evaluate the proposals and publish the winners and projects are implemented by the winner beneficiaries. Universities implement the projects and sent periodic technical and financial progress reports to these institutions.

In the context of community programs, if the universities want to propose project in the context of research and development and international cooperation they apply directly to the Commission referencing to the project calls designed by EU according to its priority areas. However they can benefit from the supports of TÜBİTAK during the project management and application processes. The implementation of the national coordination role concerning the EU Framework Programs is achieved by the TÜBİTAK EU Framework Programs National Coordination Office (NCO) in Turkey. TÜBİTAK support the universities by informing, creating awareness, giving training, creating partnership, representing universities in EU level especially in the formation of the work programs regarding the Framework programs.

If the universities prefer to propose a project in the context of Lifelong Learning Program, they have to apply to the National Agency which is linked to the State Planning Agency (DPT). National agencies duties are familiarizing, coordinating, and conducting the nation- wide EU Education and Youth Programs , making evaluation of the projects that are selected to be funded, arranging and making the pre-assessment of the project applications that are selected by the EU Commission, realizing programs and establishing cooperation among member countries and the EU Commission. If the universities want to apply to the Jean Monnet program during 2002-2006, they appeal to the Ministry of Foreign Affairs and EC Delegation in Turkey, however, after 2006, they have to appeal to CFCU.

As it seen, there are many responsible institutions in Turkey according to the sector that the EU directs it pre-accession financial assistance. The list can be expanded. It is observed that the above information in a nutshell is not written in any template or formal website of these institutions during 1999-2010 periods. All of the institutions promote knowledge about their own responsibility areas in the context of PFAP, and the information promoting agents are very fragmented in their administrative links. At this juncture, the first potential problematic appears for the universities as choosing the right institution for gaining information to turn their project ideas to project proposals. In 2011, Ministry of EU Affairs is established and its formal website seems to present a more holistic perspective about the information on PFAP, however, because of the time limitation it is out of scope of our thesis.

5. The second theme of uncertainty is understanding and evaluating the tons of documents, guidelines, criteria, relevance, new terms, formats, financial requirements, processes, procedures.

All of these institutions and agents publish the ‘project calls, application guidelines, project proposal format, FQA sheets’ in their formal websites. For Framework programs and some community programs like ERASMUS, also the financial rules, project management guidelines, grant agreement formats are published. The documents except the project cycle management guidelines under IPA programs and some Community Programs (i.e. Lifelong Learning Program, Jean Monnet Program...etc.) are in Turkish. The documents for Framework programs are in English. A project call includes briefly the deadlines related with the project application, the total budget of the program of the projects, call specific requirements. Application guidelines explains the targets of the programs, amount of financial allocation provided by the contracting authority, eligibility conditions (i.e. eligibility of the applicants and the partners, eligible actions, eligible costs...etc.), procedures for proposal submitting and timing, rules about evaluation and selection of applications. Content of these documents changes according to the characteristics of each project call.

Accordingly, the project format also varies according to programs, but not according to each call under the IPA and most Community Programs that universities

can benefit. However, in Framework programs, proposal format are also varies according to the characteristic of the call and the project type (i.e collaboration project, coordination and support action). Thus it is hard to briefly overview to enumerate the content of the project proposal formats. For instance, collaboration type of a project proposal under the subprograms (i.e. transport, health, energy...etc.) of cooperation thematic field under Framework Programs includes very briefly the A forms (including the abstract of the project, legal and financial data about the applicants and partners, budget), B forms (scientific quality and uniqueness, implementation, impact, ethical issues, gender issues, detailed budget). A proposal for a project call under the 'cross-border cooperation' component of IPA includes briefly details about the action (summary of the project, objectives, relevance of the action with EU priorities, description of the action and its effectiveness, methodology, action plan, sustainability, logical framework, budget, resources of co-financing, experience of similar actions), the applicant (identity, sectors, target groups, capacity to manage and implement actions such as experience by sector, experience by geographical area, resources, list of management board), partners of the applicant and annexes. The examples can be expanded.

In the context of project cycle management guidelines, it is observed that none of these institutions publish these documents in Turkish, however gives link to the European Commission's project cycle management documents which are in English. For instance, the programs under IPA give reference to 'Aid Delivery Methods-Project Cycle Management Guideline' which was published by Commission in 2004. The Guideline has been prepared to support on-going improvements in the quality of EC's assistance. Quality is defined primarily in terms of the relevance, feasibility and effectiveness of the programs and projects supported with EC funds, including how well they are managed. The document consist of 158 pages, that is to say it is hard to summarize it in short sentences. However, basically, it compromises project approach, project cycle management operational guidelines (i.e. programming, identification, formulation, implementation including monitoring and reporting, evaluation, audit), logical framework approach, institutional capacity assessment, monitoring, review and assessment, promoting participation and ownership, facilitation skills (i.e. learning).

Another example, for Framework Programs Commission published a guideline as 'Rules For Submission of Proposals, and The Related Evaluation, Selection and Award Procedures (COM(2008)4617)'. It consists of 57 pages covering information about submission, pre-proposal checks, reception by the Commission, eligibility review committee, evaluation of proposals, role of experts, terms of appointment, code of conduct and conflict of interest, evaluation criteria, proposal scoring, thresholds and weighting, finalization of the evaluation results, commission reserve list, negotiation and award processes, reporting on the outcome of calls for proposals.

In that context, the second potential challenge for the universities after choosing the right institution for gaining information is understanding and evaluating the tons of documents, guidelines, criteria, relevance, new terms, formats, financial requirements, processes, procedures and to write and submit an eligible project which should also compatible with the existing rules, procedures, institutional mission and strategy in the university. The real examples of the documents of the winner projects are not formally published by any of the responsible institutions. It can be said that universities were in a hub of flux of information directed by many agents, their existing institutional set up and the question was what the appropriate ways, methods were to benefit from the policy.

6. The third theme of uncertainty is understanding the complex structure of managing the projects compatible with the EU requirements and existing institutional set up.

After writing and eligible project, the third challenge appears as managing the projects compatible with the EU requirements and existing institutional set up. As it is highlighted in above paragraphs, it is observed that there is no project cycle document published in Turkish. However, supporting formal institutions like TÜBİTAK, CFCU, General Secretariat of EU Affairs, National Agency inform the universities by organizing information days, creating awareness, giving training about pcm, helping the universities for creating partnership free of charge. However, the significant point here is that the process is also new for the formal supporting institutions and they are also in learning process during 1999-2010, thus their knowledge and expertise might remain

limited for some of beneficiaries. This observation is tested and confirmed in qualitative research part.

When the legal documents were scrutinized for the management of the EU projects, there is a directive published by Ministry of Economy (Official Gazette No. 26 713, dated November 27, 2007) which envisages rules for the managing the financial aspects of the project budgets for public institutions including the universities. It envisaged that ‘....project managers are responsible for the expenses which has to be done in accordance with the project aim and necessities, effective and efficient use of resources, providing justifications for the project expenses to the public administration and the contracting institution and responsible by compensation in any case of damages’. It also lays down the systematic to be followed by the financial, procurement procedures to implement the projects. In that context, the third potential challenge, if the project managers proposed and eligible project, and win financial assistance and understood to manage the project in technical aspects, it is not sufficient, because the other staff and the administrative units like accounting, purchasing, human resources should understand how to operate between the existing rules in the university and the required ones for managing the projects. The other point, financial responsibility for the expenses belongs to the project managers who are mostly academics, not the rector, senate, dean, faculty council who have decided on the university expenses in Turkey. Is that suitable for the existing routines and procedures in the universities? This observation is tested and falsified in qualitative research part.

The second point written in the directive, the money amount transferred by the EU to university should be kept in a private bank account and should not be evaluated as returns to capital gains and not registered as an income for the university. So, the fifth potential problematic is to understand how to manage the book keeping and financial management of the expenses related with the projects. This observation is tested and confirmed in qualitative research part.

7. The fourth theme of uncertainty is understanding and achieving the methods of proposing necessities or opinions about the IPA and Community programs to EU.

As a candidate country, because of the conditionality, universities seem to have limited space to ‘up-load their views to the European level’ about the PFAP, however it cannot be labelled as zero since the beneficiaries have say in the determination of distribution of the budget to specific issue areas compatible with the EU priority areas during 1999-2010. The first method is to submit their project ideas to government institutions mostly the related ministries. In 1999-2006 periods, Ministries evaluates the project ideas and prepare project fiches, submits them Secretariat General for EU Affairs. Secretariat General for EU Affairs evaluates technically the logical framework of the project fiches, and their compatibility to National Program and Accession Partnership Document, sends them to Financial Committee. The financial Committee determines the annual program for priority themes to be funded according to the project fiches, sends it to National Aid Coordinator. National Aid Coordinator sends annual program to European Commission for evaluation. In 2006-2010 period, ministries took the name of operational units in the context of implementing PFAP, DPT took the name of sectorial coordinator, and beneficiaries can propose their necessities through the channels of ministries or directly to the ABGS during the preparation of ‘Multi Annual Planning Document’, ‘operational plans’ and ‘Strategic Coherence Framework Document’ As the third method, universities can also propose their ideas and necessities to TÜBİTAK and TÜBİTAK channels them through participating work Program creating meetings organised in EU level. So, the fifth potential challenge is to understand and achieve the methods of proposing the necessities or opinions about the IPA and Community programs to EU.

After evaluating the scope of conditions for universities to benefit from the PFAP of the EU, it is observed that implementing procedures of the projects according to the EU model compromises uncertainty and definitely new processes full up with actors, rules, understandings different from the ones that the university staff previously engaged in. There was uncertainty for them to make simple calculation of optimality.

Thus, it is thought that the universities' responses to the adaptational pressure brought by the Pre- Accession Financial Assistance Policy of the EU during 1999-2010 were mostly shaped by the cognitive components of the universities which are strongly related with the existence of their institutional capabilities to acquire, store, transform, and utilize knowledge, and thus helpful in explaining the mechanisms of institutional change for universities in order to benefit from the policy. The existence or absence of institutional cognitive components related with policy benefiting processes might be helpful in explaining why a university empowered by financial assistance and adapt to its requirements while the others could not. In order to test this assumption, we need an in-depth understanding of participants' behaviour as a response to the PFAP of the EU and the institutional variables that influenced their behaviour. The participants provided us causal explanations for what they had experienced and believed about the EU's policy, and connections they saw between particular phenomena about benefiting the policy and their real thoughts. After this point, the findings of the in-depth interviews are overviewed.

8. The EU is viewed as structure of meanings, collective understandings, rules of appropriateness and practices. Academic identity plays a role in viewing the EU.

It was observed that all participants viewed and defined EU from the lenses of her/his own academic identity. EU was evaluated as an emerging political structure of meanings, collective understandings, rules of appropriateness and practices by almost all of the participants. According to them, EU was perceived as an institution providing approximation of the rules and standards and practices of peacefully coexisting together between countries. These concepts were considered as substantive opportunities for the development in science. When the participants were asked about the main motivations for joining EU for the member or candidate countries, more than half of the participants emphasized the bid and need of gaining economic advantages. All of the participants thought that EU had a strong economic power in world market and in order to sustain its current position, it had to provide competitive advantages against China, USA and Japan. According to their views, the main competitive advantage in world market is the

technological development in our era. For technological development, mobility between people, transfer of knowledge and the implementing the same standards are required by countries. The main motivations of participants to EU programs are stated as following their ideals to do the appropriate thing for adding value to the university and the students, turning the vast knowledge in universities to good account of society, desire and need to enhance international cooperation in order to prove and improve their scientific capabilities, and the pressing need to create alternative sources to the university's limited budget for conducting comprehensive, far-reaching, international research. In that context, the pursuit of purpose is associated with their academic identities more than with interests. As a cognitive matter, they find action of benefiting the policy is essential to a particular conception of a self. It is significant that more than half the participants had experience in Europe for postgraduate or academic purposes and already participated or become familiar with the EU programs. Therefore, it can be claimed that, besides their motivation, they had research routines or styles that were gained during their studies in Europe like collaborating with international partners under EU projects.

9. When PFAP hits to the second receivers of the policy, universities, it continues with framing mechanisms.

More than half of the participants remarked that EU aimed at fostering transfer of knowledge and mobility with its financial tools, strengthening cooperation and common working culture by transferring funds to the successful projects, and this aim had also a relation with the cultural integration. In secondary research part, it is observed that EU positively prescribes an institutional model to which domestic arrangements have to be adjusted regarding the PFAP and diffusion firstly occurred through vertical mechanism of positive integration by law enforcement on the first receivers of the policy (state institutions). However, when the comments of the participants is evaluated in this part, when it hits to the second receivers of the policy like universities, it is noticed that diffusion also continues with indirect framing mechanism which occurs when EU affects domestic arrangements even more indirectly such as by altering the beliefs and common understandings of domestic actors and

follows horizontal mechanisms where there is no pressure to conform to EU models, but beneficiaries voluntarily adapt to the EU necessities. For instance, according to the participants, by the projects, countries exchange researchers, students, their cultural relations are developed, and they gain cooperation practices, become familiar by each other's working styles, terminology and vocabulary, thus become eliminate the prejudices to each other. In that context, EU provides a base or platform maintaining a cooperation atmosphere where promotion of European culture, social and technological cohesion might better flourish. According to the participants, technologic or economic development has strong links with cultural familiarity between stakeholders and EU is extremely aware of this necessity. For instance, ability to act together to turn the small scale into large scale requires institutions which know and understand each other, and operate coherently under common goals. One of the methods of strengthening the common understandings between institutions is maintaining the cultural familiarity. Accordingly, most of the EU programs conditioned cooperation between institutions and countries for proposing eligible project to be awarded by Financial Assistance and thus serve also this purpose. Also one of the participants emphasize that through benefiting the financial assistance academics become pulled to work on the priority areas determined by EU, become include the views of the funder in their projects. In that context highlighted that EU might have explicit or implicit goals about acts of shaping and routing..

10. Learning through experience, socialization with EU institutions and European partners occurred during the policy benefiting processes.

It is understood that all of the participants were well-informed about the EU programs and had comprehensive knowledge on how to meet the necessities imposed by EU to benefit from the policy by reserving their criticisms on EU's evaluation processes. All of the participants expressed that EU published their evaluation criteria in the lists which everyone could easily find in the project call guidelines, however, the perception of the real criteria had been developed by learning through experience during the project application and the management processes, becoming familiar the rules, norms and styles of the EU and working culture of the project partners. For instance, in

project application guidelines, EU necessitates first of all an ‘original’ project idea. So, it draws a frame for the term of original and does not explicitly enumerate what is original and leading it to be understood by the beneficiaries during the socialization processes with Commission and European partners. All of the participants expressed that there was not a single and common definition of the term of ‘original’ and it changed according to the content of the project call. They expressed that they understood what EU meant by the word of ‘original’ through a long learning process and during their communications with Commission. They internalized all the rules and working styles in the project meetings, got familiar both technical and social aspects of the project, felt the meeting atmosphere and got aware of the unwritten rules, ways of doing things. The other participant gave another example by saying that when they asked the (EU) scientific officer of their project what is meant by ‘original’, she did not explain explicitly what was expected by ‘original’, but kindly insinuated inviting the parliamentarians to the workshops would be appreciated for this call.

11. There are misfits between levels of institutions which generates adaptational pressure. These misfits are associated with 1) Misfits between Financial Rules, Processes, Regulations 2) Misfits in styles and ways of doing things 3) Misfits in standards.

For the main reasons about first misfit theme, the participants expressed that EU regulations did not resonate well with the national laws that their university had to oblige in Turkey. Another reason highlighted was that EU rules, regulations, and guidelines were not understood properly by the university units like finance and treasury and this situation created compliance problems. For instance, advance limits which are designed by national law and internal directives for purchasing equipment or travel abroad created many troubles in the project implementation process and caused delay in committed time schedule for the project. For instance, one of the participants expressed that this incongruity caused him to pay most of the project meeting expenses from his own budget. The second point, the money amount transferred by the EU to university should be kept in a private bank account and should not be evaluated as returns to capital gains and registered as an income for the university. So, participants’

highlighted that they met many problems until the finance departments understood how to manage the book keeping and financial management of the expenses related with the projects.

Some of our participants said that the project managers were charged with all financial responsibility of the project by a regulation put into force in 2005, and this regulation enabled them to work under more flexible expense limits for the EU projects in their institution. It was expected that bestowing the financial responsibility for the expenses to the project managers who are mostly academics, not the rector, senate, dean, university board of directors who have decided on the university expenses might cause tensions, because it might not be evaluated as suitable for the existing routines and procedures in the universities. However, in this part, it is observed that this directive does not cause any incongruence by the existing routines, moreover supported by the rectors, or senate of the universities for efficient use of the project resources. Support from top management helped the academics to overcome the financial misfits, however, their hands remained also tied in certain financial aspects, like sustaining co-financing, because of the rigidity of the internal directives. For instance, some of the participants expressed although the decision was given to co-finance a project by rectorship, however, the existing budget procedures, or internal directives of the university did not let to co-finance a project in the early times of the EU programs. The other misfits highlighted by all the participants were about expense methods based on foreign currency, budget management, VAT exemption, overhead management and purchasing processes. According to the participants, in order to adapt the rules for benefiting PFAP, it was necessary that not only the state and their university, but also the other related institutions should get familiar with the rules and adapt to the processes.

Almost all participants stated that they were under strong pressure and had many problems about financial procedures required by EU since they did not have any expertise on the issue. According to them, project related financial duties did not fall into the scope of the duties of academics. It is observed that most of them got into scrape and lost extreme time in matching the expenses and bank accounts, tracking the invoices and expenses, explaining the financial data in audits by the EU. All participants

highlighted the indispensability and importance of the financial expertise in the project management processes and required professional project management units in their institution. Some of the participants said that a significant amount of money was paid back to the EU due to the ineligible financial operations according to the EU's financial rules because of the lack of information and expertise. All the participants strongly highlighted that they precisely did not participate in EU projects for gaining any individual financial benefit, however, expressed that when their existing work load and the low amount of salaries taken into consideration, an additional and labour consuming work without any compensation did not motivating them to apply more programs.

For the misfits in ways of doing things, some of the participants expressed that there were differences between the working culture or styles between their project partners' institutions in European states and their institution; and also misfits in ways of doing things in the context of bureaucracy, paperwork requirements and thinking on project base between EU and their institution. The participants defined that the adaptation to the misfits in working culture and styles passed smoothly as the cooperation between institutions deepened and the familiarity and knowledge about each other's practices increased. However, they said that the bureaucratic style of EU and its paperwork necessities were totally different from the ways of doing things in their institutions. The issue of thinking the tasks through project management logic was new and developing approach for the institutions in Turkey and needed time to adapt.

For the misfits in standards, some of the participants stated that the some working standards that the European partners followed in their institutions were not congruent with the existing ones in their institution. For instance, one of the participants pointed out that during the training activities in a project, the EU required surveys about the lectures with students and evaluated them according to the feedbacks from the students. Participant said that this type of standard for conducting training was not included by their internal directives. Another point, half of the participants expressed that there was a big difference between their salary rates in Turkey and their European partners, and it is observed that this difference pulling down their motivation in project management processes.

12. There are facilitating factors such as formal supporting institutions, veto players, norm entrepreneurs, cooperative informal institutions that help the universities to overcome the uncertainties and filter the adaptational pressure, however their roles are limited during 1999-2010. The supporting formal institutions' efforts are appreciated, but not evaluated as robust, comprehensive and having the required capacity to promote domestic adaptation.

As a brief overview for this part, it is observed that according to the views of the participants there are supporting formal institutions like TÜBİTAK, Secretariat General of EU Affairs, CFCU, National Agency working in efforts and their duty is to provide universities not much material and but mostly ideational resources necessary to exploit PFAP and promote adaptation in the policy benefiting processes. However, the significant point according to their views, existence of formal intuitions is not sufficient, they should also have a capacity to work effectively between institutions at national level and be perceived efficient by the policy beneficiaries. That is to say, the number of the supporting institutions in the national system does not matter if they don't function or propose appropriate solutions to the challenges perceived by the policy beneficiaries. In that context, the efforts of supporting formal institutions during the policy benefiting processes of PFAP is appreciated and found helpful in some aspects for instance in reaching the international partners, providing financial assistance for the travel expenses to attend the international project meeting or overcoming the procedural incongruities between their institution in order to adapt the EU requirements, however when all the related processes are taken into consideration, they are not evaluated as robust, comprehensive and having the required capacity to promote domestic adaptation. One expressions of the participant explained the situation very significantly: 'I cannot say TÜBİTAK don't support us, it is much more correct to say that TÜBİTAK could not be able to help us'. For instance, one of the participants stated that in the project proposal writing period, they shared their ideas with specialists in TÜBİTAK; however, TÜBİTAK could not revise it in scientific means, because their specialization area was not coinciding with participants. The participants does not evaluate the support of TÜBİTAK as comprehensive and added that in Europe, the supporting formal institutions consist of researchers from wide variety of interests and could help in not

only format of the proposal, but also contribute it in technical, scientific aspects comprehensively. Some of the participants expressed that they unfortunately could not evaluate the supporting formal institutions efforts as robust because they might sometimes mislead the beneficiary institutions during the processes which caused the exclusion of their university from benefiting the policy. The other expression: 'I know that lots of competent experts work in CFCU to striving to help the beneficiaries during the processes, however, they change very frequently, and this cause delays in the communication, thus, disturb the reliability which is very important for us in learning to adapt during the processes.'

In the context of the reliability of the supporting formal institutions, one of the participants expressed that TÜBİTAK as the other types of institutions could apply to the EU Programs and this caused a conflict of interest, because it had the authority to see all the proposals to review them before the application and that's why it easily could inspire from the other project ideas, and can apply to a program by changing the project proposal which was sent to it for revision. According to him/her, this situation disturbed the reliability of the support of TÜBİTAK during the policy benefiting processes and added that if an organic relationship between TÜBİTAK and universities can be established, adaptational processes could pass more quickly and the number of the projects that Turkey coordinates would increase.

According to the more than half of participants, explanatory guidelines or directives addressing the methods of solving compliance problems between the institutional levels especially in financial aspects were published by Ministry of Finance, and trainings given by the Secretariat General of EU Affairs, CFCU and TÜBİTAK; however all of these institutions are also in learning process during 1999-2010, thus their knowledge and expertise remained limited for the beneficiaries. It is observed that all these institutions and the administrative units of the universities understood the process late after a learning period.

