

All Hands on Deck

A Realist Perspective on EU-China Climate Change Cooperation



MSc Thesis (30 ECTS)

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Abstract:

Over the past decades, the EU and China have increasingly cooperated on the topic of climate change. Numerous studies have been carried out that highlight *institutionalization* and *mutual gains* as factors contributing to this cooperation. Realism, however, an important theoretical tradition, has often been ignored, which limits our understanding of EU-China climate change cooperation. This thesis aimed to fill this gap, by adjusting Contingent and Offensive Realism, traditionally preoccupied with military power, to the topic of climate change. In doing so, this thesis identified new factors that contributed to the emergence and endurance of EU-China climate change cooperation. It found that uncertainty reducing communication strategies aided the emergence of EU-China climate change cooperation. Furthermore, it uncovered that endurance of said cooperation was due, at least in part, to (a) recognition of climate change as a common threat and (b) recognition of cooperation as necessary to reduce the common threat. Through its analysis, this thesis demonstrates the explanatory power of Realist theories for EU-China climate change cooperation, thereby warranting future applications of Realism on related topics.

Keywords:

EU-China; cooperation; climate change; contingent realism; uncertainty; offensive realism; common threat; security;

Acknowledgements:

I would like to thank Dr R. Kim wholeheartedly for his time and effort to assist me during the research process. His guidance and support were fundamental for the completion of this project. The second reader of this thesis, Prof. Dr F. Biermann, also provided useful feedback during early writing stages, thereby greatly influencing the direction of the thesis. I would also like to thank the people whom I interviewed for sharing their time and expertise on this subject. I am also grateful to Sierk IJsselstein Mulder for providing comments and feedback which improved this last version's quality. Last, I would like to thank Francesco Montesano for his remarks and for providing contact information of potential interview candidates.

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Abbreviations:

CC	Climate Change
CDM	Clean Development Mechanism
CN	People's Republic of China
COP	Conference of the Parties
CV	Control Variable
DV	Dependent Variable
EC	European Commission
ECU	European Currency Unit
EF	Explanatory Factor
ENB	Earth Negotiations Bulletin
ETS	Emission Trading System
EU	European Union
G77	The Group of 77
GHG	Greenhouse Gas's
IISD	International Institute for Sustainable Development
IMMCS	International Military Council on Climate and Security
INC	Intergovernmental Negotiations Committee
IPCC	Intergovernmental Panel on Climate Change
JC	Joint Communication
KP	Kyoto Protocol
PC	Presidency Conclusions
PRC	People's Republic of China
UN	United Nations
UNFCCC	United Nations Framework Convention on Climate Change

1: Introduction

One of the world's greatest threats to global security is climate change. It brings about risks of political instability, intra-state conflict, major natural disasters, displacement of people, and threats to critical resources and infrastructure (IMCCS Expert Group, 2020). In order to address climate change, international cooperation is required. In reality, however, rising authoritarianism, fierce global competition and nationalist agendas, among other forces, prevail over joint climate action all too often (IMCCS Expert Group, 2020). Nevertheless, the EU and China cooperate on climate change bilaterally (The European Commission, 2005). The cooperation came into being despite the EU's and China's largely different interests, capacities and attitudes towards climate change (De Matteis, 2010; Schreurs, 2020). A better understanding of the factors that contributed to the EU's and China's cooperation on climate change could help, therefore, to overcome forces hostile to international climate cooperation.

Previous research has identified three factors that contribute to the EU-China climate change cooperation. First, the overall institutionalisation of the EU-China bilateral cooperation, which creates patterns of stability and for new areas of cooperation to be identified (Geeraerts, 2019; De Matteis, 2010; Liu, Wu & Wan, 2019; Christiansen, 2016; Cottey, 2018)¹. Second, the respective roles of both the EU and China in the international community (De Matteis, 2010; Yan, 2018; Yan, 2020)². Third, both recognise that mutual gains and opportunities arise by cooperation (Dorussen, Chistiansen & Kirchner, 2018)³.

Whilst these efforts have yielded plausible explanations, they have neglected an important theoretical tradition, Realism, which when included could help strengthen the EU-China relation according to Holslag (2011). As opposed to institutionalism, Realism emphasises unilateral variables as deep sources of security cooperation (Glaser, 2010). For example, Charles L. Glaser has explained the *emergence* of cooperation as the result of employing uncertainty reducing tactics in the absence of institutions (Glaser, 1995; Glaser, 2010). Although the topic of climate change has been discussed in multilateral settings (e.g. the Intergovernmental Negotiations Committee), no such institutional mechanism on climate change initially existed between the EU and China. Therefore, it could well be that Glaser's theory holds explanatory power over EU-China climate change cooperation. Mearsheimer (1990), another Realist scholar, argues a shared recognition of threats as common contributes to the endurance of cooperation. This factor is neglected in the existing body of EU-China literature but given the threat climate change poses to humankind in its entirety, could very well add to our understanding of the endurance of EU-China climate change cooperation. As these examples show, Realist scholarship has proven its worth by identifying factors that contribute to the emergence and endurance of cooperation. Therefore, applying

¹ De Matteis (2010) argues institutions provided stability to the overall EU-China relationship, while also helping as to identify new areas of cooperation such as Climate change cooperation. Similarly, Geeraerts (2019) argues institutions provide the conditions that generate mutual trust and socialization. Whilst Geeraerts (2019) applies Realism, his analysis is limited to Realist factors that cause divergence. Chistiansen (2016), also underlines the importance of institutions in shaping and supporting their bilateral cooperation

² De Matteis (2010), argues cooperating bilaterally and engaging in the multilateral climate change regime provided both the EU and China opportunities to gain relevance in international negotiations. Yan (2018), on the other hand, stresses the significant influence both actors yield as to contribute to climate negotiations and addressing climate change as a source of their bilateral engagement.

³ Dorussen et al. (2018), found that mutual gains rain supreme as an explanatory variable for EU-China security cooperation in general.

these to EU-China cooperation on climate change might complement or even enrich the picture painted by previous scholars. This raises the following questions: *How does Realism explain the emergence and endurance of cooperation? What factors does Realism identify? How do these translate to the topic of climate change?* Transcending theory and methodology, however, the main question then asks: *To what extent these factors occurred in practice?* This thesis seeks to answer the last question with regards to the EU-China bilateral climate change cooperation. For the sake of clarity, this thesis understands cooperation as having two distinct phases. The first, emergence, refers to the phase in which cooperation between actors comes into existence. If successful, this phase is concluded with *emerged* cooperation. The second phase, *endurance*, refers to the continuation or maintenance of the emerged cooperation.

Drawing on Contingent Realism (i.e. Glaser, 1995; Glaser, 2010) and Offensive Realism (e.g. Mearsheimer, 1990), the thesis first identifies and adapts factors of emergence and endurance from which hypotheses are deduced. The factors are assumed as contributing to the emergence and endurance of cooperation, based on their respective theoretical traditions. Flowing from the assumption, the thesis analyses whether the factors occurred in EU-China climate change cooperation by carrying out discourse-analysis and semi-structured interviews. By doing so, it is possible to identify whether Contingent Realism and Offensive Realism have value for understanding EU-China climate change cooperation.

The thesis understands the factors for the emergence of cooperation as (1) the communication of benign intentions concerning climate change cooperation to reduce uncertainty, and (2) the perception of cooperation as a means to increase security. The factors for the endurance of cooperation are understood as (1) the recognition of climate change as a common threat, and (2) the recognition that cooperation is necessary to reduce the common threat. Through its analysis, the thesis found indications of, first, the contributing nature of reduced uncertainty through unilateral actions to the emergence of EU-China climate change cooperation and, second, the contributing nature of both common threat recognition and the recognition of cooperation.