13. The only veto player is EC and there is no norm entrepreneur, cooperative informal Institutions.

In the context of veto points, we observed that the only one is European Commission external to the institutional structures of the beneficiaries. It is observed that participants thought that Commission as the funder had the right answers about the expected credentials; however, since it has very bureaucratic structure, there are lots of codes of communication, and priorities it is very hard to reach it. One of the participants criticized EU about the evaluation process of the projects. According to her/him, the winners of the projects were already determined before the project calls were opened. The participant expressed that he/she could understand which research centre or institution prepared the call by reading its details or the country of the institution prepared the call by looking at the priorities of it. However, another participant stated that he had worked in the group meetings for the preparation of the work programs, and all the evaluation process were undertaken according to the rules published by EU. He said that he thought projects were evaluated squarely with non-discrimination principle. It is observed that the participants do not perceive any veto player in national context.

14. There are cognitive components of the institutional structure of the universities which are strongly related with the existence of their institutional capabilities to acquire, store, transform, and utilize knowledge become helpful in overcoming the uncertainties and filter the adaptational pressure emanated by the PFAP.

It is observed that there are supporting formal institutions but they are not evaluated as robust, comprehensive and having the required capacity to promote domestic adaptation and perceived as having limited knowledge and expertise since these institutions are also in learning process during 1999-2010, and low multiple veto points, the only perceived one is the Commission and beneficiaries did not identify any cooperative informal institutions and idea promoting agent. All these variables are external to the organizational structures of universities. In that context, we researched whether if the project managers of the chosen universities identify other factors that enable them to win the funds and successfully implement their projects according to the EU model including rules, systems and concepts which are totally new for them. EU

publishes the criteria to benefit from the funds in templates; however are they clear or sufficient for them to respond the opportunities brought by the policy? How do they interpret them? Can't there be internal institutional factors like cognitive components that may drive them to interpret EU's policy and help them to understand and propose an appropriate response to the policy? Or are there internal institutional factors which enable them to adapt the requirements of the EU model when we consider the role of mediating factors explained in previous section?

We asked these questions because this thesis takes the perspective that action is tightly bounded up with interpretation, because the efforts to cope with uncertainty necessitate interpretation. In chapter section of uncertainty, it is observed that implementing procedures of the projects according to the EU model compromises uncertainty and definitely new processes full up with actors, rules, understandings different from the ones that the university staff previously engaged in. There was enormous uncertainty for them to make simple calculation of optimality and the role of mediating factors such as 'multiple veto players', the 'facilitating formal institutions' and 'norm entrepreneurs', 'cooperative informal institutions' are limited. Thus, it is thought that the universities' responses to the adaptational pressure brought by the Pre-Accession Financial Assistance Policy of the EU during 1999-2010 were mostly shaped by the cognitive components of the universities which are strongly related with the existence of their institutional capabilities to acquire, store, transform, and utilize knowledge, and thus helpful in explaining the mechanisms of institutional change for universities in order to benefit from the policy. It is thought that the existence or absence of institutional cognitive components related with policy benefiting processes might be helpful in explaining why a university empowered by financial assistance and adapt to its requirements while the others could not. In this part this assumption is tested by applying to the participants' views.

In order to define the content of the term, it is better to define it word by word. Institutions are rules of conduct in organizations. By rules, it is referred to the routines, procedures, conventions, roles, strategies, and technologies, but also the beliefs, paradigms, codes, cultures, and knowledge that surround, support, elaborate and

contradict those roles and routines (March and Olsen (1989:21-22)). Organizations can be defined as structured social system consisting of groups and individuals working together to meet some agreed on objectives (Greenberg and Baron, 1995:11). The key distinction between institutions and organisations is that between rules and players (North, 1991). Organisations are thus groups of players who come together for a common purpose or to achieve specific objectives. The term cognition comes from the Latin verb *congno* , meaning ‘learning’. One can argue that individuals within organizations learn, not the organization themselves. Accordingly, the counter argument to the perspective is that organizations do learn, in the sense that they encode inferences from history into routines that guide behaviour. By cognition, referencing to Schneider, Angelmar (1993:356), we refer to the ability of the organization to acquire, store, transform, and utilize knowledge. When we say cognitive capacities, we refer to the perceptual, intellectual, learning capacities embedded in the organizations. They are related with processes of thought which support or inhibit how the individuals in the perceive opportunities brought by the policy, thus, influencing their preferences and behaviour.

15. There are components related with processes related about organizational learning such as ‘information and knowledge creation abilities’, credentials of ‘interaction with other individuals, groups, institutions’ including decision making and persuasion processes’ and ‘organizational culture’.

The most connoted organizational facilitating factors to adapt necessities of the EU policy identified by the participants about the knowledge creation and utilization processes in their university are the existence of expertise and prior knowledge of the related units like accounting, project management units, rectorship about the appropriate operating methods, coding them into procedures or robust practices which are collectively agreed on including all stakeholders in the institution such as academics, students, decision making boards, routines for searching information like random scrunitization of project calls, ability to relate them to the academics’ interest areas and making them aware of the details of the calls like by circulating internal bulletins, organising internal meetings for spreading the success stories, circulation of the

information about the capabilities of the institution, giving autonomy to the academics to participate to the work programs meetings and being in close communication with EU institutions, and existence of a common understanding between units and academics that it is a complex learning process including trials and errors, and failure is not the end, existence of common understanding between academics that international networking practices should start long before the publication of the project calls.

Almost all of the participants expressed that the speed of the communication within the university and with the other institutions was very decisive in absorbing the EU model in the context of PFAP. Briefly, the characteristics the communication and interaction between the people and the departments through these processes in their universities that the participants highlighted can be summarized as the existence of quick information flows, compatible work distribution between project team with the subject and the target of the project, openness of the project related staff and the units to the new ideas and implementation methods, the responsiveness of the decision makers and administrative units, existence of participatory working style, conducting random project meetings with the partners which keep the communication alive, good command of English of the project team, existence of multidisciplinary working approach, the multinational project management experience of the project leader.

For the relations with other institutions, according to the comments of the participants, the institutions which had alike capacities (research infrastructure, staff.etc), or previous working experience, and were familiar with each other's procedures, styles, working culture could work in harmony and meet the commitments more easily, thus the adaptation occurs before long. One of the problems emerged between the partners during the implementation of the project was the uneven working speeds of the partner institutions emanating from different knowledge levels and the research capacities of the institutions. In first phases of the partnerships, some participants expressed that there could be bias between people and institutions since they did not know each other well. Thus, according to them, the socialization, dialog, goodwill and persuasion had strong role to adapt to each other. One of the participants

highlighted the importance of paying attention and time to the social relations as well as the academic tasks when the parties did not have sufficient knowledge about each other.

In the context of persuasion processes, it is observed that the persuasion processes started very long ago from the project application period, and their influences increased during the project application and implementation processes. One of the participants emphasized that the research priorities of a country or an institution of a country could only be included in the EU priorities revealed in the work Programs only if Commission was persuaded to do that. The persuasion process becomes very important in also partner finding period, because some of the participants expressed that the Europeans were reluctant to work with the developing countries and if you are from a developing country, you had to persuade well your European partner. Persuasion processes is also effective solving a problem like the allocation of the budget to the partners or tackle with a partner when it did not realize its commitments, removing the prejudices caused by lack of information about each other. It is observed that universities seem to have limited space to ‘up-load their views to the European level’ about the PFAP, however it cannot be labelled as zero. For instance some of the participants joined to the programming processes through the channel of TÜBİTAK or directly appealing to EC by the communication channels of their European partners and lobbying in Brussels and persuading Commission to invite their institution to the programming meetings. None of the participants submit their project ideas or necessities about the PFAP to the government institutions mostly the related ministries. Many of the universities even did not hear about this way of participating to the programming period.

During this part of the interviews, when we are asking detailed questions to understand the characteristic of the interaction with other individuals, groups, institutions including persuasion processes which are evaluated as one of the elements of learning process that causes the institution to benefit from the PFAP and adapt its necessities compared to other institutions in same institutional category, it was noticed that one of the most emphasized element is the organisational culture and the role of

project leaders. In that context, more detailed questions were placed on these topics and explained in next sections.

It is observed that in chosen universities, there is a cultural climate that encourages academics to participate in EU programs, encourages anticipation of opportunities brought by the projects, listen to new ideas. The examples of visible artefacts of such a climate are the big posters about the project calls, success stories about the projects managed by the academics of the chosen universities, photos of the outputs of the projects, media coverage, internal bulletins about the methods to participate in programs, notices of the locations for offices dealing with project issues. It is also observed that there are also taken-for-granted beliefs and norms that influence participants' behaviour in the adaptation processes. In that context, it is observed that participants believe that the institutions having an organizational culture open to international cooperation are more expedient to adapt to the necessities of the policy. More than half of the participants believed that in order to adapt one should know how to work according to EU working culture. According to participants, for instance, there is no limitation about expressing your ideas; however, you have to comply with the rules of courtesy according to the European working culture. You have to be evaluated as credible by your European partners. In that context, a foregrounded norm related with the organisational culture is accomplishing the deliverables in the committed time. Half of the participants highlighted that many partner institutions might have an organizational culture where people usually make lots of commitments and less plans, consequently could not catch the project timing well. However, if such a norm exists in organizational culture of partner institutions, they believe that processes might flow in harmony and include not much constraints.

It was thought that the existence of organisational culture based on more horizontal relations between staff rather than hierarchical ones facilitates the adaptation processes, because it gives the autonomy and flexibility to the academics to cope with, adapt to problems faced during the policy benefiting processes. However, during the interviews it is observed that although more than half of the universities have strong hierarchical management systems and stick to the rules envisaged by national regulations, but this did

not diminish universities' flexibility and their responsiveness to the PFAP of EU. One of the reasons for that it is observed that more than half of the participants have a role in management or faculty boards and have a say in creating organizational awareness about the added value of the projects to the students and the university. At this juncture, we turned again to the existence of organizational culture including participatory working style and being open to new ideas as a collectively accepted routine in the chosen universities and the role of actors focusing on components. In next section, the findings about the actor related components are explained.

16. There are components related with actors such as 'leader's competence level and personal characteristics', 'existence of desire for prestige and visibility', and 'visibility and circulation of strategy and mission', 'prior knowledge and experience levels' and 'existence of ownership feeling for the projects'.

After evaluating the comments of the participants, 'actor related components' is themed under two sub-branches as 'managerial level components' and 'staff level components'. For the theme of 'managerial level components', participants highlighted the role of 'credentials of leadership', 'existence of desire for prestige and visibility', and 'strategy and mission'. For the 'staff level components', participants dwelled upon the roles of 'prior knowledge and experience levels' and 'existence of ownership feeling for the project'.

It is observed that the role project manager is very critical during the processes in the context of benefiting PFAP, and adapting to the requirements of the policy, because project managers promote knowledge and understanding through the institution about the appropriate ways, methods to benefit from the policy and also have a facilitating role in overcoming the misfits between the level of institutions. The project leader is at the centre of the interaction between task, demands, people and organizational structure and they manage relationships with EC, National Agencies, CFCU, Secretariat General of EU and other program authorities. They have pivotal role in finding the right balance between internal conditions and external requirements. For instance, as one of the reasons of the misfits between financial rules, processes, regulations, the participants expressed that EU rules, regulations, and guidelines were not

understood properly by the university units like finance and treasury and this situation created compliance problems. In that context, it is observed that project leaders have a significant role in information exchange between institutions and sustaining the knowledge sharing internally. Foregrounded credentials of the leader are scientific reputation, his previous experience on project management model and rules of EU, technical competences. Scientific reputation and credibility of the project leader is necessary to gain the trust of international and national stakeholders in capacity to lead the project. The networks created by such means facilitate the know-how transfer between institutions and becoming familiar with each other's working style and culture. In previous sections, the complexity of project application and management processes and the prominence of understanding literally what is meant in the project calls are defined. In that context, project leaders' experience on project management counts to give appropriate project proposal. Also project leaders support the individuals and groups to share knowledge about the policy benefiting processes but also to learn together and to build climate of trust and embed it within the organizational culture. In that context, individual characteristics of the leader come to the forefront, it was highlighted that if the project manager was a good team player who can work with people from various background, nationality and culture, and create ownership feeling for the project, consensus and relationship builder, the institution overcomes more rapidly the misfits in styles and ways of doing things and standards explained in previous sections.

In previous section it is highlighted that the existence of climate that encourages academics to participate EU programs facilitates the adaptational period, since it gives the motivation to enter such a process full up with new actors, terms, and uncertainties and create a picture in project related staff minds that the burdens of the project will be shared. At this juncture the vision and the acts of decision makers and the boards become very critical. This support took the forms of exemption from the lectures during the project duration, organising project cycle management trainings, providing financial support to the project staff for the project meetings in abroad, co-financing for the big projects, establishing a project office to support the academicians in project application and management processes, maintaining administrative support

for the big workshops and conferences in the projects, giving motivation awards to the project managers, giving permission to the project staff to gain additional salary for their efforts and work in projects, making supportive speeches about the importance and the added value of the projects. It is observed that there is not a written strategy but there has been already well known and shared mission to enhance the international cooperation in the beneficiary institutions. Another issue regarding the actor related components is the existence of desire for prestige, scientific visibility and recognition. More than half of the participants labelled it as strong motivation for benefiting the PFAP and adapting its requirements. According to the participants, the projects contributed to the university's scientific recognition and visibility of the academics in research world. Some of the participants stated that conducting EU projects was evaluated as the symbol of internationality of a university. One of the participants highlighted that one project paved the way for the cooperation in other projects; the partnerships in one platform could continue in other platforms and thus contributes to the research capacity of the university in financial and scientific aspects. Another participant expressed that if a university conducted EU project, it meant that it gave value to its students and academics. Another highlighted point is the readiness of the existing staff in the university to the policy benefiting processes have crucial role that facilitate or constrain the adaptation to the EU model. All of the participants stated that if the project staff had project application and management expertise, all the processes can flow with fewer problems, because the uncertainties dissolve quickly, consensus at critical decision making points are instantly reached and the speed and quality of the communication increases. All of the participants highlighted that the staff should have an ownership feeling for the project, they should believe the goals of the project and have willingness to realize them. Ownership is the psychologically experienced phenomenon in which an employee develops possessive feelings for the target (Dyne and Pierce, 2004:439). It is observed that feeling of ownership is mostly associated with the sense of responsibility and sense of responsibility is valued as critical since the projects are implemented according to time stretching work plans. Additionally, according to some participants if the project staff knew each other well from previous works and trusted each other on the achievement of their commitments were evaluated as indispensable

17. The degree of adaptation of universities to the Pre-Accession Financial Assistance Policy during 1999-2000 is modest.

It is observed that the PFAP of the EU has impact on beneficiaries both by individual (ways of doing things, opinions, understandings, skills and experience, interests) and institutional (processes, procedures, collective understandings, perceptions, working styles, relations) aspects. For the changes in the opinions and understandings, it is observed that there are two major change areas. These are change in 'conceptualisation of working' in beneficiaries mind and the 'viewing the others' while working. The change in first area is associated with increase in practice of thinking a target with all its cost, risks and sub activities, maturation of understandings about appropriate behaviours of a coordinator of multinational research project, emerging an understanding that communication abilities are crucial as the academic excellences to conduct an international project. The change in second area associated with the removal of the bias towards European people and institutions. It is emphasized that bias are removed through time as the knowledge level about each other increased.

We unfortunately could not get much response from the participants about the changes on their attitudes in the institution directly emanated by the PFAP. However, it is observed that the change of ways of doing things which lays emphasis on how one performs something is associated again with the change in 'conceptualisation of working' in the beneficiaries mind. Beneficiaries explained that they become more organised or planned while conducting a work, research task, they started to pay more attention record the details and keep them, produced methods to use the time more efficiently like monitoring the time consumption by workload charts, transferred the ways of doing things of their partners which they evaluated as more efficient to their own institution such as lecture conducting methods.

For the impact of PFAP to the workings skills and experiences in the chosen beneficiary institutions, mostly highlighted issue is that besides the academic contributions like increase in number of patents and publications, projects helped to the

development of the social skills, communication abilities and international networks which are valued as important as the academic gains. Participants said that not only the academic studies but also the coordination and support activities of the academic studies like conferences; workshops were useful for development in science. They have already known the importance of these tenets before benefiting the policy however; it is observed that EU projects contribute them to reach these opportunities and maintain the mobility between the international research groups and thus created a change in understandings of the beneficiaries by proving the indispensability of these tenets for maintaining the development in science. Most of the participants emphasized that EU projects gave the opportunity to work with an international team, exchange knowledge, learn the partner's style, working systems, and consequently it contributed very much to the development of their scientific capabilities. During the interviews, it is learnt that especially the academics in state universities were not let to earn additional incomes from the projects. Although this situation caused demotivation for them and they felt time and workload pressure, it is observed that they joined to the EU programs under PFAP by following their ideals for forging international cooperation and recognition.

It is observed there were changes in collective understandings in the beneficiary institutions. Firstly, the collective understandings of the faculty and the academics that conduct more than one EU projects changed; however, this did not mean a radical diversion from the general institutional missions. Secondly, the perspectives of the people in the institutions to the academics participating to the EU programs were changed. For the example to the first change type is that according to the comments of the participant, his/her department which had a nationalist and introverted stand since it is the history department become more moderate and broke down many mutual prejudices between internal departments and the other institutions through the communication and interaction. On the other side, according to the beneficiaries, projects produced cooperation and communication culture inside and between the institutions, changed the views of the participants about foreign institutions and contributed their self-confidence to present their works in international level. In that sense, we could say that participants reviewed their academic capabilities and redefine their academic identities, research interests in this collaborative atmosphere secured by

the rules of the EU. For instance, some of the participants expressed that their research interest areas was enlarged or diversified whereas all of the participants expressed that projects produced new ideas, partnerships, activities and this eventually has an impact on their studies and research interests. Another highlighted aspect is that projects contributed to the spread of idea that all people could live in peaceful coexistence, because the outputs of the projects demonstrated that independent from any nationality and culture, academics, experts could work together and produce science for the sake of humanity. It is observed that not only the perspective of the academics, but also the understandings of the students and the target groups participated to the projects are highlighted as changed. It is highlighted that the students attended to the exchange programs expanded their horizon as they meet with different cultures, nationalities. Their presentation and language skills are illustrated as developed. Other participant explained that one of their project aimed at giving vocational training to the disabled people and at the end of the project their concerns and reservations about finding job was removed and their perception about their capabilities were changed. For the second type of change, one of the most highlighted issues is that the projects contributed beneficiaries to prove their scientific competences in the institution and effect the other academics' perception about their scientific capabilities. According to the participants view, the academics and departments conducting EU projects were started to be evaluated as more successful or hardworking by the others because the burdens and hardships of conducting an EU project is well known by them and overcoming them besides the teaching duties is associated with being hardworking.

It is observed that EU projects caused changes in institutional procedures, processes and establishment of new institutional units like project offices. The most connoted processes that are evaluated as changed were financial, purchasing and human resources processes. For the financial processes, briefly, the participants laid stress on the new procedures about operating on foreign currency, book keeping in escrow accounts, expense planning and budget tracing, overhead expenditure. For purchasing processes, it is observed that the tendering procedures were changed according to the EU requirements and subcontracting principle was internalized. For the human resources processes, time utilization methods were started to be used but not much wide

spread. All of the participants expressed that policy benefiting processes brought institutionalisation and professionalism to their university. By professionalism, they meant turning an idea to a project, utilize the resources as it was planned and committed, record and register all of the details and efficiently report it. By institutionalisation, they refer that duties and activities became more systematic and planned, the work flows and allocations became more clear, and organised. However it is observed that this change occurs only for the departments, institutes or faculties included in the project cycle management processes.

In half of the universities, the project cycle management offices were established. It is observed that these offices' functions include help with proposal writing, budget preparation, compliance checking, coordination with the internal departments where necessary, communication with EU institutions, any negotiations and modifications. Presentations, reports, compliance checks and coordination with sponsoring institutions are all project management offices functions. In process of time, these units became professionalised and produced their own procedures in order to maintain the adaptation between the EU regulations, necessities, models for benefiting the financial assistance policy and the internal rules, administrative instructions and law that the university has to obey in Turkey. Besides establishment of new institutional units, some of the beneficiaries highlighted that the existing units were started to be utilized more efficiently. For instance, the unused airport located in the borders of one of the beneficiary university was brought into service for the trainings to the students.

All of the participants expressed that the quality and quantity of their university's relations changed and they became more international and competitive. They highlighted that EU projects contributed to the recognisability and reputation of their selves and institutions in academic aspects, and created many new cooperation opportunities. One of the participants expressed that they had been previously cooperating with USA about research and development, by EU projects, their relations with European countries considerably developed and half of the funding for their research are collected from EU projects.

As a conclusion, we can say that degree of adaptation of the chosen universities to the PFAP is modest. Although there are changes in the collective understandings, ways of doing things, procedures and processes, institutional relations in the chosen universities, change occurs only for the departments, institutes or faculties included in the project cycle management processes and were not internalized by the total institutional structure. For instance, tendering procedures were changed according to the EU requirements and subcontracting principle was internalized, however the new procedure is only applied to the projects, not to the other purchases such as investment goods. Another example can be found in human resources processes, time utilization methods were started to be used but not applied to the all departments of the university. Quality and quantity of their university's relations changed and they became more international and competitive, however this change is limited with the departments joined to the EU programs. There is a change in collective understandings about the 'conceptualisation of working' and the 'viewing the others' while working, however again this change is accommodated by the people in the university who are included during the policy benefiting processes.

CONCLUSION

Domestic politics and polity has been increasingly subject to a number of external factors as well as internal dynamics in Turkey. Globalisation and Europeanization are the most pronounced and mutually supporting but at the same time competing dynamics of change. Therefore, it is difficult to identify the exact causal relationship between the change and the external factor(s). All in all, the EU candidacy through different financial, social and political channels creates highly influential at least challenging dynamics in Turkey. All actors including long established traditions of doing things have to cope with these challenges. Moreover, studying Europeanization provides operational tools to explore mediating variables of the change although Europeanization, itself, is still a contested concept and there is no single grand theory of Europeanization that can help us to understand how institutions change through processes of adaptation. Research on the Europeanization of candidate countries also brings about complicated questions of the EU impact and its mechanisms.