The thesis is organised as follows (Figure 1). Chapter 1, commences with a literature review of EU-China scholarship in order to identify the knowledge gap (step 1 of Figure 1). Chapter 2 uses Realist literature to deduce and adapt factors for the emergence and endurance of cooperation (step 2). This leads to the creation of a theoretical framework and the deduction of hypotheses. These factors are then used as a guide throughout a discourse-analysis and semi-structured interviews (outlined in Chapter 3 and step 3 in Figure 1), which examine whether the factors occurred in practice and thereby test the relevance of the hypotheses deduced (Chapter 4). Next, in Chapter 5, the findings and the limitations are discussed with regards to the deduced factors and hypotheses (step 4); the theories (step 5); and the overall scholarly understanding of EU-China climate change cooperation (step 6). Finally, in Chapter 6 the conclusions of the thesis are presented.

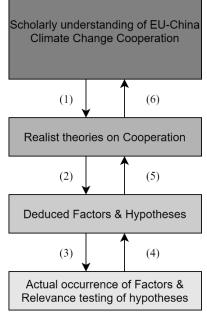


Figure 1: Research Framework

2: Theoretical framework

This chapter outlines the different identified and adapted factors of cooperation from Contingent Realism (Glaser, 1995; Glaser 2010) and Offensive Realism (Mearsheimer, 1990). As briefly outlined in the Introduction, this thesis understands cooperation as having two distinct phases. In the first phase, cooperation comes into existence and is referred to as *emergence*. In the second phase, cooperation is maintained or continued and is referred to as *endurance*. Emergence and Endurance are the respective dependent variables of this study and are discussed in more detail in section 2A and 2B, respectively. The distinction between emergence and endurance is based on, first, the existing literature on EU-China climate change cooperation, and, second, on the corresponding attributes of both Contingent Realism and Offensive realism for either emergence or endurance. Contingent Realism, for instance, identifies factors that apply to the emergence of cooperation, while ignoring factors of endurance. Offensive Realism, on the other hand, although highly suspect on the prospects for the emergence of cooperation, outlines factors that apply to endurance. Overall, on emergence, this thesis is an application of Glaser's (1995; 2010) Contingent Realism, whilst on endurance, this thesis is an application of Mearsheimer's (1990) Offensive Realism.

For both emergence and endurance, different factors are deduced and adapted to the topic of climate change. In both Contingent and Offensive Realism, these factors contribute to the emergence and endurance of cooperation. By adopting the position of Contingent Realism and Offensive Realism, this thesis assumes these factors should have occurred when analysing EU-China climate change cooperation. The findings of the actual occurrence of these factors is then used to determine the relevance of the deduced hypotheses.

The remainder of this chapter is structured according to the distinction between emergence and endurance. Section 2A:1 and 2A:2 outline the two factors of emergence. Section 2B:1 and 2B:2 outline both factors of endurance. The chapter is concluded with the theoretical framework (Figure 2, page 12).

2A: Emergence (Dependent Variable 1)

Emergence is understood as the process of coming into existence, which has two distinct stages. The first stage refers to the period in which different factors create the circumstances for formalised/institutionalised cooperation to emerge. The second is the end-product of the first stage and is understood as *emerged* cooperation (i.e. formalised/institutionalised cooperation). Glaser's Contingent Realism argues that certain factors create the necessary conditions for cooperation to come into existence, implicitly referring to the emergence of cooperation (Glaser, 1995; Glaser, 2010).

2A:1 Reduced Uncertainty (Explanatory Factor 1, Emergence)

The first factor for the emergence of cooperation is reduced uncertainty of opponents' motives and is necessary for actors to identify cooperation as bearing fewer security risks than engaging in competition (Glaser, 1995; Glaser 2010).

Most Realists argue that the absence of a world government creates conditions that favour competition over cooperation (Mearsheimer, 1990; Waltz, 1979; Glaser, 1995; Jervis, 1999). These conditions relate to the uncertainty of motives of states, and whether their intentions are benign. While some Realists accept the uncertainty between states as given (e.g.

Mearsheimer, 1990; Waltz, 2000), Glaser (1995; 2010) argues that an actor may consciously perform actions, in both word and deed, as part of a communicative tactic, which serves to convince the other of the state's benign intentions and thereby to reduce any uncertainty the other might harbour. Being a reciprocal process, 'signalling' can set a 'positive spiral' into motion (Glaser, 2010, p 68), from which cooperation eventually might emerge (Glaser, 2010). When the uncertainty of one's motives is reduced, the risks of engaging in cooperation are smaller than the risk of engaging in competition (Glaser, 1995; Glaser, 2010).

Glaser's Contingent Realism distinguishes three main tactics: (1) *arms control agreement*, (2) *defence emphasis*, and (3) *unilateral restraint* (Glaser, 1995, p. 68). Their militaristic nature reveals Glaser's traditional notions of war and peace, or, in a broader sense, (in)stability between states. As will become clearer in the following paragraphs, this thesis stretches these notions to include the fight against climate change, being a war that unites states against a common enemy.

In this fight, it is not the arms that are destructive and in need of control, but anthropogenic emissions of greenhouse gases (GHG), the main cause of climate change (IPCC, 2014a). Therefore, the first communication tactic is to reach a *GHG emission control agreement*, which obliges the signatories to reduce, stabilise and/or limit the growth of emissions. This tactic involves four signalling components. First, reaching an agreement, second, signing the agreement, third, ratification of the agreement, and last, the fulfilment of the commitments laid down in the agreement. In this thesis, all four need to be present before uncertainty is reduced.

In a similar vein, Glaser's second tactic, the adoption of a military strategy that *emphasises defence*, bears a striking resemblance to adaptation strategies against climate change. The IPCC defines adaptation as 'the process of adjustment to actual and expected climate and its effects as to moderate or avoid harm' (IPCC, 2014b, p.5). International actors can do so by fostering their adaptation, and/or by lending support to adaptation efforts of others. This also includes the acceptance of such support by recipient countries, as it shows a willingness to adapt to the problem in need of solving (i.e. climate change).

The tactic of *unilateral restraint*, the third and last one, refers to a state's unilateral decision to reduce its offensive capabilities. **Translated to climate change cooperation, this tactic corresponds to mitigation strategies, the goal of which is to reduce the intensity of climate change itself, either through curtailing sources of GHG emissions or enhancing the sinks of GHG emissions (IPCC, 2014a). One can carry out this communication tactic in three ways. First, by unilaterally deciding to reduce (the growth of) GHG emissions. Second, by increasing the relative or absolute amount of GHG emission sinks. Third, by lending support to the mitigation efforts of others, or, for recipient parties the acceptance of support, since both help restrain GHG emissions. Therefore, for the occurrence of signalling-tactics to explain the emergence of EU-China bilateral climate change cooperation, both the EU and China must have signalled motives.**

Glaser restricts his theory to the *sending out* of signals. In the case of climate change, however, attention must also be devoted to their *reception*, which cannot be neutral but is presumed to depend on one's attitude towards climate change, more specifically, towards the actor(s) one holds responsible for causing and addressing climate change. After all, most emission agreements are reached in a multilateral context, which implies that the division and extent of commitments are based on the lowest common denominator. Therefore, the compatibility of multilaterally agreed commitments with the attitudes held by both the EU and

China is used to contextualise the policy actions. Also, the signal that reducing emissions sends out will only be received by other actors if they see emissions as a contributing factor to climate change. In other words, an actor's benign intentions are only received as such when they are deemed valuable by others. The following hypothesis is formulated based on the above:

H1: If uncertainty concerning motives was reduced, then the EU-China climate change cooperation emerged.