Among all approaches, sociological institutionalism seems helpful in providing necessary questions researcher to explore the mechanism of impact and process of change with a bottom up perspective considering the cognitive dimension of specific institutional and individual responses to the certain policies by its view on human action, institutions and institutional change particularly in the candidate countries. Pre-accession Financial Assistance Policy (PFAP) is one of those areas where sociological institutionalism can be applied to trace the institutional change as a response to adaptational processes. Focusing on cognitive dimensions is important for identifying institutional change because in the case of genuine institutional change, not only the rules and procedures in the institutions but also the collective understandings attached to them should be changed. Focusing on cognitive dimensions of institutional and individual responses to the PFAP, therefore, force us to pay more attention to learning and socialization processes in the context of Europeanization studies. Studying cognitive dimensions of the organizational structures under certain scope of conditions in practice give us more analytic leverage in understanding how adaptation processes

take place inside the organizations and existing structures, processes and performances are affected by organizational and individual learning during the adaptation processes.

The term cognition comes from the Latin verb *congnosco*, meaning ‘learning’. One can argue that individuals within organizations learn, not the organization themselves. Accordingly, the counter argument to the perspective is that organizations do learn, in the sense that they encode inferences from history into routines that guide individuals’ behaviour. By cognition, in terms of Schneider and Angelmar (1993:356), the ability of the organization to acquire, store, transform, and utilize knowledge have to be understood. When cognitive capacities are concerned, to perceptual, intellectual, learning capacities embedded in the organizations are referred to. They are related with processes of thought which support or inhibit how the individuals in institutional structure perceive opportunities brought by the policy, thus, influencing their interpretation about scope of conditions, and behaviour in policy benefiting and adaptation processes. The universities in Turkey as one of the beneficiary institutional groups of the policy came first among various types of institutions in benefiting the funding programs under the Pre-accession Financial Assistance Policy of EU.

This thesis concludes that under certain scope of conditions which might affect likelihood of domestic change, cognitive components of the organizational structure of the universities become helpful in overcoming the uncertainties and filter the adaptational pressure emanated from the PFAP through providing appropriate ways of action between institutional levels and lead to modest degree of adaptation. The scope of conditions is termed as “conditions which are likely to affect domestic change in response to the promotion or emulation of EU ideas and institutions” (Börzel and Risse, 2012: 1). The credentials of cognitive components in the organizational structure of the universities related with policy benefiting processes is helpful in explaining why a university empowered by financial assistance and adapt to its requirements while the others could not in same national context.

These components can be categorized as ‘actor related components’ and ‘process related components’. While investigating the role of cognitive components of

the institutional structure, not only the processes of learning but also the performance of the individuals in the organizations should be the focal points, because in the policy benefiting and adaptation processes both performance and learning occur concurrently. However, it should be noted that these components are not separated from each other by definite lines. In the coding phase of the interviews, a noticeable tendency to categorize components into two main groups is observed. These findings are, thus, open to further discussion. At this point, it is worth reminding that the aim of this study is not to make generalizations, but to seize contextual findings to understand the process of change emanated from PFAP in a candidate country.

Depending on the results of the in depth interviews and thorough analysis of legal documents, a model including scope of conditions (i.e. existence of state support, characteristics of existing formal institutional structure, national funding policy, level of uncertainty, misfit themes or other conditions), mediating variables (influence of institutional cognitive components i.e. credentials of learning process and actor related components) and degree of the adaptation was developed to explain mechanism of the impact of the PFAP on universities in Turkey. Identifying the scope of conditions and mediating factors constitutes the building blocks of the model. Therefore to have a better understanding of the extent and direction of the EU impact on Turkish universities, it is insightful to look at when and under what conditions (scope of conditions) credentials of cognitive components of organizational structures of universities lead (mediating variables) to adaptation (modest) to the PFAP of the EU.

Given time and methodological limitations of the thesis, a number of conclusions with regard to the scope of conditions and mediating variables on which the model rest upon can be drawn. To start with, there are two external factors to the organizational structure of the universities in national context and two internal factors with regard to perceptions of the beneficiaries affecting the position of universities in policy benefiting processes. These factors defined the scope of conditions in this study.

The first conclusion with regard to external factors is that government action plays a decisive role in the implementation of the PFAP. Government quickly

undertaken the legal arrangements to incorporate the model envisaged by EU to implement the PFAP. In two year time, 1999 to 2001, and with reforms in 2006, new system (de-centralized implementation system), institutional units (Central Finance and Contract Unit, National Agency, National Fund...etc.), administrative posts (National aid coordinator, Competent Accrediting Officer, Sectoral Monitoring Committees....etc), new documents (Multi-annual Indicative Planning Document, Strategic Coherence Framework, Operational Programs...etc.) procedures and processes (planning, programming, financial agreement, screening) were incorporated into the structure of state in Turkey. Also variety of formal supporting institutions such as ministries, TÜBİTAK, National Agency that promotes knowledge and training for beneficiaries to internalize appropriate methods to benefit from the policy were assigned. In that context, it can be argued that government supported the beneficiaries including universities to benefit from the policy by establishing the legal and operational administrative infrastructure and promoted awareness about the EU funding programs.

When the characteristics of national funding policy for the universities in Turkey during research period are considered, state plays a key role in financing of higher education. The percentage of GDP spent on higher education including allowances both for Higher Education Council and the universities increases 0.57 % to 0.85% from 2000 to 2010; nevertheless, it falls short of the goal set by the Lisbon Agenda of 2% of GDP on higher education expenditure. For Turkey this means that state's budget allocation for higher education needs to continue to expand considerably. When the amount of allowances directed by state to universities for research and development between 2001 and 2010 is considered, the average annual amount is found as %0.03 in the GDP. TÜBİTAK and Ministry of Industry and Commerce also support research projects in addition to appropriations allocated by the state. Considering the low amounts of national financing for universities in Turkey, it can be claimed that PFAP offers a considerable opportunity for universities to expand their resources.

The second conclusion on the external factors rests on the existence of a strong uncertainty for universities about interpreting the opportunities and taking the

appropriate actions before and during the policy benefiting processes. The first source of the uncertainty is about information gathering from the environment such as choosing the right institution for gaining information to turn project ideas to project proposals, because there are many information promoting agents in national context and quick change in their administrative links. The second one is related with focusing the attention of the university staff from different backgrounds and departments (i.e academics, administrative staff, faculty boards) on understanding and evaluating the tons of documents, guidelines, criteria, relevance, new terms, formats, financial requirements, procedures related with the project application and management processes envisaged by the programs of PFAP. The third one is understanding and internalizing the complex structure of managing the projects compatible with the EU requirements and existing formal institutional set up which is controlled by over-detailed national regulations secured by the constitution.

When it comes to the internal organizational factors affecting the position of universities in policy benefiting and adaptation processes, two conclusions put forward. Accordingly, the first conclusion is that there exist also a number of misfits between institutional levels of EU, partners from EU member states and the universities in Turkey which in turn generates adaptation pressure on the universities. These misfits are associated with misfits between financial rules, processes, regulations, misfits in styles and ways of doing things and misfits in standards. Among all reasons, - with regard to first misfit theme, EU regulations did not resonate well with the national laws that the universities had to oblige in Turkey. Another reason is that EU rules, regulations, and guidelines were not understood properly by the university units like finance and treasury and this situation created compliance problems. For instance, early payment (advance) limits which are designed by national law and internal directives for purchasing equipment or travel abroad created many inconveniences in the project implementation process and caused delay in committed time schedule for the projects. These incongruities exert pressure on the universities to change their financial procedures, processes. With regard to the misfits in ways of doing things, there are differences between the working culture or styles between the universities' project partner institutions from European states and the universities, and also misfits in ways

of doing things in the context of bureaucracy, paperwork requirements and thinking on project base between EU and universities. For instance, thinking or evaluating an idea or a subject through project designing and implementing mentality, benefiting the resources according to a work plan and budget according to a grant agreement constitute a new and developing approach for the universities in Turkey. That's why some incongruities occur between the perceptions of the university staff and expectations of EU. With regard to the misfits in standards such as working standards that the European partners followed in their institutions such as standards for evaluating the student success and standards for academic incomes are not compatible with the existing ones to that of in universities in Turkey. These types of misfits challenges not only the existing procedures and processes, but also the collective understandings, ways of doing things attached to them.

The second conclusion about the internal organizational factors, in almost all of the chosen universities is that there exists a perception that supporting formal institutions are not robust, comprehensive and having the required capacity to promote domestic adaptation. Additionally, although their efforts are appreciated, they are perceived as having limited knowledge and expertise since these institutions are also in learning process during 1999-2010. According to the participants, the prominent issue is not the number of these institutions, but their perceived efficiency that matters in adaptation processes. In the context of veto points (i.e. institutions such as parliament, parties or societal actors who have blocking power on policy change) the only one is European Commission and its decisions are evaluated mostly by reserving the criticisms as fair, not facilitating and not constraining. For the case of the thesis, no cooperative informal institutions (i.e. civic, religious, kinship, and other societal rules and organizations that are created, communicated, and enforced outside of officially sanctioned channels that help consensus building and burden sharing about the implementation of the policy) and idea promoting agent (i.e. epistemic communities including networks of actors which legitimate new norms and ideas by providing scientific knowledge about cause and effect or advocacy networks bound together by shared beliefs and values about the policy) is identified.

In the light of the aforementioned scope of conditions, it can be claimed that cognitive components of the universities which are strongly related with the credentials of their institutional capabilities to acquire, store, transform, and utilize knowledge act as mediating variables in overcoming the uncertainties, persuading university staff to reconsider their goals and preferences under new circumstances, promoting knowledge about legitimacy of the new ideas and appropriate ways of operational methods, internalizing them through processes of learning. Two cognitive components namely ‘actor related components’ and ‘process related components’ cause limited adaptation to the PFAP of universities in Turkey leading to modest change in the collective understandings, ways of doing things, procedures and processes, institutional relations in the chosen universities.

‘Actor related components’ can be grouped under two sub-branches as ‘managerial level components’, and ‘staff level components’. The first sub-branch denotes to the role of “credentials of project leader”, ‘existence of their desire for recognition and visibility’, and ‘wording and circulation of the strategy and mission’ and ‘existence of the decision making boards’ support’ which matter in overcoming the uncertainties and act as organizational filters to the adaptational pressure emanated from the PFAP. The role project manager is very critical during the processes in the context of benefiting PFAP, and adapting to the requirements of the policy, because project managers promote knowledge and understanding through the institution about the appropriate ways, methods to benefit from the policy and also have a facilitating role in overcoming the misfits between the levels of institutions. The project leader is at the centre of the interaction between task, demands, people and organizational structure and they manage relationships with EC, National Agencies, CFCU, Secretariat General of EU and other program authorities. They have pivotal role in finding the right balance between internal conditions and external requirements. For instance, as one of reason of the misfits between financial rules, processes, regulations, the participants expressed that EU rules, regulations, and guidelines were not understood properly by the university units like finance and treasury and this situation created compliance problems.

In that context, it is observed that project leaders have a significant role in information exchange between institutions and disseminate them internally. Prominent credentials of the leader are scientific reputation, his previous experience on project management model and rules of EU, and technical competences. Scientific reputation and credibility of the project leader is necessary to gain the trust of international and national stakeholders in capacity to lead the project. The networks created by such means facilitate the know-how transfer between institutions and becoming familiar with each other's working style and culture. One of the uncertainties of project application and management processes is the understanding literally what is meant in the project calls and expected by EU. In that context, project leaders' experience on project management counts to give for an appropriate project proposal. Also project leaders support the individuals and groups in the universities to share knowledge about the policy benefiting processes but also to learn together and to build climate of trust and embed it within the organizational culture. In that context, individual characteristics of the leader come to the forefront, it was highlighted that if the project manager was a good team player who can work with people from various background, nationality and culture, and create ownership feeling for the project, consensus and relationship builder, the institution overcomes more rapidly the misfits in styles and ways of doing things and standards.

A notable question at this point is why academics are willing to apply to the EU programs although there are uncertainties and misfits, and that EU projects had taken lots of time and labour both in administrative and technical aspects given that most project managers are academics being pressed by the teaching duties. The answer rests on their perception of the PFAP in relation to their providing appropriate tools or opportunities for realizing these ideals, desires and meeting the needs simultaneously. In their own words, they apply to the programs to follow their ideals to do the appropriate thing for adding value to the university and the students, turning the vast knowledge in universities to good account of society, desire and need to enhance international cooperation in order to prove and improve their scientific capabilities, and the pressing need to create alternative sources to the university's limited budget for conducting comprehensive, far-reaching, international research. Also the EU was evaluated as an

emerging political structure of meanings, collective understandings, rules of appropriateness and practices by almost all of the participants. EU is perceived as an institution providing homogeneity or approximation of the rules and standards and practices of peacefully coexisting together between countries. These concepts were considered as substantive opportunities for the development in science. In that context, the pursuit of purpose is associated with their academic identities more than with interests. As a cognitive matter, they find action of benefiting the policy is essential to a particular conception of a self. It is significant that more than half the participants had experience in Europe for postgraduate or academic purposes and already participated or become familiar with the EU programs. Therefore, it can be claimed that, besides their motivation, they had research routines or styles that were gained during their studies in Europe like collaborating with international partners under EU projects.

The vision and the acts of decision makers and the boards are also critical in policy benefiting and adaptation processes. In chosen universities, a visible support from the decision makers and boards to academics exists. This support took the forms of exemption from the lectures during the project duration, organising project cycle management trainings, providing financial support to the project staff for attending the project meetings in abroad, co-financing the big projects, establishing a project office to support the academicians in project application and management processes, maintaining administrative support for the big workshops and conferences in the projects, giving motivation awards to the project managers, giving permission to the project staff to gain additional salary for their efforts from the projects, making supportive speeches about the importance and the added value of the projects. It is observed that there is not a written strategy but there has been already well known and shared mission to enhance the international cooperation in the beneficiary universities. Another issue regarding the actor related components is the existence of desire for scientific recognition and visibility for the project managers. It comes to denote a strong motivation for benefiting the PFAP and adapting its requirements. In more than half of the universities, conducting EU projects is evaluated as the symbol of internationality of a university.

For the credentials of ‘staff level components’, a number of qualities namely, roles of ‘prior knowledge and experience levels’ and ‘existence of ownership feeling for the project’ is specified by participants. The readiness of the existing staff in the university to the policy benefiting processes have crucial role that facilitate or constrain the adaptation to the EU model. It can be argued that if the project staff had project application and management expertise, all the processes can flow with fewer problems, because the uncertainties dissolve quickly, consensus at critical decision making points are instantly reached and the speed and quality of the communication increases. Also existence of ownership feeling for the project, that is to say if they believe the goals of the project and have willingness to realize them, their resistance to new ideas, procedures diminishes and become more open the internalize them. Feeling of ownership is mostly associated with the sense of responsibility and sense of responsibility is valued as critical since the projects are implemented according to time stretching work plans.

The process related components as the second sub-branch of cognitive components, can be categorized in three groups defined as the elements of the organizational learning process regarding to the adaptation to the requirements of PFAP of the EU. These are the credentials of “knowledge creation and utilization processes”, ‘processes of interaction with other individuals, groups, institutions’ and ‘organizational culture’. For the credentials of knowledge creation and utilization processes in the chosen universities, the organizational facilitating factors to adapt necessities of the EU policy are the existence of expertise and prior knowledge of the project related units like accounting, faculty administration about the appropriate operating methods compatible with the levels of institutions, existence of routines about coding these methods into procedures, routines for searching information like random scrunitization of project calls from the websites, routines of raising awareness of the details of the project calls like by circulating internal bulletins, e-mails, routines of organising internal meetings for spreading the success stories, existence of academics’ understanding between operational departments and academics that it is a complex learning process including trials and errors, and failure is not the end. These credentials encourages academics and project related staff to participate EU programs since they give the motivation to enter

such a process full up with new actors, terms, and uncertainties and create a picture in project related staff minds that the burdens of the project will be shared. In that context, existence of project management units becomes critical, since they contribute to consensus building among different institutions, people, and level of legislation and burden sharing especially in the risks of financial and administrative operations and decisions. These units had the expertise on the content of the goals and procedures of both EU and their institution, detailed knowledge about the interests, ways of doing things, personages of the academicians, and promote knowledge, understanding between two levels through contact and dense communication. They generate action within the university by bringing the project cycle management rules and understandings attached to them into the open for discussion, or confirmation and clarify the mutual expectations in all administrative, financial processes.

When the credentials of communication and interaction between the people and the departments in chosen universities is considered, they can be associated with the existence of quick information flows, prorated work distribution between project team, openness of the project related staff and the units to the new ideas and implementation methods, the responsiveness of the decision makers and administrative units, existence of participatory working style, good command of English of the project team, existence of multidisciplinary working approach. These credentials foster the learning process by paving the way for exchanges of ideas, technical expertise, and information. Also, the credentials of the relations of the chosen universities with other institutions are decisive, because the EU envisages cooperation between European and domestic partners in order to transfer financial assistance. It can be said that the institutions which had alike capacities (research infrastructure, staff...etc.), or previous working experience, and were familiar with each other's procedures, styles, working culture could work in more harmony and meet the EU commitments more easily. In first phases of the partnerships, there could be bias between partner people and institutions since they have limited information about each other. However socialization, dialog and persuasion had strong role to adapt to each other, thereto overcoming the misfits between ways of doing things.

For instance, it is notable that existence of habits on paying attention and time to the social relations as well as the academic tasks when the parties did not have sufficient knowledge about each other becomes critical. In these times underlying content or moral of the diversity between understandings unfold more explicitly. At this juncture, it is worthy to give one of the participant's expressions: The ability to use dialogue does not come overnight; you should spare time to listen, understand. Another example, persuasion processes is effective solving a problem like the allocation of the budget to the partners or tackle with a partner when it did not realize its commitments, removing the prejudices caused by lack of information about each other.

The cultural climate in the organization is also critical, because it encourages academics to participate EU programs, encourages anticipation of opportunities brought by the projects, listen to new ideas. The examples of visible artefacts of such a climate in chosen universities are the big posters about the project calls, success stories about the projects managed by the academics of the chosen universities, photos of the outputs of the projects and their media coverage, internal bulletins about the methods to participate programs, notices of the locations for offices dealing with project issues. These artefacts create issue salience in the universities, and pull the attention and lead the individuals engage in learning. It is also observed that there are also taken for granted beliefs and norms that influence participants' behaviour in the adaptation processes. These beliefs and norms are important, because it gives the individuals in the organization the ability to understand the cultural dynamics of the partners including institutions such as EU and research institutes from European members states, normalize the others behaviour which seems unfamiliar, irrational and fosters their interaction with each other. In that context, it is observed that the chosen institutions have an organizational culture open to international cooperation. One can asked, how openness to international cooperation can be measured. According to the observations, for instance, more than half of the universities had already developed international relations through workshops, brokerage events about scientific problems, conducted projects with international partners.

Another observation is the academics are receptive to research the issues in an international group. The word of being receptive is connoted to denote how open one is to revise their beliefs in appropriate circumstances. This receptiveness assists them to accommodate the so-called working culture of their European partners. To give patterns about the working cultures of their European partners, for instance, according the most connoted ones, there is no limitation about expressing your ideas; however you have to comply with the rules of courtesy, you have to be evaluated as credible. Most pronounced norm related with the organisational culture which facilitates the adaptation to the PFAP is accomplishing the deliverables in the committed time. Half of the participants highlighted that many institutions might have organizational culture where people usually make lots of commitments and less plans, consequently could not catch the timing of the necessities envisaged by the project programs. It is notable that, some of the participants criticized European Commission not by possessing this norm as an institution, however expect from policy beneficiaries to internalize.

As a conclusion, in line with these scope of conditions, the existence of the aforementioned credentials of the cognitive components of the universities lead to a change in the collective understandings, ways of doing things, procedures and processes, institutional relations in the chosen universities. However the change is limited with the departments, institutes or a faculty included in the project cycle management processes and is not internalized by the total institutional structure of the chosen universities. In that context we can say that degree of adaptation of the chosen universities to the PFAP is modest level accommodation. In other words, universities accommodate (Börzel and Risse, 2000:10) Europeanization pressure emanated from the PFAP by adapting existing processes, rules without changing their essential features and underlying collective understandings attached to them.

For instance, when the changes in the opinions and understandings are considered, two major change areas come into view. These are changes in ‘conceptualisation of working’ in beneficiaries mind and the ‘viewing the others’ while working. The change in first area is associated with increase in practice of thinking a target with all its cost, risks and sub activities, maturation of understandings about

appropriate behaviours of a coordinator of multinational research project, emerging an understanding that communication abilities are crucial as the academic excellences to conduct an international work. The change in second area associated with the elimination of the bias towards European people and institutions. It is emphasized that bias are eliminated through time as the knowledge level about each other increased. The change about ways of doing things which lays emphasis on how one performs something is considered, it is associated again with the change in 'conceptualisation of working'. Most of the academics engage in policy benefiting processes become more organised or planned while conducting a work, research task, they started to pay more attention record the details and keep them, produced methods to use the time more efficiently like monitoring the time consumption by workload charts, transferred the ways of doing things of their partners which they evaluated as more efficient to their own institution such as lecture conducting methods. There is a change about the 'conceptualisation of working' and the 'viewing the others' while working, however it is internalized by the people in the university who are included during the policy benefiting processes.

With regard to the impact of PFAP to the workings skills and experiences in the chosen beneficiary institutions, it is observed that benefiting the policy through projects helped to the development of the social skills, communication abilities and international networks which are valued as important as the academic gains. Participants said that not only the academic studies but also the coordination and support activities of the academic studies like conferences; workshops were useful for development in science. They have already known the importance of these tenets before benefiting the policy however; it is observed that EU projects contribute them to reach these opportunities and maintain the mobility between the international research groups and thus created a change in understandings of the beneficiaries by proving the indispensability of these tenets for maintaining the development in science. Changes in collective understandings in the beneficiary institutions were also observed during the interviews. Firstly, the collective understandings of the faculty and the academics that conduct more than one EU projects changed; however, this did not mean a radical diversion from the general institutional missions. For example, according to the

comments of the one participant, his/her department which had a nationalist and introverted stand since it is the history department become more moderate and broke down many mutual prejudices between internal departments and the other institutions through the communication and interaction. Projects produced cooperation and communication culture inside and between the institutions; this contributed the academics self-confidence to present their works in international level. In that sense, we could say that participants reviewed their academic capabilities and redefine their academic identities, research interests in this collaborative atmosphere secured by the rules of the EU. Another highlighted aspect in the interviews is that projects contributed to the spread of idea that all people could live in peaceful coexistence, because the outputs of the projects demonstrated that independent from any nationality and culture, academics, experts could work together and produce science for the sake of humanity. It is observed that the projects contributed academics to prove their scientific competences in the institution and affect the other academics' understandings about their scientific capabilities. The academics and departments conducting EU projects were started to be evaluated as more successful or hardworking by the others because the burdens and hardships of conducting an EU project is well known through the chosen universities and overcoming them besides the teaching duties is associated with being hardworking.