2A:2 Cooperation to increase Security (Explanatory Factor 2, Emergence)

The shared perception of bilateral cooperation as a means to increase one's security constitutes the second factor of emergence. It is closely related to the first factor and is based on Glaser's notion that when the risk of competition is greater than the risk of cooperation, security is best assured through cooperation (Glaser, 1995). For Glaser, the risks of cooperation are low when the probability that the opposing actor is benign of nature⁴ is 'high enough' (Glaser, 2010, p. 83). High-probability estimates of an actor's benign motives influence a competitor's perception of the risks of cooperation (Glaser, 2010). In other words, positive perceptions towards cooperation can be achieved through the adoption of communication-tactics that signal benign intentions.

Once the risks of cooperation are lower than the risks of competition, countries willing to address security issues will engage in cooperation, as it serves their best interest to do so (Glaser, 2010). Even more convincingly, it makes strategic sense to engage in cooperation as it serves one's security interests (Glaser, 2010). Glaser's theory is strategic-choice of nature, which means it prescribes how rational states should and would act under certain conditions (Glaser, 2010). What is important for this thesis, however, is whether climate change prescribed the EU and China to cooperate in order to increase their respective security.

In this regard, climate change is largely recognised as a threat to all states which cannot be solved by one state alone (e.g. Paris Agreement, 2015; IPCC, 2014a; Ostrom, 2010; IMCCS Expert Group, 2020). This thesis adopts the position that with climate change, the risks of competition are greater than the risks of cooperation. For Glaser, however, it is an actor's risk perception of engaging in cooperation that influences whether actors partake in cooperation. For the purpose of this thesis specifically, the perception of both the EU and China that cooperation serves as a means to increase their respective security. The following hypothesis is formulated based on the above:

H2: If both the EU and China perceived cooperation as a means to increase security, then the EU-China bilateral climate change cooperation emerged.

2B: Endurance (Dependent Variable 2)

Endurance is understood as continued cooperation, even when faced with challenges. In a way, it relates to the concept of resilience, which is the capacity of a system to cope with a hazardous event or disturbance whilst maintaining essential function (IPCC, 2014b). Mearsheimer's Offensive Realism follows this concept implicitly, by hypothesising about the capacity of the European cooperative system to cope with disturbances and to maintain its cooperative function (Mearsheimer, 1990). Crucially, from his argumentation two factors can be deduced that safeguarded the endurance of European cooperation during the Cold War: (1)

⁴ Glaser refers to actors with a benign nature as 'security-seeking states' (Glaser, 2010, p. 83).

the recognition that the threat is common and (2) recognition that the threat cannot be resolved unilaterally (Mearsheimer, 1990). Mearsheimer's views on European cooperation have been the subject of harsh criticism⁵. It is important to note, however, that these critiques are mainly directed at what may be described as Mearsheimer's expectations about stability changes in relation to the threat's nature, rather than at the aforementioned factors. Therefore, they could still hold explanatory power when analysing similar situations.

2B:1 Common Threat Recognition (Explanatory Factor 3, Endurance)

As briefly mentioned, the first factor for the endurance of cooperation is the shared recognition of climate change being a common threat to both the EU and China. For Mearsheimer (1990), it is the balance of power logic that created incentives for the endurance of cooperation during the Cold War. More specifically, it was the threat from the Soviet Union that abated concerns about cooperation between states of the European Community (EC), since each additional increment of EC's power reduced the Soviet threat (Mearsheimer, 1990). While this thesis by no means suggests the Cold War is similar to climate change, an important similarity exists. Both create a bipolar system in which the security of one is influenced by the power of the other. During the Cold War, it was the opponent's military prowess that created the security threat and therewith the necessity to band together. In the fight against climate change, it is the size and intensity of the climate change that creates the security threat. The size and intensity of which can only be reduced if everyone participates, which is to be achieved through cooperation. Mearsheimer refers to (animosity between) states when writing about threats, an approach this thesis endeavours to develop by acknowledging climate change as a common threat on a global scale. Following Mearsheimer's reasoning and the balance of power logic, cooperation between the EU and China will endure as long as both recognise climate change as a common threat as it forces them to cooperate. The following hypothesis is formulated based on the above.