It is also observed that EU projects caused changes in existing procedures, processes. The changed procedures are on financial, purchasing and human resources processes. For the financial processes, briefly, new procedures about operating on foreign currency, book keeping in escrow accounts, expense planning and budget tracing, overhead expenditure are produced. For purchasing processes, the tendering procedures were changed according to the EU requirements and subcontracting principle was internalized. However the new procedure is only applied to the projects, not to the other purchases such as investment goods. For the human resources processes, time utilization methods were started to be used but not much wide spread.

It can be remarked that policy benefiting processes brought institutionalisation and professionalism to the chosen universities to some extent. By professionalism, it is meant turning an idea to a project, utilize the resources as it was planned and

committed, record and register all of the details and efficiently report it. By institutionalisation, it is referred to that that duties and activities became more systematic and planned, the work flows and allocations became more clear, and organised. However it is observed that this change accommodated by only the departments, institutes or faculties included in the project cycle management processes. The project management units established or became professionalized and produced their own procedures in order to maintain the adaptation between the EU regulations, necessities, models for benefiting the financial assistance policy and the internal rules, administrative instructions and law that the university has to obey in Turkey. Also some of examples about the existing units were started to be utilized more efficiently. For instance, the unused airport located in the borders of one of the beneficiary university was brought into service for the trainings to the students. Finally, quality and quantity of their university's relations changed and they became more international, however this change is limited with the departments joined to the EU programs.

As March and Olsen says “exploring the scope of conditions of each model is a beginning. Understanding their interaction is the long-term and difficult challenge.” (Olsen, 2002:944). To conclude, this thesis attempted to build a model for exploring the mechanisms of the impact of PFAP of the EU on specific type of domestic institutions through focusing on cognitive dimensions of institutional capacity in a candidate country. Further research can be undertaken by testing the model on different types of institutions in Turkey which are addressed as the beneficiaries of the policy such as non-governmental organisations through drawing the scope of conditions studying the influence of institutional cognitive components and degree of the adaptation. Another research can be designed to test the model with the universities who attempt to benefit the policy however are not empowered by the financial assistance.

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23. [Bilim ve Teknoloji Yüksek Kurulu'nun 2005/2003 sayılı Karar](#)
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ANNEX 1- QUESTIONS OF INDEPTH INTERVIEWS

1. AB hakkında genel izlenimlerinizi öğrenebilir miyim? Siz genel olarak AB'yi nasıl değerlendiriyor, nasıl görüyorsunuz?
2. Genel olarak konuşacak olursak; bugün üye olan ülkeleri ya da aday ülkeleri düşündüğünüzde sizce AB ülkesi olmak istemelerindeki en önemli motivasyonlar neler? Neden?
3. Avrupa Birliği mali yardımları size neleri çağrıştırıyor? AB mali yardımları dediğimde aklınıza neler geliyor? Başka?
4. Sizce AB'nin ülkelere mali yardım vermekteki temel motivasyonları neler olabilir? Türkiye açısından ele aldığımızda nasıl değerlendirirsiniz?
5. Peki hocam sizin AB fonlarına başvurmakta temel motivasyonunuz nedir? Siz neden AB fonlarına başvurmayı tercih ediyorsunuz?
6. Kurumunuzdaki başvuru süreci kısaca nasıl işliyor? Biraz bahsedebilir misiniz? Bu sürece kimler, hangi birimler dahil oluyor? Ne tür prosedürler işliyor?
7. AB başvuru aşamasında proje yürütücüsünden ve kurumdan ne bekliyor?AB size göre nasıl bir başvuruyu başarılı olarak değerlendiriyor?
8. Başvuru ve yönetme süreci ile ilgili bir şey danışmak istediğinizde bir soru sormak istediğinizde birilerinden ya da herhangi bir kurumda destek aldınız mı? Ne gibi bir destek alıyorsunuz?
9. Siz kendi deneyiminiz düşündüğünüzde sizce bu destekler yeterli ve ve efektif oluyor mu?
10. TÜBİTAK,ABGS,AB gibi resmi kurumların başvuru sürecinde bir rolü oluyor mu?Nasıl?Proje Yönetim sürecinde,nasıl?
11. Resmi olmayan,ama başvuru sürecinde etkili olan başka aktörler var mı?Nasıl etkili oluyorlar?proje yönetim sürecinde nasıl?

12. Çağrının yayımlanma tarihinden sonra başvuruyu yapmak için ne kadar zamanınız oluyor? Sizce yeterli bir süre mi?

13. Bu kısıtlı zamanda başka kişilerle çalışırken size göre en önemli faktörler neler oluyor?

14. Kurumunuzda sizce bu süreçte kişiler, birimler arasındaki iletişim ve etkileşimin genel özellikleri neler? Sizce bu yönde geliştirilmesi gereken yönler var mı? Neler?

15. Fikir paylaşımı konusunda genel tutumları nasıl gözlemliyorsunuz? Sizce bu süreç ekip çalışmasına açık bir süreç mi? Siz kendi başvurularınıza ekip çalışmasından yeteri kadar faydalanabildiniz mi? Ne olsa daha iyi olurdu?

16. Bazı AB fonları ortaklı projelere fon verebiliyor. Sizin hiç başvuru aşamasında başka kurumlarla ihtiyacınız oldu mu? Birlikte başvuruya hazırlanmak, proje yürütmek sizce ne kadar kolay ne kadar zor? Birlikte çalışırken ne tür problemler çıkıyor, nasıl bertaraf ediyorsunuz?

17. Peki fonlara başvuruyu hazırlama ve sunma sürecinde kişiler arasında, kurumlar arasında ikna süreci önemli oluyor mu? Hangi durumlarda?

18. Organizasyonel kültürün, yani resmi olmayan ama kurum içinde paylaşılan informal değerlerin, normların, fikirlerin başvuru sürecini veya proje yönetim sürecini kolaylaştırıcı ya da zorlaştırıcı etkisi olabilir mi? Hangi yönden?

19. Sizce iyi bir proje başvurusunda proje yürütücüsünün temel nitelikleri nasıl olmalıdır? Neden?

20. Bir kurum olarak AB'nin kuralları, değerleri, iş yapış biçimleri bizim sistemimiz içindeki kurumların kuralları, değerleri, iş yapış biçimlerine benziyor mu? Hangi yönlerden? Eğer bir farklılık görüyorsanız bir adaptasyon baskısı olduğunu düşünüyor musunuz?

21. Başvuru sürecinde genel olarak karşılaştığınız problem neler oluyor? Bu problemleri çözmek için nasıl bir yöntem izliyorsunuz, neler yapıyorsunuz?

22. Sizce başvuru sürecinde nelere dikkat etmek ya da bilmek, projenin başarılı olmasına yardımcı olur?

23. Peki başvuru sürecinde, projenin başarılı olması için kurumda olması gerektiğini düşündüğünüz nitelikler, kapasiteler var mıdır, neler olabilir? Ya da başvurunun başarılı olmasında kurumunuzun sahip olduğu hangi unsurların avantaj olduğunuz söyleyebilirsiniz?

24. Başvuru sürecinden önce fonların programlanması aşamasında kurumunuzun bir katılımı oluyor mu? Oluyorsa nasıl? Olmuyorsa nasıl katılım sağlayabiliriz?

25. Biraz da kurumunuzun bakış açısını merak ediyorum. Kurumunuzdaki yöneticilerin, yönetim kadrosunun AB fonlarına bakış açılarını siz nasıl görüyorsunuz?

26. Size fonlara başvurmak için kurumunuzdaki yönetim tarafından herhangi bir teşvik, motivasyon sağlanıyor mu? Neler?

27. Fonlara başvururken yönetim açısından karşılaştığınız limitler oluyor mu? Nelerdir? Bu durumda neler yapıyorsunuz, nasıl çözüyorsunuz?

28. Kurumsal stratejinizde AB fonlarından faydalanmak ile ilgili bölümler var mı? Var ise bu stratejinin yeteri kadar kurum içinde paylaşılıp, anlaşıldığını düşünüyor musunuz?

29. Kurum stratejilerinizle AB'nin bu proje ile sizden bekledikleri uyumlu mu? Uyumun ya da uyumsuzluğun proje başvurularında nasıl bir etkisi oluyor?

30. Peki sizce AB fonlarını yürütmüş bir kurumla hiç AB fonu yürütmemiş kurumlar açısından imaj anlamında bir fark var mıdır? Sizce AB fonu yürütmüş bir kurum nasıl bir imaja sahiptir?

31. Size göre başarılı bir proje ekibinin sahip olması gereken nitelikler beceriler neler olabilir?

32. Proje Yönetim sürecinde Türk kurumlarının üzerinde durmasının önemli olacağını düşündüğünüz başka faktörler var mı? Nelerdir?

33. AB mali yardımı, projenin başvuru, yönetim süreçlerinin akademik ve profesyonel hayatınıza olumlu ya da olumsuz etkileri oldu mu? Tarif edebilir misiniz?

34. Durumlara bakış açınızda, değerlerinizde bir etkisi oldu mu? Neler?

35. Kurum içi,kurum dışı İlişkilerinizde nasıl bir etkisi oldu?

36. Peki iş yapış biçimlerinize bir etkisi oldu mu? Eğer oldu ise neler değişti? Kurum içi,kurum dışı İlişkilerinizde nasıl bir etkisi oldu?

37. AB mali yardımı, projenin başvuru, yönetim süreçlerinin kurumuzdaki birimlere,süreçlere etkisi olumlu olumsuz etkisi oldu mu? Hangi açıdan?

38. Kurumunuzda bu projeler ile kolektif anlayışlarda, bakış açılarında değişim oldu mu?Olumlu ya da olumsuz örnekler var mı? Biraz açabilir misiniz?

39. Projelerle kurumun dışarı ile olan ilişkilerinde olumlu olumsuz değişimler oldu mu?

40. Bugün AB fonları ile ilgili bir çok şeyden bahsettik. Son olarak toparlamak amacıyla sormak istiyorum. Siz fonların kurumlar için ne kadar önemli olduğunu düşünüyorsunuz? Neden?

ANNEX 2- AN EXAMPLE FOR A SCRIPT OF AN INTERVIEW

GÖRÜŞME KÜNYESİ

Katılımcı Adı Soyadı	xxxxxx
Ünvanı	Yard. Doç
Çalıştığı Kurum	xxxxxx-Deniz Bilimleri Enstitüsü
Kurumda Çalışma Süresi	5
Telefon	xxxxxxxxxx
Adres	Institute of Marine Sciences, xxxxxxxx P.O.BOX=28, 33731 Erdemli-Mersin, Turkey
e-mail	xxxxxxxxxxxxx
Görüşme Tarihi	22.07.2011
AB Fon Programı 1	(FP7-ENV-2009-1)
Proje Adı 1	Options for Delivering Ecosystem-Based Marine Management
Projeki Rol/Tanımı 1	Koordinatör

GÖRÜŞME İÇERİĞİ

AB yi bir kurum olarak nasıl değerlendiriyorsunuz? AB hakkındaki genel izlenimleriniz nelerdir?

Avrupa Komisyonu'nun son dönemlerde geniş çerçeve programlarına önem vermesi ve Türkiye'nin de buna dahil olması bizim adeta yapımızı değiştirdi.

Nasıl değiştirdi?

Ondan da örnek vereyim. Biz daha önce Amerika ile işbirliği içinde çalışıyorduk. Avrupa ile pek işbirliğimiz yoktu. Hatta 10-15 yıl öncesine kadar minimal düzeydeydi. Yani gene çerçeve programları vardı ama bu şekilde çerçeve programlarına dahil olamıyorduk. İşte NATO o zamanlar bize destek veriyordu. Amerika'nın NFS, ONR programları ile Amerika ile çok ciddi işbirliğimiz vardı. Özellikle bu Avrupa Komisyonu'nun çerçeve programlarına ciddi bir ağırlık vermesi ve bizim de bunlara katılım sağlamamız ülke olarak bizi çok rahatlattı. Tüm Avrupa ile biz işbirliği içindeyiz. Projelerimizin bütçe tutarının yarısını ulusal kaynaklardan alıyorsak, diğer yarısını AB' den alıyoruz şu anda. Bizim her yıl getirdiğimiz AB projesi bütçesi 1 milyon avro dur. Şu anda 3-4 milyon Avroluk projemiz var. Yani biz çok olumlu bakıyoruz.

Yani üniversite için önemli bir kaynak olduğunu mu düşünüyorsunuz?

Üniversite için diyemem. Bizim üniversitede de bu kadar AB projesi, yani orantısal olarak alınmıyor. Bizim üniversitede alınan AB projelerinin dörtte birini biz alıyoruz. Düşünün biz burda 10 kişilik bir öğretim üyesi kadrosuna sahibiz. Bu da bizim inter -disipliner yani deniz bilimlerinin disiplinler arası bir alan olmasından kaynaklanıyor. Hatta geçen gün TÜBİTAK'tan bir araştırmacı geldi. Gene bu AB projeleri çerçevesinde sadece bizim enstitü sayesinde İzmir ve Ankara'dan sonra Mersin en fazla AB projesi getiren il oluyor. O kadar yoğun AB projesi alıyor ki bizim Enstitü ve Mersin'deki diğer Üniversiteler sayısal olarak en çok proje alan üçüncü il Mersin oluyor.

Genel olarak konuşacak olursak; bugün üye olan ülkeleri ya da aday ülkeleri düşündüğünüzde size AB ülkesi olmak istemelerindeki en önemli motivasyonlar neler?

Bir kere bu benim kişisel görüşüm. AB ve AB üyesi ülkeler her konuda, mesela beni ilgilendiren konular bilim ve çevre diyelim. Bu konularda çeşitli standartlar var ve bu standartlar oturmuş durumda. Türkiye'deki en büyük eksiklik bu bence. Bir standart yok. YÖK , TÜBİTAK ve Milli Eğitim Bakanlığı hergün bişeyler değiştiriyor. Yani böyle biz Amerikayı yeniden keşfetmek için hergün uğraşıyoruz. Hergün bürokrasi ile uğraşıyoruz. AB'ye girsek ve AB standartlarını kabul edersek, gerek bilimsel konularda, gerek bürokratik konularda ve gerekse çevre konularında bu standartlar gelecek. Benim en fazla AB üyeliğini desteklememin nedeni bu. Çünkü biz adeta standartları olmayan bir ülke olarak var olmaya çalışıyoruz. Bu da bilimi çevreyi çok negatif yönde, inanılmaz negatif yönde etkiliyor. İnanılmaz zaman kaybı inanılmaz efor kaybı. Standart yok hiç birşeyde, yani el yordamı ile sürekli bişeyler yapıyoruz. Hergün bişeyleri değiştiriyoruz. Çalışan bir sistemi sürekli değiştirir misiniz, değiştirmezsiniz. Çalışmıyor belli ki. YÖK, TÜBİTAK ve Milli Eğitimi durmadan değiştiriyoruz. Niye çalışmıyor? Bir türlü standartlarımızı oturtamadık.

Standart derken tam olarak neden bahsediyorsunuz?

Kurallardan, hukuk kurallarından, normal kurallardan ve işleyiş kurallarından bahsediyoruz.

Avrupa Birliği mali yardımları size neleri çağrıştırıyor? AB mali yardımları dediğimde aklınıza neler geliyor?

Mali yardım mı yapıyor bize?. Benim bildiğim biz bu havuza ciddi bir girdi yapıyoruz ülke olarak. Hatta o yaptığımız girdinin geri dönüşümü de olmuyor. Şöyle ben size söyleyeyim. Yaklaşık bundan 2 yıl önce TÜBİTAK bir toplantı yaptı. Çeşitli istatistikler ortaya koydular. Net rakamları ben hatırlıyamıyorum. Türkiye' nin işte 6. Çerçeve programında havuza ne kadar ülke olarak bir para aktardığı ve bu paranın geri dönüşü. Aktarılan para ile geri dönüş arasında fark var. Biz aktardığımız kadarını geri döndüremedik. Hatta Başbakanlıkta çeşitli tartışmalar oldu ve belki 7. Çerçeve

programına katılmayacağımız dile getirildi. Ama o havuza aktarılacak parayı TÜBİTAK aracılığı ile dağıtsak daha iyi olmaz mı şeklinde çeşitli tartışmalar çıktı. Ve biz buna karşı çıktık. Biz dedik ki devam edelim. Niye devam edelim? Çünkü belki biraz maddi olarak bir kaybımız var. Ama bu bizi yukarıya çekiyor. Bilimsel olarak kendimizi yukarıya çekiyoruz. O yüzden 7. Çerçeve'ye de girdide bulunsun dedik ve Türkiye 7. Çerçeveye dahil oldu.

Hocam sizce AB neden fon dağıtıyor?

Biliyorsunuz eğer ekonomik olarak ilerlemek istiyorsanız teknoloji ve bilgi üretmek durumundasınız günümüzde. Avrupa bunun en farkında olan ülke. Yani Almanya'ya baktığınızda Fransa'ya baktığınızda ürettikleri teknolojiyi sattıkları için ekonomik olarak çok güçlüler. Başka bir sebepten değil ve bu da bilimsel ilerleme ile oluyor. Yani şey demek istemiyorum. Onlar çok ulvi amaçlarla ve sırf bilim ilerlesin diye bu kadar yatırımı yapıyorlar. O da var ama asıl etken ekonomik etkidir. Bütün bunların altında çok ciddi bir ekonomik etken var. Çevre konusuna gelirsek, özellikle son dönemlerde, işte biliyorsunuz doğal kaynakları, doğayı tanımadığımız için çevreyi tanımadığımız için doğal kaynakları yanlış kullandık. Benim konum deniz ve okyanus, gerek okyanus gerekse karasal kaynakları eko sistemi tanımadığımız için yanlış kullandık ve birçok şeye ulaştık. Buda çok ciddi bir ekonomik külfet getirdi ve değişen iklime o da insanın etkisi. Yani onu da kaynakların yanlış kullanımı olarak görebiliriz aynı şemsiye altında. Oradaki kaynakların, işte petrolü alıyorsunuz, yakıyorsunuz karbon artıyor ve buna bağlı olarak dünya ısınıyor. Yani gittiğimiz yer belli. Bir felakete doğru gidiyoruz. Bütün bunlarında farkındalığın artması ile çevre ve iklim konusunda AB çok ciddi bir bütçe ayırdı. AB bu konularda bütçe artışına gitti. Bizim gibi bir kurum için bu çok iyi. Çünkü biz de bu konularda çalışıyoruz.

Peki hocam genel olarak AB fonlarından nasıl haberdar oluyorsunuz?

İlk dönemlerde tabi bizim deniz bilimlerini çalışmamız bir şans oldu. Örneğin Akdeniz'i çalışacaksınız. İtalya, Yunanistan ve Fransa'nın Akdeniz'e kıyısı var. Akdeniz'i çalışacağınız zaman işte orada beraber çalıştığımız bilim insanları gelip bize ya bu tür bir proje var. Akdeniz'i çalışacaksak beraber çalışmamız gerekiyor. Daha çok

ortaklarımızdan biz bunlardan haberdar olduk. Ama son dönemlerde artık bizim de bilinmemizden, yani bu tür konuları Türkiye’de çalışan kurum olduğumuzun fazlaca bilinmesinden, TÜBİTAK’taki işte üniversitelerdeki bu işle ilgilenen uzmanlarda sürekli bize bir bilgi akışı yapıyorlar. Çağrı çıkmadan dahi işte TÜBİTAK’ tan böyle bir çağrı taslağı var buna girdi verir misiniz diye bizden uzman görüşü alıyorlar. Artık o çağrılar da biz şekillendiriyoruz. Mesela yeni bir proje aldık. 700 bin Avroluk bir kısmının büyük ortaklarından biriyiz. O çağrının lobisini dahi yaptık biz. Yani AB komisyonu nezdinde böyle bir çağrı çıksın Akdeniz için şekli bu olsun. AB komisyonu buna göre çağrı oluşturdu.

Başvurunun nasıl yapılacağı sizin açık mıydı sizin için?

Biz proje teklifi yazmaya alıştık. Yani bir araştırma kurumu olmamızdan ötürü. Çağrıyı doğru anlamak, en büyük zorluk orada oluyor. Yani çağrıyı eğer biz şekillendirmemişsek dediğim gibi o çağrıyı anlamak, doğru okumak ve ona yönelik bir teklif yazmak. Orda böyle bir sıkıntı var tabii. Halen de var.

O çağrıyı anlamak, doğru okumak nasıl geliyor hocam?

Avrupa Komisyonu’ ndaki insanlarla iletişime geçmemiz gerekiyor. Onu yapanda genelde proje yürütücüsü oluyor. O projenin yürütücüsü hangi ülkedeki kurumsa o kişi AB Komisyonu’ndaki insanlarla iletişimde oluyor ve AB Komisyonu’nun ne istediğini doğru şekilde anlamaya çalışıyor. Çünkü doğru okumazsanız çağrıyı, pek bir şansınız kalmıyor. AB'nin kendi bir dili var. Onu anlamakta başlı başına bir uzmanlık meselesi. Her ne kadar bilimsel olarak birçok şeyi anlasak da onların önceliklerini çok iyi takip etmemiz gerekiyor. Onların, Avrupa Komisyonu’ nun öncelikleri esasında çeşitli dokümanlarda yayınlanıyor. Onları da iyi takip etmek gerekiyor. Ama AB Komisyonu ile ilişki AB Komisyonu temsilcileri ile ilişki önemli.

Başvuru aşamasında ne zaman ihtiyacınız olursa AB Komisyonu'ndan cevap alabiliyormusunuz?

O şekilde olmuyor. Yani mesela bir konsorsiyum oluşturuyorsunuz. Konsorsiyum toplantısına çağırabiliyorsunuz AB Komisyonu temsilcisini. O çağrı ile ilgili olan o çağrıdan sorumlu olan geliyor. Konsorsiyumu oluşturmanız gerekiyor ve koordinatörü olmanız gerekiyor. Biz de katılımcı olarak gittiğimiz zaman AB temsilcisi bize girdi veriyor.

Bunu etkili buluyor musunuz? Yani bu alınan bilgiyi ? Tam da sizin ihtiyacınızı karşılıyor mu? Danışmak istediğiniz konuya cevap veriyor mu?

Tam olmuyor tabii. Biz o yönlerden çok mutlu değiliz. Çünkü işin içine bürokrasiyi sokuyorsunuz sonuçta. AB Komisyonu'nun öncelikleri işin içine giriyor bilimsel öncelikler yerine. Yani biraz orada bizde bazı şeylerin etrafından dolanmak zorunda kalıyoruz. Çok da etkili bir yöntem değil. Daha iyisi nasıl olur dersanız ona bir cevabım yok.

Yardımanın etkili olmamasının nedeni onların sadece bürokrasisi mi?

Yani politika giriyor işin içine. Mesela bir çağrı çıkıyor. O çağrının amacı sadece bu bilimsel çalışmaları yapın değil. Yönetim ayağı var işin içinde. Yani işte AB Komisyonu'nun önceliklerini de göz önüne alarak, işte üst yöneticilere yaptığımız çalışmaları bir girdi olarak aktarma kısmı. Biz bilim insanları buna alışık değiliz. Bu güne kadar öyle çalışmadık. Onu doğru da algılayamayabiliyoruz her zaman. Bu tür bir girdi vermeye de alışık değiliz.

Proje yönetiminin AB yöneticilerine direkt girdi sağlaması gerekiyor. AB Komisyonu'nun yeni yöntemi bu. 'Process oriented' diyorlar buna. Çağrı da araya iki satır öyle bişey sıkışıyor mesela. Biz onun tam olarak bizden ne beklediğini her zaman anlayamayabiliyoruz. O zaman işte dediğim gibi komisyon yöneticilerinden girdi gerekiyor. Tam olarak ne dediğini ne şekilde girdi istediğini algılayabilmek için. Mesela ben AB de uzman olarak hakemlik yapıyorum. Oldukça şeffaf bir değerlendirme süreci

var. Ben kesinlikle kimin alınacağı belli görüşüne katılmıyorum. İyi yazan, iyi bir grup kuran ve hak eden alıyor.

Kurumunuzda başvuru süreci nasıl işliyor? Başvuru sürecinde görevi olan birimler oluyor mu?

En büyük sıkıntıyı orda yaşıyoruz zaten. Başvuruda bu problemlerin en azını yaşıyoruz esasında. Başvuru çokta zor değil. Proje yöneticileri olarak biz kendimiz yapabiliyoruz başvuruyu. Üniversitenin bu merkezde bir proje yönetimi ofisi yok. Burda isterdik esasında.

Mesela ben AB' de de çalıştım. Fransa' da iki yıl çalıştım buraya gelmeden. Orada AB ofisi kavramı var ve bütün işin bürokrasisini onlar yapıyor. Yönetim tarafının hepsini AB ofisi yapıyor. Siz görmüyorsunuz bile. Burada öyle değil. Onların hepsini burdaki biz proje yürütücüleri yapıyoruz. İmza ve bütçeleme sürecini proje yürütücüsü yapıyor. Bütçe kısmı tam bir kabus. Bir audit (denetim) geldi denetlemeye. Burada oturduk 2-3 öğretim üyesi. Onlarla uğraştık 1 hafta 15 gün. Bu tür hizmetlerin hepsini üniversitenin vermesi gerekiyor esasında. Her türlü müfredatı okuyup burda auditçilerle (denetimcilerle) çalıştık. Ama bundan daha büyük sıkıntılar var esasında. Üniversitenin AB ofisi genişletilebilir. Belki ona çözüm bulunur. Belki ama bizim Türkiye'nin yasaları bizi çok zorluyor.

Mesela benim bir tane yeni başlayan 7. Çerçeve projem var. Geçen kasımda başladı. AB Komisyonu daha para göndermedi. Ama üniversite buna imza atıyor ve üniversite bunun finansmanından sorumlu. Avrupa'da her üniversitenin havuzu var. Finansal kaynaklar bu havuzdan sağlanır. Gelen para bu havuza giriyor. Siz AB Komisyonu'ndan para geldimi gelmedimi bilmiyorsunuz bile. İlgilendirmiyor da zaten. Üniversite sadece parayı doğru harcıyo rmuyum ona bakıyor. Biz burada para bekliyoruz. Üniversiteden para istiyorum ben, bana proje için borç vermesi için. Nereden vereceğim, hangi bütçe kaleminden vereceğim diyor. Bir tane emanet hesabı oluşturdular. Maliye Bakanlığı ona da bir sürü kural getirdi. Emanet hesap nasıl kullanılır diye. Örneğin projenin ilk ödemesi gelmeden personel çalıştırmaya başlayamazsınız diyor. Elimizi kolumuzu bağlıyor. Emanet hesap için Maliye

Bakanlığı' nın kuralları var. Bütçe harcaması için üniversite ile ilgili kuralları var. Projelerle ilgili değil. Overhead den kalan parayı emanet havuzunda topluyoruz. Başka havuzumuz yok. Emanet hesap için çeşitli kuralları var. O kurallar o kadar garipki. Hiçbir şey yapamıyorsunuz.

Final ödemesi proje bittikten sonra geliyor. Yaklaşık 20 bin avro civarı bir final ödemesi var. O final ödemesini de benim önceden harcamam gerekiyor ki o rapora koyayım. Harcayamıyorum çünkü üniversite o parayı bana vermiyor. O para gelmeden ben 20 bin avro isteyince, bütçe kısılmış oluyor, o zamanda overhead düşmüş oluyor. Üniversite bana senin finansal raporun kabul edilmedi ve final bütçeden kesinti oldu, ben onu nerden finanse edeceğim diye soruyor? Üniversitenin bunu overhead den karşılaması gibi bir yasal yöntemi yok.

Ben 20 bin avro harcadım final ödeme için. Final ödeme için 20 bin avro gelecek. Ben finansal raporumu sundum. Dediler ki şu şu kalemleri yanlış harcadın. Sana 10 bin avro veriyoruz. Üniversite diyorki 10 bin avroluk açığı karşılayamam. Overhead ile bu 10 bin avroluk açığı kapatmamıza izin vermiyorlar. Maliye bakanlığı izin vermiyor.

Üniversite overhead in %2.5 ini alıyor geri kalanlar enstitüye kalıyor. Overhead den personel çalıştırmıyorlar. Ona kesinlikle üniversite izin vermiyor. AB projelerinde personel kalemi yok. Finansal sıkıntılar çok fazla. Ülke kuralları AB kurallarına uymuyor.

Satın almadada aynı sıkıntılar oluyor mu?

Satın almada herhangi bir sıkıntı olmuyor.

Bir sürü başarılı projeniz var. Neye göre bir projenin başarılı olduğuna karar veriliyor?

O kadar çok kriteri varki bunun. Yani hakemlikte yaptığım için hepsi bize veriliyor zaten. Nelere dikkat edeceksiniz. Yani bir kere projenin özgün ve orjinal olması gerekiyor. Yani daha önce yapılmamış olması gerekiyor. Yapılan şeylerin üzerine inşa edilmemiş olması gerekiyor. Ve onun dışında (integrated) büyük

projelerden bahsediyorsak işbirliği çok önemli. Yaygın işbirliği olması lazım. Ülkeler arasında belirli bir denge olması lazım. O konuda uzman o ülkedeki uzmanların proje içinde yer almasını bekliyorlar. Onun dışında impact yani etki, Avrupa Birliği'ne nasıl bir katkı sağlayacak onları çok dikkatli yazmanız çok iyi ortaya koymamız gerekiyor. Uygulanabilirliğini çok çok iyi göstermeniz gerekiyor. Çok çok iyi bir proje yazabilirsiniz, uygulanabilirliği eksikse o zamanda o proje geçmiyor. Yani kabaca bunlar.

Peki hocam bu süreçte TÜBİTAK'ın veya diğer resmi kurumların size yardımı oluyormu?

Oluyor, yardım olmuyor diyemem ama onların tecrübeleri de limitli. Mesela TÜBİTAK'ın yazım aşamasında bize pek bir yardımı olmuyor. Ama TÜBİTAK iyi niyetli. Bu konularda en fazla farkındalığa sahip olan kurum da TÜBİTAK. Şikayet etmek istemiyorum ama kadro sayıları ve kadrolarının bilimsel konulardaki uzmanlığı yetersiz.

Ne olsaydı daha iyi olurdu mesela?

Yani gene Fransaya gidip bir örnek verecek olursam orda bizim konularda uzman birisi ordaki TÜBİTAK'ın karşılığı olan kurumda çalışıyor. Deniz bilimini bilen var veya başka her konuda çalışan uzmanlar var. Bu uzmanlar teknik olarak o projeyi düzeltebildiği gibi o konularda ne tür çağrılar açılıyor açılacak bunun takibini de yapıyorlar.

Bizde çevre diye gidiyor. Çevre konusunda birkaç tane uzman arkadaş var. Hepsi ile tanışıyor görüşüyoruz. Hepside iyi niyetliler. Çoğu çevre mühendisliği mezunu petrol mühendisliği mezunu arkadaşımızda var. Ama bizim konudan anlamıyor. Neye dikkat etmem gerekiyor, ne yapmam gerekiyor, nasıl yazmam gerekiyor mümkün değil onun bana yardımcı olabilmesi. Yani şey konularında uzmanlık yelpazesini genişletmesi lazım TÜBİTAK'ın. Yani her konuda uzman insanı Avrupa' da nasıl varsa bizde de YÖK'te de olacak, TÜBİTAK'ta da olacak, Çevre Bakanlığı'nda da olacak. Olması gerekiyor. Yani bu tür kadroların kesinlikle sağlanması lazım. Yani bunun

farkına varmamız gerekiyor. Çevre konusunda beş tane uzmanım var deyip işi bitiremezsiniz. Mümkün değil.

Peki başka resmi olmayan kurumlardan yardım alıyorsunuz?

Biz almıyoruz.

Bazı hocalarımız şey diyebiliyorlar. Bizim çalışma grubumuz var. Onlardan destek alabiliyorum. Onlar daha önce proje yazmış oluyorlar. Meslektaşlarımızdan oluşuyor diyor hocalar.

Biz almıyoruz.

Bu çağrının yayınlanma tarihi ile teslim etme tarihi arasında kalan o süre size o projeyi yazmak için yeterli oluyor mu?

Değil, zaten çağrı yayımlandıktan sonra konsorsiyum oluşturmaya ve yazmaya başlarsanız geç kalırsınız. Yani çağrı çıkmadan o çağrının ne olacağını herkes biliyor. Biz yeni çağrı çıkmadan iki ay önce yeni bir konsorsiyum oluşturduk. Çağrı çıktığı zaman bizim elimizdeki taslak çağrı ile son çıkan çağrı arasında %10 - %20 lik bir fark oluyor. Ufak tefek düzeltmelere gidiyor AB Komisyonu. Zaten çağrı çıktıktan sonra konsorsiyum kuramazsınız. Zaman konsorsiyum kurup yazmaya yeterli olmaz. Zaten insan bulamazsınız konsorsiyuma katılacak.

Peki hocam bu kısıtlı zamanda hani başka kurum ve kişilerle çalışıyorsunuz. Konsorsiyumlar büyük konsorsiyumlar. Bu kadar farklı kurum ve farklı kişiyle bir arada çalışıp da o kısa sürede bir çıktı elde ederken hangi faktörler önemli hale geliyor? Hangi faktörler o süreci kısa zamanda geçmenizi ve sonuca doğru ilerlemeyi kolaylaştırıyor?

Burada esasında proje yürütücüsüne çok ciddi bir rol düşüyor. Onun sebebidir şu: Farklı iş paketleri olur her bu tür büyük projeleri kurarken. O farklı iş paketlerinin sorumlularını, doğru şekilde oluşturup, o iş paketinin yapısını doğru şekilde oluşturursanız o süreç hızlı geçilir. Bunu yapamazsanız bir karmaşanın içinde gidersiniz. Tabii orada sizin insanları iyi tanımanız, yani geçmişinizin olması gerekiyor

ki o iş paketini gerçekleştirebilesiniz. İş paketini oluştururken herkesin görüşlerini alıyorsunuz. Ama gene 3-5 kişilik bir temel çalışma grubu oluşturmanız gerekiyor her konsorsiyumda. Bu çalışma grubunun bir tanesinde ben varım mesela. Şimdi gidip görüşeceğiz. Bu çalışma grubunu çok yaygın tutamıyorsunuz. 10 kişilik bir çalışma bir yazım grubu oluşturmanız gerekiyor. Bunu 30 kişilik bir proje yazma grubu yaparsanız işin içinden çıkamazsınız. Biraz böyle tepeden inma davranmanız gerekiyor. Yani o şart.

Yani dar bir grupla o projenin iskeletini oluşturmanız gerekiyor. O projenin iskeletini oluşturduktan sonra doğru noktalara doğru insanları koyup onların sorumluluğunun da belirlenmesi gerekiyor. Ufak tefek girdiler revizyonlar her partnerden bekliyorsunuz. Ama genel yazım şekli yani böyle bir 10 kişilik dar bir grubun yürütmesi ve o grubun tabiki yetilerinin yüksek olması gerekiyor. Bunlarıda tanımanız gerekiyor. Proje yürütücüsünün teknik ve kişisel özellikleri çok önemli. Çok organize biri olmalı ve iyi bir yönetici olmalıdır. Bilimsel saygınlık çok önemli. O yoksa bilimsel kredibilitesi yoksa güçlü insanları etrafında toplayamaz. İnsanlar başka yere yönelir. Onun dışında iyi bir yönetici ve organizatör olmalı. İnsanları bir noktada buluşturma ve uzlaştırma yetisine sahip olması gerekiyor.

Hele hele iş bölümü ve bütçelemeye gelince ortalık felaket birbirine giriyor. Orada yani artık kendi inisiyatifi insanların ona bırakması gerekiyor. Bunun içinde o insanın yöneticilik ve bilimsel yetilerinin çok yüksek olması gerekiyor. Yoksa kaotik bir şekilde ilerliyorsunuz.

Peki hocam yani bir sürü ortağınız oluyor. Herhalde en aşağı on ortak oluyor?

20 bazen 30 bazen 40

Bu ortaklarla proje yürütürken neler zor neler kolay? Karşılaştığınız en büyük zorluklar neler oluyor?

Orada da gene işte bu defa iş paketi yöneticileri devreye giriyor. Yani iş paketi toplantılarını düzenli yaparsanız, iş paketindeki ortaklarla iş paketi yöneticisi iletişimi üst düzeyde tutarsa sorunlar azalır. Her iş paketi için 6 ayda bir toplantı yapmalısınız.

Ama sıkıntılara gelince tabii ki bir sürü ortakla çalışıyorsunuz. Herkes aynı şekilde ilerlemiyor. Bazısı yapması gerekenleri çok daha hızlı yaparken diğerleri geri kalıyor. Bazı insanlar bazı kurumlar geri kaldığı zaman ister istemez sizi etkiliyor.

Peki hangi kişiler hangi kurumlar genelde geri kalıyor? İstenen performansı gösteremiyor?

Profil olarak baktığımızda Kuzey Avrupa daha iyi daha hızlı genel olarak. Bizim Akdeniz ülkeleri ve aday ülkelere doğru ilerlediğimiz zaman yavaşlama oluyor. Uzman kadrolarda olan sıkıntılardan dolayı da yavaş ilerliyor.

Onlar bu işleri bilmedikleri için mi yoksa kültürleri ile ilgili mi?

Kültürel olarak değil de, bilmemek yani uzmanlık. Almanya' da bir deniz bilimleri enstitüsünün 500 tane kadrosu var. 500 tane araştırmacıları var, geleneksel olarak bu işi yapıyorlar. Çok ciddi bir bilgi birikimleri bilimsel alt yapıları var. Doğuda, doğu derken ben kendimizi de buna katıyorum, yani biz çok zayıfız. Kadro olarak zayıfız. Hiçbir zaman için Türkiye daha az iş yapsın aynı iş paketinde aynı konuda Fransa daha fazla iş yapsın o konuda diyemezsiniz. Herkes katkısını sunsun deniliyor. Onun bilimsel alt yapısı, uzmanlığı ile sizinki aynı olmuyor. O çok daha hızlı ilerlerken siz daha yavaş ilerliyorsunuz. Bu da sıkıntılara yol açıyor tabii ki.

Kurumun alışkanlıkları, prosedürleri sonuçta sizinkinden farklı olabilir. Birlikte çalışma pratiklerinden çeşitli şeyler çıkıyor mu?

Onlar var tabii, muhakkak var. Ama ana etken o değil bence. Bilimsel yeterlilik ana etken oluyor. Ben öyle görüyorum.

Peki bu süreçte ikna süreçleri önemli oluyor mu?

Çok yapacağımız bişey de olmuyor esasında. Onu da söyleyeyim yani. Yani şöyle belirli bir baskı oluşturuyorsunuz. İşte yapacaklarını yapmazsa bir sonraki konsorsiyumda yer alamıyorlar. Onun herkes bilincinde. **Peki organizasyonel kültürün etkisi oluyor mu?**

Muhakkak var tabii onu inkar edemeyiz. Almanlarla, İngilizlerle çalışırken herşey derli düzenli. Ne söz vermişlerse o yapılıyor. Şimdi biz Akdeniz ülkesiyiz. Yunanlılar, İtalyanlar, bizim Türkler ve alt sol şerit ülkeler var. İsrail iyi gerçi. Belki çok doğru bir örnek değil ama bunların felsefesi daha farklı. Çok fazla söz verip bir şekilde yaparım felsefesi yaygın. Yani bu çok daha az plan demek. Sonra da yapılması gerekenler masaya konduğu zaman, ya bunu böyle yapmasak böyle yapsak gibi orta yol bulma süreçlerini Akdeniz ülkeri ile çok daha fazla yaşıyoruz. Kuzey Avrupa' da bunu hiç yaşamıyorsunuz. Oraya ne yazmışsa onu bir şekilde yapıyor. Yani en azından yapmayayım başka türlü yapayım demiyor. Ama Avrupa Birliği'nin bir geleneği yavaş yavaş oluşmaya başladı. Bu işin içinde olanlar kavlıyor artık bunu. O gelenekte oluşuyor.

AB'nin önerdiği proje yönetim modeli var. Bu modelle bizim Türkiye'deki iş akış biçimlerimiz uyumu sizce nasıl hocam? Kurumunuz, kuralları, iş yapış biçimleri ile AB'dekiler ya da onun önerdiği proje yönetim modeli ile farklılıklar görüyorsunuz?

Esasında TÜBİTAK'ın 1007 projeleri, KAMAG projeleri var biliyorsunuz. Oraya da birkaç ortakla girmemiz gerekiyor. Yapı olarak onlarla AB projeleri tabiki farklı ama yani işin felsefesi benziyor. Orada da ortaklar var, orada da hangi ortağın neden sorumlu olduğu var. O tür bir işleyiş var. Tabii AB' ye göre bu işleyiş daha farklı olabiliyor. Yani bence TÜBİTAK'ın bu tür işbirliği projelerini desteklemesini ben olumlu buluyorum. Zaten bunun dışında pek işbirliği bizim Türkiye'de yok. O yönden bir zayıflık var. TÜBİTAK'ın desteklediği sadece o da KAMAG. KAMAG'da illa kamuya yönelik çalışma yapmanızı istiyor. Mesela daha bilimsel, yani sırf bilimsel yani 1001 gibi sırf bilimsel amaçlarla bu tür işbirliği projelerinin yaygınlaştırmamız

gerekiyor. Bu da TÜBİTAK'ın görevi. Eğer o daha da yaygınlaştırılırsa AB projelerine daha uyum sağlayacağımızı düşünüyorum. Çünkü 1001 ler çok spesifik. Yani o kuruma spesifik oluyor biliyorsunuz.

Bir de TÜBİTAK'ın MAM gibi bir kurumu var. Mesela bizim üniversite bundan muazzam derecede rahatsız. Ben hem destek veriyorum, sonra da kendi kurumum gidecek proje yürütücüsü olacak. Biz Çevre Bakanlığı ile ne zaman bir proje yaparsak, Çevre Bakanlığı aman bunun proje yürütücüsü TÜBİTAK MAM olsun diyor. Yani üniversite olarak bu bizi negatif etkiliyor. Yani bunların ortadan kalkması lazım. TÜBİTAK MAM'ın özerkleşmesi lazım, yani TÜBİTAK' tan ayrılması lazım. Yada bütçesi belli olsun, bizle rekabet etmesin. Benim proposal sunduğum kurumun kendi kurumu benimle rekabet ediyor.

Size başvuru sürecinde nelere dikkat etmek ya da bilmek, projenin başarılı olmasına yardımcı olur?

Şimdi bir kere girme süreci için, yani bir kere bilimsel olarak tanınmanız gerekiyor. Yani diyeceksiniz ki ya bilimsel olarak tanınmanın yöntemi de, uluslararası işbirliğinden geçiyor. Ondandan sonra yani çok fazla birşey beklemeden de belki bu projelere girmek lazım. Mesela benim ilk girdiğim proje öyleydi, ufaktı. İşte 100 bin avroluk bir bütçesi vardı. Yine de girdim. Yani niye girdim? Çünkü o projeye girip kendinizi gösterdiğiniz zaman başka kapılar da açılıyor. Yani ya 100 bin Avroya bu iş yapılır mı diye beklemeyip biraz da kendi katkılarınızla projeye başlarsınız. Yani girebiliyorlarsa girsinler. Yani ufak da olsa gelen bütçe. Çünkü orada kendinizi gösterirseniz bilimsel olarak, o konsorsiyumun hep içinde yer alıyorsunuz ve bu büyüyerek devam ediyor. Ama tabii ilk adımı bilimsel olarak, bir bilim üretirseniz bu tür projelere girme şansınız yükseliyor.

Networking de oradan geçiyor. Yani nereden geçiyor? İyi bilim üretiyorsunuz, bir konferansa çağrılıyorsunuz, gidiyorsunuz, sunuyorsunuz, insanlar görüyor. Ya da iyi bir yayın yapıyorsunuz, insanlar görüyor. O olmazsa, yani networking yapmakla, işte Brüksel'e toplantıya gitmekle olmuyor. Ona istediğin kadar git, kendini göster. Ama adamın ilk yapacağı şey internete girip senin CV'ne bakmak.

Daha az ön yargılı olmak lazım o zaman?

Kesinlikle. Yani bir kere o şeylere hiç katılmıyorum ben. İşte biz Türkiye'yiz, bizi proje yürütücüsü yapmıyorlar, almıyorlar, projenin nereye gideceği belli değil. Tam tersi. Sırf biz Türkiye aday ülke olduğumuz için hatta daha fazla bizi almak istiyorlar. Çünkü ona da önem veriyor Avrupa Komisyonu. Yani yaygın etkisini arttırmak istiyor projelerin ve aday üyelerin olmasına önem veriyor. Yani ben hakem olduğum için biliyorum.

Biraz da kurumunuzun bakış açısını merak ediyorum. Kurumunuzdaki yöneticilerin, yönetim kadrosunun AB fonlarına bakış açılarını siz nasıl görüyorsunuz?

Mesela konsorsiyum oluştu. Bu konsorsiyum oluşunca bir sürü toplantıya gitmeniz gerekiyor. Nasıl yazacaksınız. Hele projenin yürütücüsü olduğunuzu düşünün. Benim bir sürü insanı burda toplamam, bir sürü toplantıya gitmem lazım. Onun finansmanı yok. Üniversite bana bir kere finansman veriyor yılda bu tür bir toplantıya gitmek için. Benzer şey TÜBİTAK'ta da aynı. Çünkü bir kere gidiyorsun toplantıya, arkasını getiremiyorsun. İnsanlar soruyorlar sana, ya sen bu projenin yürütücülerinden birisin, gene toplanacağız, gelmeyecek misin? Yani başka projenin parasını onun için kullanıyorsunuz. Ondan sonra onu nasıl göstereceksiniz diye 40 tane takla atıyorsunuz. Yani böyle bir bütçe ayırıyorsunuz. Ciddi bir bütçede değil. Niye bir kere veriyor? Ben o konsorsiyumun içinde varsam, yani milyon avro düzeyinde para getiriyorum zaten proje olunca. Gerekirse benim projemin kurum hissesinden (overhead) al.

Yani üniversitenin bu konudaki teşvikleri biraz daha kısıtlı mı?

Yani yok zaten. Yani istiyoruz diyor üniversite sözlerinde, çok istiyoruz Avrupa Birliği projesi. Ama yani bunu yapmak için atılan adımlar yeterli değil bence. Daha fazla kaynak gerekiyor.

Ama yani genel olarak söylemlerine baktığınız zamanda desteklediklerini belirten söylemleri var üniversitenin?

Tabi tabi.

Peki hocam şöyle birşey sormak istiyorum. Yani gözünüzde yada siz bilirsiniz proje yürütmüş bir enstitü, fakülte ve üniversite ile AB projesi almış bir üniversite arasında bir fark oluyor mu?

Bir kere AB projesine katılan insan uluslararası düzeyde çalışıyor, inter disiplinler çalışıyor. Eğer uluslararası çalışırsanız, bilimsel kaliteniz sürekli artar. Kendi içinize kapanık bilim üretmeye çalışırsanız o artış limitli olur. Dolayısıyla bu bilimsel artışta, yani sadece prestij durup dururken artmıyor. Yayınınızla, katıldığınız toplantılarla, yetiştirdiğiniz insanlarla artıyor. Uluslararası düzeyde çalışınca yetiştirdiğiniz insanların kalitesi artıyor. Çeşitli toplantılara öğrencileriniz katılıyor, öğrenciler gidiyor, öğrenciler geliyor, öğrenciler değişiyor. Bütün bunlar birleşince prestij o zaman ortaya çıkıyor zaten. Sırf yayınlara bakıldığı zaman, uluslararası ortaklarla yapılmış yayınlar ortaya konduğu zaman zaten bu belli oluyor.

Proje başvurusu herhangi bir şekilde kabul edilmeyen meslektaşınız varmı?

Var.

Size neden kabul edilmiyor?

Bizim de kabul edilmediğimiz oldu. Bunun iki sebebi var. Birincisi geç kaldık birkaç kere. Yani işte yoğunluktan ötürü başka projelerimizin çok olması. İlgi duyduğumuz bir proje oldu mesela. Proje yürütücüsünü tanıdığımız halde iletişime geçtiğimiz zaman konsorsiyum başka kurumu aldı. Bir kere yani ilgi duyuyorsanız hızlı davranmanız gerekiyor. Birincisi o. İkincisi de eğer o konuda bilimsel alt yapınız yoksa o yüzden kabul edilmeyebiliyorsunuz. Ne katacağını gösteremezsen, kanıtlayamazsan giremiyorsun.

Projelerin sizin akademik ve profesyonel hayatınıza olumlu, olumsuz etkilerinden bahsedebilirmisiniz?

Olumsuz bir etkisini ben görmedim. Yani olumsuz etkisi ancak şu şekilde olabilir. İş yükünüz artıyor. Yani bilimsel iş yükünden bahsetmiyorum ben. Demin sizle konuştuğumuz işte yönetim yükü artıyor ve bu iyi birşey değil. Yani, ben bilimle

uğraşmak yerine, bu tür projelerin yönetimi ile uğraştığım zaman bir zaman kaybı benim için. O yönden bir negatiflik söz konusu. Ama pozitif tarafı çok çok daha fazla. İşte deminde dediğim gibi uluslararası düzeyde işin içinde olduğumuz zaman ordaki ilerlemeyi sürekli gözlemliyorsunuz, sürekli yeni fikirler ortaya çıkıyor, fikirlere katkıda bulunuyorsunuz ve bilimsel ilerleme çok daha etkili ve hızlı oluyor. Zaten bilimsel işbirliği niye yapılır? Bu yüzden yapılır değil mi. Herkes tecrübelerini, bilimsel bilgilerini paylaşsın diye. Tabi bu herşeye yansıyor ondan sonra. İşte demin dediğim gibi yaptığınız yayınlara yansıyor, ondan sonra ulusal düzeyde yürüttüğünüz projelere de bunları aktarıyorsunuz. O yönde bir katkısı oluyor. Bir sürü toplantıya çağrılmaya başlıyorsunuz, katılıyorsunuz. Bu işbirliğini daha da ileriye götürüyor.

Peki iş yapış biçimlerinizde değişiklik oluyor mu?

Oluyor muhakkak. Tabi oluyor. Daha planlı olmak zorunda oluyorsunuz. Ama dediğim gibi yani bilimsel yeteneklerim girdiğim AB projeleri sayesinde ciddi bir biçimde arttı.

Kurum içi ve kurum dışı ilişkileriniz açısından değişen şeyler oldu mu?

Tabi onu çok arttırıyor. Çünkü deminde dediğim gibi birçok ortakla çalıştığınız zaman yani o tür ilişkiler çok artıyor, çok daha ileriye gidiyor.

Peki üniversite içerisindeki ilişkilerinizde bir değişiklik oldu mu? Bir sürü projeyi yürütmenin getirdiği bir değişiklik?

Tabi biraz daha fazla kredimiz artıyor. İşte üniversite yöneticilerinin dikkatini çekiyorsunuz. Sizin tecrübelerinizden faydalanmak için onlarla ya da diğer ilgi duyan AB projesine girmeyen insanlar sizlere yaklaşıyor. Hatta bazılarıyla beraber de çalışmaya başladık. O yönden de olumlu, yani olumsuz bir etkisi olmuyor ama olumlu etkisi oluyor.

Tüm üniversiteyi düşünürsek hani üniversitedeki birimlere süreçlere etkisi oldu mu diyeceğim. Örneğin yeni bir birim olarak proje ofisi açıldı demiştiniz.

Tabi tabi ama yeterli değil işte. Yani bizim üniversite, yani benim verdiğim rakamlara güvenmeyin, AB projeleri ile bir şekilde ilintili çalışan %1 bile değil öğretim üyesi sayısı.

Peki projelerin getirdiği zorluklara adaptasyon için neler yapılması lazım size göre?

Ya işte bunlar şey cevaplaması zor sorular. Bunu düşünüyoruz hep. Bir kere şey insanları ürkütüyor. İşin getirdiği bürokratik yük. Yani ben bilsem ki buna girdiğim zaman sizin de dediğiniz finansal hiçbir şeyle ben uğraşmıyacağım. Parası geldiği gittiği benim derdim olmayacak. Bunların hepsini, bu yüklerin hepsini üniversite üzerimizden alırsa, bu bir kere ciddi bir adım olur. Ama bu üniversite ile bitmiyor. İşin için bakanlıklar giriyor, YÖK giriyor, TÜBİTAK giriyor. Biliyorsunuz öğretim üyesi olunca ders yükünüz yüksek. Her ne kadar bizim enstitü olarak sadece lisansüstü bir okul olduğumuzdan ötürü bu ders yükümüz daha düşük olsada, mesela Ankarada ki insanların ders yükü çok fazla. Araştırma yapan bu tür projelerde olan insanların ders yükünü azaltmanız lazım. TÜBİTAK biliyorsunuz bir parasal yardım yapıyor proje teşvik ikramiyesi adı altında. Ona giren insanlar bir parasal teşvikte alıyor. AB projesinde öyle birşey yok. O zaman ekstra çalıştığınızın parasını size üniversitenin verme yolunu bulması lazım.

Siz bu projelerin önemli olduğunu düşünüyor musunuz? AB projelerinin üniversiteler için.

Çok çok önemli. En önemlisi şimdiye kadar tekrar tekrar söylediğim uluslararası düzeyde çalışırsanız bilimsel ilerleme çok daha hızlı olur, kendi içimize kapanık ülke içine kapanık çalışırsanız bilimsel ilerleme çok daha yavaş olur. Bu ispatlanmış, bu güne kadar ortaya konmuş bir kural zaten. Yani herkes herkesin ilerlemesini, bilim paylaşarak büyür. Bu paylaşımı bu projeler sağlıyor. Yani daha global olmasını isteriz tabi, niye tek AB olsun. Japonya ile de çalışalım, Amerika ile de çalışalım. İşte bu kadar ülkeyi alıyorsunuz bir projenin içine, işte hantallaşılıyor proje. Doğru ama getirisi götürüsünden daha büyük bence kesinlikle.

ANNEX 3- AN EXAMPLE OF CODING A SCRIPT

1. Kurum Olarak AB Algılamaları

Bir kere bu benim kişisel görüşüm. AB ve AB üyesi ülkeler her konuda, mesela beni ilgilendiren konular bilim ve çevre diyelim. Bu konularda çeşitli standartlar var ve bu standartlar oturmuş durumda. Standartlar derken, kurallardan, hukuk kurallarından, normal kurallardan ve işleyiş kurallarından bahsediyoruz. Türkiyede'ki en büyük eksiklik bu bence. Bir standart yok. YÖK , TÜBİTAK ve Milli Eğitim Bakanlığı hergün şeyler değiştiriyor. Yani böyle biz Amerikayı yeniden keşfetmek için hergün uğraşyoruz. Hergün bürokrasi ile uğraşyoruz. AB'ye girersek ve AB standartlarını kabul edersek, gerek bilimsel konularda, gerek bürokratik konularda ve gerekse çevre konularında bu standartlar gelecek. Benim en fazla AB üyeliğini desteklememin nedeni bu. Çünkü biz adeta standartları olmayan bir ülke olarak var olmaya çalışıyoruz. Bu da bilimi çevreyi çok negatif yönde, inanılmaz negatif yönde etkiliyor. İnanılmaz zaman kaybı inanılmaz efor kaybı. Standart yok hiç birşeyde, yani el yordamı ile sürekli şeyler yapıyoruz. Hergün birşeyleri değiştiriyoruz. Çalışan bir sistemi sürekli değiştirir misiniz, değiştirmezsiniz. Çalışmıyor belli ki. YÖK, TÜBİTAK ve milli eğitimi durmadan değiştiriyoruz. Niye çalışmıyor? Bir türlü standartlarımızı oturtamadık.

2. AB Mali Yardımı Algılamaları

Mali yardım mı yapıyor bize?. Benim bildiğim biz bu havuza ciddi bir girdi yapıyoruz ülke olarak. Hatta o yaptığımız girdinin geri dönüşümü de olmuyor. Şöyle ben size söyleyeyim. Yaklaşık bundan 2 yıl önce TÜBİTAK bir toplantı yaptı. Çeşitli istatistikler ortaya koydular. Net rakamları ben hatırlıyamıyorum. Türkiyenin işte 6. Çerçeve programında havuza ne kadar ülke olarak bir para aktardığı ve bu paranın geri dönüşü. Aktarılan para ile geri dönüş arasında fark var. Biz aktardığımız kadarını geri döndüremedik. Hatta Başbakanlıkta çeşitli tartışmalar oldu ve belki 7. Çerçeve programına katılmAyacağımız dile getirildi. Ama o havuza aktarılacak parayı TÜBİTAK aracılığı ile dağıtsak daha iyi olmaz mı şeklinde çeşitli tartışmalar çıktı. Ve biz buna karşı çıktık. Biz dedik ki devam edelim. Niye devam edelim? Çünkü belki

biraz maddi olarak bir kaybımız var. Ama bu bizi yukarıya çekiyor. Bilimsel olarak kendimizi yukarıya çekiyoruz. O yüzden 7. Çerçeve'ye de girdide bulunsun dedik ve Türkiye 7. Çerçeveye dahil oldu.

3. Politika Hakkında Bilgi Kaynakları ve Kurumsal İç Süreç

(AB fonlarından genel olarak nasıl haberdar oluyorsunuz?)

İlk dönemlerde tabii bizim deniz bilimlerini çalışmamız bir şans oldu. Örneğin Akdeniz'i çalışacaksınız. Akdeniz'in İtalya, Yunanistan ve Fransa ile sınırları var. Akdeniz'i çalışacağınız zaman işte orada beraber çalıştığımız bilim insanları gelip bize ya bu tür bir proje var. Akdenizi çalışacaksak beraber çalışmamız gerekiyor. Daha çok ortaklarımızdan biz bunlardan haberdar olduk. Ama son dönemlerde artık bizim de bilinmemizden, yani bu tür konuları Türkiye' de çalışan kurum olduğumuzun fazlaca bilinmesinden, TÜBİTAK' taki işte üniversitelerdeki bu işle ilgilenen uzmanlarda sürekli bize bir bilgi akışı yapıyorlar. Çağrı çıkmadan dahi işte TÜBİTAK' tan ya böyle bir çağrı taslağı var buna girdi verir misiniz diye bizden uzman görüşü alıyorlar. Artık o çağrılar da biz şekillendiriyoruz. Mesela yeni bir proje aldık. 700 bin avroluk bir kısmının büyük ortaklarından biriyiz. O çağrının lobisini dahi yaptık biz. Yani AB komisyonu nezdinde böyle bir çağrı çıksın Akdeniz için şekli bu olsun. AB komisyonu buna göre çağrı oluşturdu.

(Başvurunun nasıl(hangi kuruma,nasıl bir proje başvurusu,formatı ne..vb) yapılması gerektiği genel olarak açık ve net bir süreç mi? Neden? Hangi açıdan?)

Biz proje teklifi yazmaya alıştık. Yani bir araştırma kurumu olmamızdan ötürü. Çağrıyı doğru anlamak, en büyük zorluk orda oluyor. Yani çağrıyı eğer biz şekillendirmemişsek dediğim gibi o çağrıyı anlamak, doğru okumak ve ona yönelik bir teklif yazmak. Orda böyle bir sıkıntı var tabii. Halende var

(Bunu süreç içerisinde yazarak yazarak mı tam olarak ne istendiği anlıyorsunuz?)

Avrupa Komisyonu' ndaki insanlarla iletişime geçmemiz gerekiyor. Onu yapanda genelde proje yürütücüsü oluyor. O projenin yürütücüsü hangi ülkedeki

kurumsa o kiři AB Komisyonu'ndaki insanlarla iletiřimde oluyor ve AB Komisyonu'nun ne istediđini dođru řekilde anlamaya alıřıyor. ünkü dođru okumazsanız ađrıyla, pek bir řansınız kalmıyor. AB nin kendi bir dili var. Onu anlamakta bařlı bařına bir uzmanlık meselesi. Her ne kadar bilimsel olarak birok řeyi anlasak da onların önceliklerini ok iyi takip etmemiz gerekiyor. Onların, Avrupa Komisyonu' nun öncelikleri esasında eřitli dokümanlarda yayınlanıyor. Onları da iyi takip etmek gerekiyor. Ama AB Komisyonu ile iliřki AB Komisyonu temsilcileri ile iliřki önemli.

(Kurumunuzdaki bařvuru süreci kısaca nasıl iřliyor? Biraz bahsedebilir misiniz? Bu sürece kimler, hangi birimler dahil oluyor? Ne tür prosedürler iřliyor?)

Bařvuruda bu problemlerin en azını yařıyoruz esasında. Bařvuru okta zor deđil. Proje yöneticileri olarak biz kendimiz yapabiliyoruz bařvuruyu. Üniversitenin bu merkezde bir proje yönetimi ofisi yok. Burda isterdik esasında.

Mesela ben AB' de de alıřtım. Fransa' da iki yıl alıřtım buraya gelmeden. Orada AB ofisi kavramı var ve bütün iřin bürokrasisini onlar yapıyor. Yönetim tarafının hepsini AB ofisi yapıyor. Siz görmüyorsunuz bile. Burada öyle deđil. Onların hepsini burdaki biz proje yürütücülerini yapıyoruz. İmza ve büteleme sürecini proje yürütücüsü yapıyor. Büte kısmı tam bir kabus. Bir audit (denetim) geldi denetlemeye. Burada oturduk 2-3 öğretim üyesi. Onlarla uğrařtık 1 hafta 15 gün. Bu tür hizmetlerin hepsini üniversitenin vermesi gerekiyor esasında. Her türlü müfredatı okuyup burda auditilerle (denetimcilerle) alıřtık. Ama bundan daha büyük sıkıntılar var esasında. Üniversitenin AB ofisi genişletilebilir. Belki ona özüm bulunur. Belki ama bizim Türkiye'nin yasaları bizi ok zorluyor.

4. İlgili Aktörler-Karar Alma Yapısı

(AB bařvuru ařamasında proje yürütücüsünden ve kurumdan ne bekliyor? AB size göre nasıl bir bařvuruyu bařarılı olarak deđerlendiriyor?)

O kadar ok kriteri var ki bunun. Yani hakemlikte yaptığım için hepsi bize veriliyor zaten. Nelere dikkat edeceksiniz. Yani bir kere projenin özgün ve orjinal olması

gerekiyor. Yani daha önce yapılmamış olması gerekiyor. Yapılan şeylerin üzerine inşa edilmemiş olması gerekiyor. Ve onun dışında (integrated) büyük projelerden bahsediyorsak işbirliği çok önemli. Yaygın işbirliği olması lazım. Ülkeler arasında belirli bir denge olması lazım. O konuda uzman o ülkedeki uzmanların proje içinde yer almasını bekliyorlar. Onun dışında impact yani etki, Avrupa Birliği'ne nasıl bir katkı sağlayacak onları çok dikkatli yazmanız çok iyi ortaya koymanız gerekiyor. Uygulanabilirliğini çok çok iyi göstermeniz gerekiyor. Çok çok iyi bir proje yazabilirsiniz, uygulanabilirliği eksikse o zamanda o proje geçmiyor. Yani kabaca bunlar.

5. Destekleyici Resmi Kurum Algılamaları

(Başvuru süreci ile ilgili bir şey danışmak istediğinizde bir soru sormak istediğinizde birilerinden ya da herhangi bir kurumda destek aldınız mı? Ne gibi bir destek alıyorsunuz?)

Koordinatör değilseniz, Konsorsiyum lideri ülkenin temsilcisinden bilgi alınıyor. Koordinatörse Avrupa Komisyonu'ndan den bilgi alınıyor.

(Siz kendi deneyiminiz düşündüğünüzde sizce bu destekler yeterli ve ve efektif oluyor mu?)

Tam olmuyor tabi. Biz o yönlerden çok mutlu değiliz. Çünkü işin içine bürokrasiyi sokuyorsunuz sonuçta. AB Komisyonu' nun öncelikleri işin içine giriyor bilimsel öncelikler yerine. Yani biraz orada bizde bazı şeylerin etrafından dolanmak zorunda kalıyoruz. Çok da efektif bir yöntem değil. Daha iyisi nasıl olur dersanız ona bir cevabım yok.

(Yardımanın efektif olmamasının nedeni onların sadece bürokrasisi mi?)

Yani politika giriyor işin içine. Mesela bir çağrı çıkıyor. O çağrının amacı sadece bu bilimsel çalışmaları yapın değil. Yönetim ayağı var işin içinde. Yani işte AB Komisyonu'nun önceliklerini de göz önüne alarak, işte üst yöneticilere yaptığımız çalışmaları bir girdi olarak aktarma kısmı. Biz bilim insanları buna alışık değiliz. Bu

güne kadar öyle çalışmadık. Onu doğru da algılayamayabiliyoruz her zaman. Bu tür bir girdi vermeye de alışık değiliz.

Proje yönetiminin AB yöneticilerine direk girdi sağlaması gerekiyor. AB Komisyonu'nun yeni yöntemi bu. 'Process oriented' diyorlar buna. Çağrı da araya iki satır öyle bişey sıkışıyor mesela. Biz onun tam olarak bizden ne beklediğini her zaman anlayamayabiliyoruz. O zaman işte dediğim gibi komisyon yöneticilerinden girdi gerekiyor. Tam olarak ne dediğini ne şekilde girdi istediğini algılayabilmek için. Mesela ben AB de uzman olarak hakemlik yapıyorum. Oldukça şeffaf bir değerlendirme süreci var. Ben kesinlikle kimin alınacağı belli görüşüne katılmıyorum. İyi yazan, iyi bir grup kuran ve hak eden alıyor.

(TÜBİTAK,ABGS,AB gibi resmi kurumların başvuru sürecinde bir rolü oluyor mu?Nasıl?Proje Yönetim sürecinde,nasıl?)

Oluyor, yardım olmuyor diyemem ama onların tecrübeleri de limitli. Mesela TÜBİTAK'ın yazım aşamasında bize pek bir yardımı olmuyor. Ama TÜBİTAK iyi niyetli. Bu konularda en fazla farkındalığa sahip olan kurum da TÜBİTAK. Şikayet etmek istemiyorum ama kadro sayıları ve kadrolarının bilimsel konulardaki uzmanlığı yetersiz. Yani gene Fransaya gidip bir örnek verecek olursam orda bizim konularda uzman birisi ordaki TÜBİTAK'ın karşılığı olan kurumda çalışıyor. Deniz bilimini bilen var veya başka her konuda çalışan uzmanlar var. Bu uzmanlar teknik olarak o projeyi düzeltbildiği gibi o konularda ne tür çağrılar açılıyor açılacak bunun takibini de yapıyorlar.

Bizde çevre diye gidiyor. Çevre konusunda birkaç tane uzman arkadaş var. Hepsi ile tanışıyor görüşüyoruz. Hepsi de iyi niyetliler. Çoğu çevre mühendisliği mezunu petrol mühendisliği mezunu arkadaşımızda var. Ama bizim konudan anlamıyor. Neye dikkat etmem gerekiyor, ne yapmam gerekiyor, nasıl yazmam gerekiyor mümkün değil onun bana yardımcı olabilmesi. Yani uzmanlık yelpazesini genişletmesi lazım TÜBİTAK'ın. Yani her konuda uzman insanı Avrupa' da nasıl varsa bizde de YÖK'te de olacak, TÜBİTAK'ta da olacak, Çevre Bakanlığı'nda da olacak. Olması gerekiyor. Yani bu tür kadroların kesinlikle sağlanması lazım. Yani bunun farkına varmamız

gerekiyor. Çevre konusunda beş tane uzmanım var diyip işi bitiremezsiniz. Mümkün değil.

6. Resmi Olmayan Kurum, Grup, Kişi Algılamaları

(Peki başka resmi olmayan kurumlardan yardım alıyormusunuz?Ya da aklınıza tüm bu adaptasyon süreçlerinde kurumunuza destek veren)

Biz almıyoruz.

7. Diğer Kişilerle, Gruplarla, Kurumlarla Etkileşim-Başvuru Ve Proje Yönetim Süreci

(Çağrının yayımlanma tarihinden sonra başvuruyu yapmak için ne kadar zamanınız oluyor? Sizce yeterli bir süre mi?)

Değil, zaten çağrı yayımlandıktan sonra konsorsiyum oluşturmaya ve yazmaya başlarsanız geç kalırsınız. Yani çağrı çıkmadan o çağrının ne olacağını herkes biliyor. Biz yeni çağrı çıkmadan iki ay önce yeni bir konsorsiyum oluşturduk. Çağrı çıktığı zaman bizim elimizdeki taslak çağrı ile son çıkan çağrı arasında %10 - %20 lik bir fark oluyor. Ufak tefek düzeltmelere gidiyor AB Komisyonu. Zaten çağrı çıktıktan sonra konsorsiyum kuramazsınız. Zaman konsorsiyum kurup yazmaya yeterli olmaz. Zaten insan bulamazsınız konsorsiyuma katılacak.

(Bu kısıtlı zamanda başka kişilerle çalışırken size göre en önemli faktörler neler oluyor?)

Hocanın yukarıdaki ve aşağıdaki yorumlarından çıkan sonuçlar: kurumlar, kişiler arası iletişim ve proje yürütücüsünün rolü çok önemli oluyor.

Kurumunuzda sizce bu süreçte kişiler, birimler arasındaki iletişim ve etkileşimin genel özellikleri neler? Sizce bu yönde geliştirilmesi gereken yönler var mı? Neler?

Burada esasında proje yürütücüsüne çok ciddi bir rol düşüyor. Onun sebebi de şu: Farklı iş paketleri olur her bu tür büyük projeleri kurarken. O farklı iş paketlerinin

sorumlularını, doğru şekilde oluşturup, o iş paketinin yapısını doğru şekilde oluşturursanız o süreç hızlı geçer. Bunu yapamazsanız bir karmaşanın içinde gidirsiniz. Tabii orada sizin insanları iyi tanımanız, yani geçmişinizin olması gerekiyor ki o iş paketini gerçekleştirebilesiniz. İş paketini oluştururken herkesin görüşlerini alıyorsunuz. Ama gene 3-5 kişilik bir temel çalışma grubu oluşturmanız gerekiyor her konsorsiyumda. Bu çalışma grubunun bir tanesinde ben varım mesela. Şimdi gidip görüşeceğiz. Bu çalışma grubunu çok yaygın tutamıyorsunuz. 10 kişilik bir çalışma bir yazım grubu oluşturmanız gerekiyor. Bunu 30 kişilik bir proje yazma grubu yaparsanız işin içinden çıkamazsınız. Biraz böyle tepeden inma davranmanız gerekiyor. Yani o şart.

Yani dar bir grupla o projenin iskeletini oluşturmanız gerekiyor. O projenin iskeletini oluşturduktan sonra doğru noktalara doğru insanları koyup onların sorumluluğunun da belirlenmesi gerekiyor. Ufak tefek girdiler revizyonlar her partnerden bekliyorsunuz. Ama genel yazım şekli yani böyle bir 10 kişilik dar bir grubun yürütmesi ve o grubun tabiki yetilerinin yüksek olması gerekiyor. Bunları da tanımanız gerekiyor. Proje yürütücüsünün teknik ve kişisel özellikleri çok önemli. Çok organize biri olmalı ve iyi bir yönetici olmalıdır. Bilimsel saygınlık çok önemli. O yoksa bilimsel kredibilitesi yoksa güçlü insanları etrafında toplayamaz. İnsanlar başka yere yönelir. Onun dışında iyi bir yönetici ve organizatör olmalı. İnsanları bir noktada buluşturma ve uzlaştırma yetisine sahip olması gerekiyor.

Hele hele iş bölümü ve bütçelemeye gelince ortalık felaket birbirine giriyor. Orada yani artık kendi inisiyatifi insanların ona bırakması gerekiyor. Bunun içinde o insanın yöneticilik ve bilimsel yetilerinin çok yüksek olması gerekiyor. Yoksa kaotik bir şekilde ilerliyorsunuz.

Orada da gene işte bu defa iş paketi yöneticileri devreye giriyor. Yani iş paketi toplantılarını düzenli yaparsanız, iş paketindeki ortaklarla iş paketi yöneticisi iletişimi üst düzeyde tutarsa sorunlar azalır. Her iş paketi için 6 ayda bir toplantı yapmalısınız.

(Bazı AB fonları ortaklı projelere fon verebiliyor. Sizin hiç başvuru aşamasında başka kurumlarla ihtiyacınız oldu mu? Birlikte başvuruya hazırlanmak,proje

yürütmek sizce ne kadar kolay ne kadar zor? Birlikte çalışırken ne tür problemler çıkıyor,nasıl bertaraf ediyorsunuz?)

Ama sıkıntılara gelince tabiki bir sürü ortakla çalışıyorsunuz. Herkes aynı şekilde ilerlemiyor. Bazısı yapması gerekenleri çok daha hızlı yaparken diğerleri geri kalıyor. Bazı insanlar bazı kurumlar geri kaldığı zaman ister istemez sizi etkiliyor.

Profil olarak baktığımızda Kuzey Avrupa daha iyi daha hızlı genel olarak. Bizim Akdeniz ülkeleri ve aday ülkelere doğru ilerlediğimiz zaman yavaşlama oluyor. Uzman kadrolarda olan sıkıntılardan dolayıda yavaş ilerliyor.

Kültürel olarak değil de, bilmemek yani uzmanlık. Almanya' da bir deniz bilimleri enstitüsünün 500 tane kadrosu var. 500 tane araştırmacıları var, geleneksel olarak bu işi yapıyorlar. Çok ciddi bir bilgi birikimleri bilimsel alt yapıları var. Doğuda, doğu derken ben kendimizde buna katıyorum, yani biz çok zayıfız. Kadro olarak zayıfız. Hiçbir zaman için Türkiye daha az iş yapsın aynı iş paketinde aynı konuda Fransa daha fazla iş yapsın o konuda diyemezsiniz. Herkes katkısını sunsun deniliyor. Onun bilimsel alt yapısı, uzmanlığı ile sizinki aynı olmuyor. O çok daha hızlı ilerlerken siz daha yavaş ilerliyorsunuz. Bu da sıkıntılara yol açıyor tabiki.

(Peki fonlara başvuruyu hazırlama ve sunma sürecinde kişiler arasında, kurumlar arasında ikna süreci önemli oluyor mu?Hangi durumlarda?)

Çok yapacağınız bişey de olmuyor esasında. Onuda söyleyeyim yani. Yani şöyle belirli bir baskı oluşturuyorsunuz. İşte yapacaklarını yapmazsa bir sonraki konsorsiyumda yer alamıyorlar. Onun herkes bilincinde.

8. Organizasyonel Kültürün Etkisi

Resmi olmayan ama kurum içinde paylaşılan informal değerlerin,normların,fikirlerin başvuru sürecini veya proje yönetim sürecini kolaylaştırıcı ya da zorlaştırıcı etkisi olabilir mi?Hangi yönden?

Muhakkak var tabi onu inkar edemeyiz. Almanlarla, İngilizlerle çalışırken herşey derli düzenli. Ne söz vermişlerse o yapılıyor. Şimdi biz Akdeniz ülkesiyiz.

Yunanlılar, İtalyanlar, bizim Türkler ve alt sol şerit ülkeler var. İsrail iyi gerçi. Belki çok doğru bir örnek değil ama bunların felsefesi daha farklı. Çok fazla söz verip bir şekilde yaparım felsefesi yaygın. Yani bu çok daha az plan demek. Sonra da yapılması gerekenler masaya konduğu zaman, ya bunu böyle yapmasak böyle yapsak gibi orta yol bulma süreçlerini Akdeniz ülkeri ile çok daha fazla yaşıyoruz. Kuzey Avrupa' da bunu hiç yaşamıyorsunuz. Oraya ne yazmışsa onu bir şekilde yapıyor. Yani en azından yapmayayım başka türlü yapayım demiyor. Ama Avrupa Birliği'nin bir geleneği yavaş yavaş oluşmaya başladı. Bu işin içinde olanlar kavriyor artık bunu. O gelenekte oluşuyor.

Ama Avrupa Birliği'nin bir geleneği yavaş yavaş oluşmaya başladı. Bu işin içinde olanlar kavriyor artık bunu. O gelenekte oluşuyor.

9. Proje Yürütücüsünün Rolü

(Sizce iyi bir proje başvurusunda proje yürütücüsünün temel nitelikleri nasıl olmalıdır?Neden?)

Proje yürütücüsünün teknik ve kişisel özellikleri çok önemli. Çok organize biri olmalı ve iyi bir yönetici olmalıdır. Bilimsel saygınlık çok önemli. O yoksa bilimsel kredibilitisi yoksa güçlü insanları etrafında toplayamaz. İnsanlar başka yere yönelir. Onun dışında iyi bir yönetici ve organizatör olmalı. İnsanları bir noktada buluşturma ve uzlaştırma yetisine sahip olması gerekiyor.

Hele hele iş şeye gelince iş bölümü ve bütçelemeye gelince ortalık felaket birbirine giriyor. Orda yani artık kendi inisiyatifi insanların ona bırakması gerekiyor. Bunun içinde o insanın yöneticilik ve bilimsel yetilerinin çok yüksek olması gerekiyor. Yoksa kaotik bir şekilde ilerliyorsunuz.

10. Uyumsuzluk Algılamaları

Bir kurum olarak AB'nin kuralları,değerleri,iş yapış biçimleri bizim sistemimiz içindeki kurumların kuralları,değerleri, iş yapış biçimlerine benziyor mu? Hangi yönlerden?Eğer bir farklılık görüyorsanız bir adaptasyon baskısı olurduğunu düşünüyor musunuz?

Mesela ben AB' de de çalıştım. Fransa' da iki yıl çalıştım buraya gelmeden. Orada AB ofisi kavramı var ve bütün işin bürokrasisini onlar yapıyor. Yönetim tarafının hepsini AB ofisi yapıyor. Siz görmüyorsunuz bile. Burada öyle değil. Onların hepsini burdaki biz proje yürütücüleri yapıyoruz. İmza ve bütçeleme sürecini proje yürütücüsü yapıyor. Bütçe kısmı tam bir kabus. Bir audit (denetim) geldi denetlemeye. Burada oturduk 2-3 öğretim üyesi. Onlarla uğraştık 1 hafta 15 gün. Bu tür hizmetlerin hepsini üniversitenin vermesi gerekiyor esasında. Her türlü müfredatı okuyup burda auditçilerle (denetimcilerle) çalıştık. Ama bundan daha büyük sıkıntılar var esasında. Üniversitenin AB ofisi genişletilebilir. Belki ona çözüm bulunur. Belki ama bizim Türkiye'nin yasaları bizi çok zorluyor.

Mesela benim bir tane yeni başlayan 7. Çerçeve projem var. Geçen kasımda başladı. AB Komisyonu daha para göndermedi. Ama üniversite buna imza atıyor ve üniversite bunun finansmanından sorumlu. Avrupa'da her üniversitenin havuzu var. Finansal kaynaklar bu havuzdan sağlanır. Gelen para bu havuza giriyor. Siz AB Komisyonu'ndan para geldimi gelmedimi bilmiyorsunuz bile. İlgilendirmiyor da zaten. Üniversite sadece parayı doğru harcıyo rmuyum ona bakıyor. Biz burada para bekliyoruz. Üniversiteden para istiyorum ben, bana proje için borç vermesi için. Nereden vereceğim, hangi bütçe kaleminden vereceğim diyor. Bir tane emanet hesabı oluşturdular. Maliye Bakanlığı ona da bir sürü kural getirdi. Emanet hesap nasıl kullanılır diye. Örneğin projenin ilk ödemesi gelmeden personel çalıştırmaya başlayamazsınız diyor. Elimizi kolumuzu bağlıyor. Emanet hesap için Maliye Bakanlığı' nın kuralları var. Bütçe harcaması için üniversite ile ilgili kuralları var. Projelerle ilgili değil. Overhead den kalan parayı emanet havuzunda topluyoruz. Başka havuzumuz yok. Emanet hesap için çeşitli kuralları var. O kurallar o kadar garipki. Hiçbir şey yapamıyorsunuz.

Final ödemesi proje bittikten sonra geliyor. Yaklaşık 20 bin avro civarı bir final ödemesi var. O final ödemesini de benim önceden harcamam gerekiyor ki o rapora koyayım. Harcayamıyorum çünkü üniversite o parayı bana vermiyor. O para gelmeden ben 20 bin avro isteyince, bütçe kısılmış oluyor, o zamanda overhead düşmüş oluyor. Üniversite bana senin finansal raporun kabul edilmedi ve final bütçenden kesinti oldu,

ben onu nerden finanse edeceğim diye soruyor? Üniversitenin bunu overhead den karşılaması gibi bir yasal yöntemi yok.

Ben 20 bin avro harcadım final ödeme için. Final ödeme için 20 bin avro gelecek. Ben finansal raporumu sundum. Dedilerki şu şu kalemleri yanlış harcadım. Sana 10 bin avro veriyoruz. Üniversite diyorki 10 bin avroluk açığı karşılayamam. Overhead ile bu 10 bin avroluk açığı kapatmamıza izin vermiyorlar. Maliye bakanlığı izin vermiyor.

Üniversite overhead in %2.5 ini alıyor geri kalanlar enstitüye kalıyor. Overhead den personel çalıştırmıyorlar. Ona kesinlikle üniversite izin vermiyor. AB projelerinde personel kalemi yok. Finansal sıkıntılar çok fazla. Ülke kuralları AB kurallarına uymuyor.

11. Kurumun Bilişsel Bileşenleri Giriş

(Sizce başvuru sürecinde nelere dikkat etmek ya da bilmek, projenin başarılı olmasına yardımcı olur?)

Bir kere girme süreci için, yani bir kere bilimsel olarak tanınmanız gerekiyor. Yani diyeceksiniz ki ya bilimsel olarak tanınmanın yöntemi de, uluslararası işbirliğinden geçiyor. Ondan sonra yani çok fazla birşey beklemeden de belki bu projelere girmek lazım. Mesela benim ilk girdiğim proje öyleydi, ufaktı. İşte 100 bin avroluk bir bütçesi vardı. Yine de girdim. Yani niye girdim? Çünkü o projeye girip kendinizi gösterdiğiniz zaman başka kapılar da açılıyor. Yani ya 100 bin avroya bu iş yapılır mı diye beklemeyip birazda kendi katkılarınızla projeye başlarsınız. Yani girebiliyorlarsa girsinler. Yani ufakta olsa gelen bütçe. Çünkü orda kendinizi gösterirseniz bilimsel olarak, o konsorsiyumun hep içinde yer alıyorsunuz ve bu büyüyerek devam ediyor. Ama tabi ilk adımı bilimsel olarak, bir bilim üretirseniz bu tür projelere girme şansınız yükseliyor.

Networking de ordan geçiyor. Yani nerden geçiyor. İyi bilim üretiyorsunuz, bir konferansa çağrılıyorsunuz, gidiyorsunuz, sunuyorsunuz, insanlar görüyor. Yada iyi bir yayın yapıyorsunuz, insanlar görüyor. Şimdi o olmazsa, yani networking yapmakla, işte

Brüksel'e toplantıya gitmekle olmuyor. Ona istediğin kadar git, kendini göster. Ama adamın ilk yapacağı şey internete girip senin cv ne bakmak.

(Peki başvuru sürecinde,projenin başarılı olması için kurumda olması gerektiğini düşündüğünüz nitelikler,kapasiteler var mıdır,neler olabilir?Ya da başvurunun başarılı olmasında kurumunuzun sahip olduğu hangi unsurların avantaj olduğunuz söyleyebilirsiniz?)

Bilimsel altyapısı,daha önce yaptığı uluslararası işbirlikleri ve tanınırlığı çok önemli.

12. Yönetimin Bakış Açısı

(Size fonlara başvurmak için kurumunuzdaki yönetim tarafından herhangi bir teşvik, motivasyon sağlanıyor mu? Neler?)

Yani yok zaten. Yani istiyoruz diyor üniversite sözlerinde, çok istiyoruz Avrupa Birliği projesi. Ama yani bunu yapmak için atılan adımlar yeterli değil bence. Daha fazla kaynak gerekiyor.

Peki neler yapılması lazım, üniversitenin teşvik etmesi lazım ama başka türlü herhalde, buna bir kaynak ayırması lazım daha fazla. Ya işte bunlar şey cevaplaması zor sorular. Bunu düşünüyoruz hep. Bir kere şey insanları ürkütüyor. İşin getirdiği bürokratik yük. Yani ben bilsem ki buna girdiğim zaman sizin de dediğiniz finansal hiçbir şeyle ben uğraşmıyacağım. Parası geldiymiş gittiymiş benim derdim olmayacak. Bunların hepsini, bu yüklerin hepsini üniversite üzerimizden alırsa, bu bir kere ciddi bir adım olur. Ama bu üniversite ile bitmiyor. İşin için bakanlıklar giriyor, YÖK giriyor, TÜBİTAK giriyor. Biliyorsunuz öğretim üyesi olunca ders yükünüz yüksek. Her ne kadar bizim enstitü olarak sadece lisansüstü bir okul olduğumuzdan ötürü bu ders yükümüz daha düşük olsa da, mesela Ankara'da ki insanların ders yükü çok fazla. Araştırma yapan bu tür projelerde olan insanların ders yükünü azaltmanız lazım. TÜBİTAK biliyorsunuz bir parasal yardım yapıyor proje teşvik ikramiyesi adı altında. Ona giren insanlar bir parasal teşvik de alıyor. AB projesinde öyle birşey yok. O zaman ekstra çalıştığınızın parasını size üniversitenin verme yolunu bulması lazım.

(Fonlara başvururken yönetim açısından karşılaştığınız limitler oluyor mu? Nelerdir? Bu durumda neler yapıyorsunuz, nasıl çözüyorsunuz?)

Mesela konsorsiyum oluştu. Bu konsorsiyum oluşunca bir sürü toplantıya gitmeniz gerekiyor. Nasıl yazacaksınız? Hele projenin yürütücüsü olduğunuzu düşünün. Benim bir sürü insanı burda toplamam, bir sürü toplantıya gitmem lazım. Onun finansmanı yok. Üniversite bana bir kere finansman veriyor yılda bu tür bir toplantıya gitmek için. Benzer şey TÜBİTAK'ta da aynı. Çünkü bir kere gidiyorsun toplantıya, arkasını getiremiyorsun. İnsanlar soruyorlar sana, ya sen bu projenin yürütücülerinden birisin, gene toplanacağız, gelmeyecek misin? Yani başka projenin parasını onun için kullanıyorsunuz. Ondan sonra onu nasıl göstereceksiniz diye 40 tane takla atıyorsunuz. Yani böyle bir bütçe ayırıyorsunuz. Ciddi bir bütçede değil. Niye bir kere veriyor? Ben o konsorsiyumun içinde varsam, yani milyon avro düzeyinde para getiriyorum zaten proje olunca.....

13. Kurumsal Strateji Ve Misyonların Etkisi

(Kurum stratejilerinizle AB'nin bu proje ile sizden bekledikleri uyumlu mu? Uyumun ya da uyumsuzluğun proje başvurularında nasıl bir etkisi oluyor?)

Çevre konusuna gelirsek, özellikle son dönemlerde, işte biliyorsunuz doğal kaynakları, doğayı tanımadığımız için çevreyi tanımadığımız için doğal kaynakları yanlış kullandık. Benim konum deniz ve okyanus, gerek okyanus gerekse karasal kaynakları eko sistemi tanımadığımız için yanlış kullandık ve birçok şeye ulaştık. Bu da çok ciddi bir ekonomik külfet getirdi ve değişen iklime o da insanın etkisi. Yani onu da kaynakların yanlış kullanımı olarak görebiliriz aynı şemsiye altında. Oradaki kaynakların, işte petrolü alıyorsunuz, yakıyorsunuz karbon artıyor ve buna bağlı olarak dünya ısınıyor. Yani gittiğimiz yer belli. Bir felakete doğru gidiyoruz. Bütün bunlarında farkındalığın artması ile çevre ve iklim konusunda AB çok ciddi bir bütçe ayırdı. AB bu konularda bütçe artışına gitti. Bizim gibi bir kurum için bu çok iyi. Çünkü bizde bu konularda çalışıyoruz.

14. Prestij Sağlama,Onaylanma,Kendine Görünürlük Yaratma Gibi Gibi İsteklerin Etkisi

Şimdi bir kere AB projesine katılan insan uluslararası düzeyde çalışıyor, inter-disipliner çalışıyor. Eğer uluslararası çalışırsanız, bilimsel kaliteniz sürekli artar. Kendi içinize kapanık bilim üretmeye çalışırsanız o artış limitli olur. Dolayısıyla bu bilimsel artışta, yani sadece prestij durup dururken artmıyor. Yayınınızla, katıldığınız toplantılarla, yetiştirdiğiniz insanlarla artıyor. Uluslararası düzeyde çalışınca yetiştirdiğiniz insanların kalitesi artıyor. Çeşitli toplantılara öğrencileriniz katılıyor, öğrenciler gidiyor, öğrenciler geliyor, öğrenciler değişiyor. Bütün bunlar birleşince prestij o zaman ortaya çıkıyor zaten. Sırf yayınlara bakıldığı zaman, uluslararası ortaklarla yapılmış yayınlar ortaya konduğu zaman zaten bu belli oluyor.

15. AB Mali Yardımının Kişiyeye Etkileri

(AB mali yardımı, projenin başvuru, yönetim süreçlerinin akademik ve profesyonel hayatınıza olumlu ya da olumsuz etkileri oldu mu? Tarif edebilir misiniz?)

Olumsuz bir etkisini ben görmedim. Yani olumsuz etkisi ancak şu şekilde olabilir. İş yükünüz artıyor. Yani bilimsel iş yükünden bahsetmiyorum ben. Demin sizle konuştuğumuz işte yönetim yükü artıyor ve bu iyi birşey değil. Yani ben bilimle uğraşmak yerine, bu tür projelerin yönetimi ile uğraştığım zaman bir zaman kaybı benim için. O yönden bir negatiflik söz konusu. Ama pozitif tarafı çok çok daha fazla. İşte deminde dediğim gibi uluslararası düzeyde işin içinde olduğumuz zaman ordaki ilerlemeyi sürekli gözlemliyorsunuz, sürekli yeni fikirler ortaya çıkıyor, fikirlere katkıda bulunuyorsunuz ve bilimsel ilerleme çok daha etkili ve hızlı oluyor. Zaten bilimsel işbirliği niye yapılır? Bu yüzden yapılır değil mi? Herkes tecrübelerini, bilimsel bilgilerini paylaşsın diye. Tabi bu herşeye yansıyor ondan sonra. İşte demin dediğim gibi yaptığınız yayınlara yansıyor, ondan sonra ulusal düzeyde yürüttüğünüz projelere de bunları aktarıyorsunuz. O yöndende bir katkısı oluyor. Bir sürü toplantıya çağrılmaya başlıyorsunuz, katılıyorsunuz.

(Peki iş yapış biçimlerinize bir etkisi oldu mu? Örneğin her şeyin çok planlı bir biçimde takip edilmesi gerekiyor? Eğer oldu ise neler değişti?)

Oluyor muhakkak. Tabii oluyor. Daha planlı olmak zorunda oluyorsunuz. Ama dediğim gibi yani bilimsel yeteneklerim girdiğim AB projeleri sayesinde ciddi bir biçimde arttı.

(Kurum içi,kurum dışı İlişkilerinizde nasıl bir etkisi oldu?)

Tabii onu çok arttırıyor. Çünkü deminde dediğim gibi birçok ortakla çalıştığınız zaman yani o tür ilişkiler çok artıyor, çok daha ileriye gidiyor. Şimdi tabii biraz daha fazla yani kredimiz artıyor. İşte üniversite yöneticilerinin dikkatini çekiyorsunuz. Sizin şeylerinizden tecrübelerinizden faydalanmak için onlarla yada diğer ilgi duyan AB projesine girmeyen insanlar sizlere yaklaşıyor. Hatta bazılarıyla beraberde çalışmaya başladık. O yönden de olumlu, yani olumsuz bir etkisi olmuyor ama olumlu etkisi oluyor.

16. AB Mali Yardımının Kuruma Etkileri

AB mali yardımı, projenin başvuru,yönetim süreçlerinin kurumuzdaki birimlere,süreçlere etkisi olumlu olumsuz etkisi oldu mu?Hangi açıdan?

Hocanın söylediklerinden çıkardığım: Araştırmalar Koordinatörlüğü altında faaliyet gösteren Proje Destek Ofisi, ulusal ve uluslararası projelerle ilgilenen iki alt birimden oluşmaktadır. Birimler, araştırma projelerinin proje geliştirme, yazma, başvuru ve yürütme aşamalarında danışmanlık hizmeti vermektedir. Fakat hocamız bu ofisi yeterli bulmamaktadır. Projeler ile üniversitede “Başvuru ve Yürütme Süreci” adı altında prosedür geliştirilmiş. Proje özel hesabının nasıl kullanılacağı,overhead ile ilgili süreçleri var.

(Kurumunuzda bu projeler ile kollektif anlayışlarda,bakış açılarında değişim oldu mu?Olumlu ya da olumsuz örnekler var mı?Biraz açabilir misiniz?)

En önemlisi şimdiye kadar tekrar tekrar söylediğim uluslararası düzeyde çalışırsanız bilimsel ilerleme çok daha hızlı olur, kendi içimize kapanık ülke içine kapanık çalışırsanız bilimsel ilerleme çok daha yavaş olur. Bu ispatlanmış, bu güne kadar ortaya konmuş bir kural zaten. Yani herkes herkesin ilerlemesini, bilim paylaşılarak büyür. Bu paylaşımı bu projeler sağlıyor.

(Projelerle kurumun dışarı ile olan ilişkilerinde olumlu olumsuz deęişimler oldu mu?)

Avrupa Komisyonu'nun son dönemlerde geniş çerçeve programlarına önem vermesi ve türkiyeninde buna dahil olması bizim adeta yapımızı deęiştirdi. Nasıl deęiştirdi. Ondanda örnek vereyim. Amerika ile işbirliği içinde çalışıyorduk. Avrupa ile pek işbirliğimiz yoktu. Hatta 10-15 yıl öncesine kadar minimal düzeydeydi. Yani gene çerçeve programları vardı ama bu şekilde çerçeve programlarına dahil olamıyorduk. İşte NATO o zamanlar bize destek veriyordu. Amerika'nın NFS, ONR programları ile Amerika ile çok ciddi işbirliğimiz vardı. Özellikle bu Avrupa Komisyonu'nun çerçeve programlarına ciddi bir ağırlık vermesi ve bizim de bunlara katılım sağlamamız ülke olarak bizi çok rahatlattı. Tüm Avrupa ile biz işbirliği içindeyiz. Projelerimizin bütçe tutarının yarısını ulusal kaynaklardan alıyorsak, diğer yarısını AB' den alıyoruz şu anda. Bizim her yıl getirdiğimiz AB projesi bütçesi 1 milyon avro dur. Şu anda 3-4 milyon avroluk projemiz var. Yani biz çok olumlu bakıyoruz..Bir kere bu benim kişisel görüşüm.

ANNEX 4- AN EXAMPLE THEMING THE CODES

1. THEME 1: AB ve AB Katılım Öncesi Mali Yardım Politikası Algılamaları
 - Kurum Olarak AB Algılamaları (Code No: 1)
 - AB Katılım Öncesi Mali Yardımı Algılamaları (Code No: 2)
2. THEME 2: Kurumlar Arasında Uyumsuzluk Algılamaları
 - Uyumsuzluk Algılamaları (Code No:10)
3. THEME 3: Destekleyici Resmi Kurum, Veto Kullanıcıları, Norm Girişimcileri ve İşbirlikçi İnfomal Kurum Algılamaları
 - Destekleyici Resmi Kurum Algılamaları (Code No:5)
 - Resmi Olmayan Kurum, Grup, Kişi Algılamaları (Code No:6)
4. THEME 4: Kurumun Bilişsel Bileşenleri İle İlgili Algılamalar
 - Kurumun Bilişsel Bileşenleri Giriş (Code No: 11)

Süreç Odaklı Bileşenler

- Politika Hakkında Bilgi Kaynakları ve Kurumsal İç Süreç (Code No: 14)
- İlgili Aktörler-Karar Alma Yapısı (Code No: 4)
- Diğer Kişilerle, Gruplarla, Kurumlarla Etkileşim-Başvuru Ve Proje Yönetim Süreci (Code No:7)

Aktör Odaklı Bileşenler

- Organizasyonel Kültürün Etkisi (Code No:8)
 - Proje Yürütücüsünün Rolü (Code No:9)
 - Yönetimin Bakış Açısı (Code No:12)
 - Kurumsal Strateji Ve Misyonların Etkisi(Code No:13)
 - Prestij Sağlama,Onaylanma,Kendine Görünürlük Yaratma Gibi Gibi İsteklerin Etkisi(Code No:14)
5. THEME 5: AB Katılım Öncesi Mali Yardım Politikasının Etkileri
 - AB Mali Yardımının Kişiyne Etkileri(Code No:15)
 - AB Mali Yardımının Kuruma Etkileri(Code No: 16)

ANNEX 5- AN EXAMPLE OF ANALYSING THE THEMES

1. Perceptions of the EU and the Pre-Accession Financial Assistance Policy	1.ÖZYEGİN ÜNİVERSİTESİ	2.YILDIZ TEKNİK ÜNİVERSİTESİ	3.EKİŞEİR ANADOLU ÜNİVERSİTESİ	4. SELÇUK ÜNİVERSİTESİ	5.ERCİYES ÜNİVERSİTESİ
• EU Perceptions as an Institution (Code No: 1)	X KİŞİSİ	X KİŞİSİ	X KİŞİSİ	X KİŞİSİ	X KİŞİSİ
AB hakkında genel izlenimlerinizi öğrenebilir miyim? Siz genel olarak AB'yi nasıl değerlendiriyor, nasıl görüyorsunuz?	Araştırmacı olarak AB'ye baktığımda,AB'de bir kükleşme görüyorum.Avrupa'nın belli araştırma merkezleri,bunlara biraraya gelip projelerin çoğunu alıyor.Çok yüksek miktarda araştırma fonu dağıtıyorlar,stratejik konularda,ama bunların çıktılarının ekonomik yararını belli değil.Dolayısıyla Japonya ve Amerika ile rekabette bu fonlar nereye gidiyor,ne kadar etkili belli değil.Çok bürokratik bir kurum var,AB araştırma konseyi çok bürokratik.Proje yazmak zor,yönetmek zor,paperwork çok	Ülkelerin kendi aralarında oluşturdukları bir birlik. Bu birliğin temel amaçları var. Hem bir iktisadi olarak ortak alan yaratılması düşünlüyor hem de ortak bir siyasi birlik oluşturulması amaçlanıyor. Ortak bir para birimi ve ekonomik birlik vs. var. Hem Avrupanın refahını artırılması ve hem de demokrasinin geliştirilmesini amaçlayan uluslar üstü bir birlik olarak görüyorum.	Mesleğim nedeniyle "Havacılık" yönüyle bakırım. Havacılıkta şöyle bir slogan var: Avrupa içi tek hava sahası. Bu avrupa'da hava sahası olan her ülkenin farklı kurallar uyguladığında pek çok gecikmeler ve karışıklıklar meydana gelebilir. Oysa bütün ülkeler aynı kurallı uygularsa maksimum verim elde edersiniz. Avrupa Birliği de böyle bir şey. Havacılıkta sağlanan bu standartlaşmanın ekonomide, insan ilişkilerinde ve kültüründe de sağlama çalışıyor.Yani ülkelere göre sınırları olmayan bir standartlar birliği. Sınırların olmadığı ancak sınırları geçtiğimizde de aynı standartları ve özellikle aynı kaliteyi bulduğunuz bir birlik olarak görüyorum	Türkiye açısından bir açılım. İle girmek şart değil. Flört etmenin de bizim için faydası var. Dışarı açılmak önemli. Rekabet edebilecek güdülerin sağlanması önemli. Birbirine çarpışan iç dinamikler nedeniyle Türkiye'nin önü tıkanabilir. AB ne girmemiz şart değil. Türkiye'nin gelişmesine ve açılmasına örnek bir oluşum. Mali açıdan da Türkiye için büyük bir pazar. Batı ile tatlı bir rekabet için AB ile ilişkilerimizi sürdürmemiz gerekiyor.	Açıksaı akademisyen olarak baktığımızda AB'nin oluşumunun oldukça güzel olduğunu kanaatindeyim.Kendi içlerinde bir yapılaşma kurmuşlar.Benim kaanattım AB nin kuruluş hedefi büyük güçlere karşı tek bir güç olabilmek.Dünya'da bir takım büyük güçler var.Amerika,Rusya,Çin gibi.Bunlara karşı tek başına değil de bir birlik olarak hareket etme ihtiyacı doğmuş gibi duruyor.Dünyada da gücün tek bir elde toplanması çok mantıklı gözüküyor zaten.Bizim AB açısından baktığımız nokta,bizi nereye götürür ve ne katkı sağlar bunu iyi düşünmemiz gerekir.Ben de oldukça katkı sağlayacağı kanaatindeyim.Hem sosyal,kültürel,hem de teknik anlamda AB ye uymamız gerektiği kanaatindeyim.Yani bakıyorsunuz,belli şeylerin aşıldığı,belli şeylerin halolduğu şeklinde bir kanım var.Teknik,setörel anlamda da oradan bir çok şey öğrenebiliriz.AB ye sırt dönmek gerektiğini düşünüyorum.Siyasi anlamda tartışılacak şeyler var. Ama ben olumlu bakıyorum.

1. Perceptions of the EU and the Pre-Accession Financial Assistance Policy	6.AKDENİZ ÜNİVERSİTESİ	7.SINOP ÜNİVERSİTESİ	8.GAZİANTEP ÜNİVERSİTESİ	9.ODTÜ- SOSYOLOJİ-ANKARA	10.ODTÜ- DENİZ BİLİMLERİ-MERSİN
• EU Perceptions as an Institution (Code No: 1)	X KİŞİSİ	X KİŞİSİ	X KİŞİSİ	X KİŞİSİ	X KİŞİSİ
AB hakkında genel izlenimlerinizi öğrenebilir miyim? Siz genel olarak AB'yi nasıl değerlendiriyor, nasıl görüyorsunuz?	AB genel olarak,önemli bir hareket olarak düşünüyorum.Çünkü Avrupa da her hangi dönemde savaşın olmadığı refahın bu kadar yüksek düzeyde olduğu bir dönem daha olmadı.Bunda AB fikrinin ve aynı zamanda AB örgütünün de önemli bir fonksiyonu var diye düşünüyorum.Avrupa devrimlerinin kansız bir biçimde,barışçıl bir biçimde yapıldığını görüyoruz.Yine AB fikrinin burada da önemli olduğunu düşünüyorum.AB nin birleşmesi konusunda önemli bir lider görevi üstlendi.Özellikle siyasi boyutunu görüyorum.Mali ve sosyal boyutuyla da desteklenerek siyasi boyutunu kalıcı olarak sağlandı.Tabii bir de bunun ideolojik boyutu da var.Çok kültürel, farklılıkların korunması konusunda çok başarılı olduklarını söyleyemem.	Temel bölümlerde en verimli bölüm benim bölümüm. 4. çerçeveden başlayıp 5, 6 ve 7. çerçeve programlarında ilk tekim. Ekibim de çok iyi çok sayıda proje alıyoruz. AB'yi Türkiye'nin girmesini iyileştiren destekliyorum. Keşke bütün iyi yönlerini ülkenize alsak. AB'de yapılan iyi şeyler almayı ve destekleniyor. Türkiye'den farkı. Bilgi para demek. Bilgiler çok kıymetli, çok kolay elde edilemiyor. 6. çerçeveden sonra ülkeniz de çok iyi paraları yatırıyorsunuz. Bu nedenle en azından verdiğimizleri geri alalım istiyorlar. Biz geri almazsak. Avrupadaki diğer akademisyenler kullanıyor. Bilginin paraya dönüşmesi için mali bir fırsat. Bütün akademisyenlerin mutlaka yurt dışına girmeli ve gözlemleme ve deneyim kazanmalı. Biz proje yazmaması biliniyoruz. Projeyi ihtiyaç duyulan materyallerin alınması için kaynak. Oysa AB projeleri bundan daha fazla. Problemi iyi tanımlar, merak uyandırsın insanlar proje veriyorlar.	Araştırma projeleri açısından bakıyoruz mesleğimiz gereği AB nin sağladığı fonların bir çok kurum,bir çok araştırmacıya fırsatlar sağladığını düşünüyorum.Özellikle üst seviyede araştırma yapan gruplar için kendi alanlarında iyi fırsatlar verdiğini düşünüyorum,özellikle defonlar açısından ve çalışma ortamının esnekliği açısından.Çalışma ortamının esnekliği demekte maliye bakanlığının 2005 yılında proje yürütücülerine verdiği sorumluluk ve buna bağlı olarak yetki ile işlerimiz çok kolaylaştı.2005 yılından önce projelerde çalışan insanlar için mali kuralatın ne olduğu çok belli değildi.Bir çok arkadaşımız daha önce proje paralarını döner sermayeden geçirmek durumunda kalyorlardı,bu da onlar için zarar oluyordu,2005 yılından sonra dileme girdi.2005 yılından sonra bütün projelerde,sorumluluk yürütücüye verildi,bütün proje işlerinde hesap verebildikten sonra,daha serbest olundu.Bildiğiniz gibi türk üniversitelerinde çeşitli kurallar var,özellikle mali kurallar var.Örneğin avans problemlerimiz vardı. Resmî olarak 600 TL den fazla avans veriliyordu.Bu da işimizi yarıyordu.Limitler arttırdı,daha esnek çalışma ortamı yarattı.AB projelerinde proposaldaki yazdığımız gibi türk üniversitelerinde çeşitli kurallar var,özellikle mali kurallar var.Örneğin avans problemlerimiz vardı. Resmî olarak 600 TL den fazla avans veriliyordu.Bu da işimizi yarıyordu.Limitler arttırdı,daha esnek çalışma ortamı yarattı.AB projelerinde proposaldaki yazdığımız gibi türk üniversitelerinde çeşitli kurallar var,özellikle mali kurallar var.Örneğin avans problemlerimiz vardı. Resmî olarak 600 TL den fazla avans veriliyordu.Bu da işimizi yarıyordu.Limitler arttırdı,daha esnek çalışma ortamı yarattı.AB projelerinde proposaldaki yazdığımız gibi türk üniversitelerinde çeşitli kurallar var,özellikle mali kurallar var.	Son 10-15 yıldır,Tı'deki üniversiteler anlamında,tabiki bu fundingler araştırılıyor,hem de sivil toplum anlamında dönüştürücü bir etkisi olduğunu düşünüyorum.Ama bu dönüştürücü etkinin ne kadar sürdürebilir olduğu konusunda özellikle sivil toplum alanında derin çekincelerim var.Şimdi ODTÜ'den konuşuyorum zaman elbette 6. ve 7. ÇP projelerinin elbette dönüştürücü ve katkı sağlayıcı etkisi olmuştur,çünkü bunlar büyük bütçeli projelerdir.Ama diğer taraftan,objektif bir değerlendirme yaptığımızda ve ODTÜ olarak,ODTÜ zaten uluslararası bağlantıları çok kuvvetli bir üniversite.Neden dönüştürücü olduğu konusunda cevabı ise bunların büyük bütçeli projeler olması,daha kaliteli araştırma istihdam edebiliyor olmaları ve akademik networkü daha güçlendiren projeler olması,çünkü çok sık birlikte oluyorsunuz.Ya bu projeler olmasaydı biz ne olurduk,biz ODTÜ olarak daha kötü olmazdık.Elbette zenginleştirici bir etkisi olmuştur,elbette avantajları var.Fakat ODTÜ'yi bir örnek değil.Sivil toplum konusunda neyi dönüştürdüğüne baktığımızda(hoca sivil toplum çalışıyor),elbette dönüştürücü,yeniden yapılandırıcı,geçirici etkisi var.Türkiye'de ortaya çıkan sivil toplum hareketi grass-root bir harekettir.Bu insanlar hakaten gönüllülikle esasında çalışan örgütler olmuşlardır.1995 yılından sonra Helsinki'den sonra bir funding meselesi ortaya çıktı.Türkiye'de	AB ve AB üyesi ülkeler her konuda, mesela beni ilgilendiren konular bölüm ve çevre diyelim. Bu konularda çeşitli standartlar var ve bu standartlar oturmam durumunda. Türkiye'deki en büyük eksiklik bu bence. Bir standart yok. YÖK, Tübitak ve Milli Eğitim Bakanlığının hergün biseyler değiştiriyor. Yani böyle bir Amerikayı yeniden keşfetmek için hergün uğraşıyoruz. Hergün bürokrasi ile uğraşıyoruz. Şimdi AB ye girersek ve AB standartlarını kabul edersek, gerek bünsel konularda, gerek bürokratik konularda ve gerekse çevre konularında bu standartlar gelecek.Benim en fazla AB üyeligini desteklemem nedeni bu.Çünkü biz adeta standartları olmayan bir ülke olarak var olmaya çalışıyoruz.Buda bölümü çevreyi çok negatif yönde, insanımız negatif yönde etkiliyor. İnsanımız zaman kaybı anlamında efor kaybı. Standart yok hiçbirseyde,yani el yordamı ile sürekli biseyler yapıyoruz. Hergün biseyleri değiştiriyoruz. Çalışmadığı için. Çalışan bir sistemi sürekli değiştirirsiniz, değişmezsiniz. Çalışmıyor belkii Yök, Tübitak ve milli eğitimi durmadan değiştiriyoruz.Neye çalışıyoruz. Bir türlü standartlarımızı oturtamдық. Standart derken kurallardan, hukuk kurallarından,norm kurullardan ve işleyiş kurallarından bahsediyorum.