H3: If both the EU and China recognised climate change as being a common threat, then the EU-China climate change cooperation endured.

2B:2 Cooperation to reduce Common Threat (Explanatory Factor 4, Endurance)

The second factor for the endurance of cooperation is the shared recognition that cooperation is a necessity to reduce the common threat. Mearsheimer (1990) does not mention this necessity explicitly, but it is clear that for him, the balance of power logic mandated cooperation between Western democracies. Only through engaging in cooperation could they meet the common threat emanating from the Soviet Union. Cooperation serves as the rational choice for states seeking security and ensuring survival (Mearsheimer, 1990). For Mearsheimer, rational states would automatically recognise such security benefits of cooperation. This thesis questions his assumption and interprets such recognition as the last factor for endurance: that both the EU and China recognised cooperation as necessary to reduce the common threat of climate change. The following hypothesis is formulated based on the above:

H4: If both the EU and China recognised cooperation as necessary to reduce the common threat, then the EU-China climate change cooperation endured.

⁵ For instance in: Hoffmann, Keohane & Mearsheimer, (1990) and in Russett, Risse-Kappen & Mearsheimer, (1990).

The following figure depicts the theoretical framework based on the specified explanatory factors in this chapter.

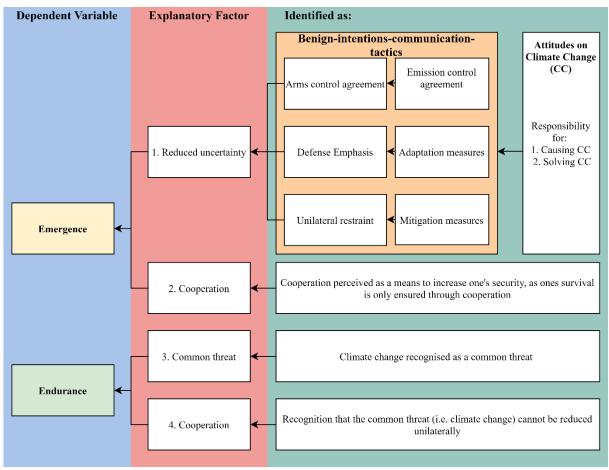


Figure 2: Theoretical framework

3: Methods

This chapter contains four sections. In section one of this chapter, the used research strategies are specified. Section two outlines the methods used to test the relevance of the deduced hypotheses of emergence, and section three outlines the methods used to test the relevance of the deduced hypotheses of endurance.

<u>3A: Time-frame and Sources of data</u>

The literature review conducted in the previous chapter delineated four hypotheses for cooperation on climate change, two for emergence and two for endurance. To determine the relevance of these hypotheses, this thesis relied on both discourse-analysis and semi-structured interviews. For the discourse-analysis, 521 documents published between 1991-2019 were analysed. Given the sheer number of documents and to ease the analysis, each document was given a particular code. Annex F (pages 49-80) compiles the different sources of the documents; the criteria used to select the documents; the codes assigned to each document; and a table depicting all documents used. Two momentous events delineate the timeframe: the first session

of the Intergovernmental Negotiating Committee (INC) for a Framework Convention on Climate Change (FCCC) in February 1991, and the European Commission's proposal for a Green New Deal on December 11th, 2019. **Emergence and endurance are fluid concepts, in the sense that endurance is the successor of emergence. For the sake of clear methodology, this thesis presumed emergence turned into endurance in 2005, when the EU and China formalised their bilateral cooperation through jointly signing the EU-China Partnership on Climate Change. In other words, (presumed) emergence was analysed from 1991-2005, whilst (presumed) endurance was analysed from 2005-2019.**

The discourse-analysis draws on two principal sources of data. First of all, a wide range of key documents from the European Commission, the European Council, the Chinese Government, and the United Nations, including reports, statements, speeches, policy documents and press releases. Taking into account their public and representational character, this thesis used the documents to identify how the actors portray themselves, rather than to determine how much of this image is internalised (Epstein, 2008). The second source of data consists of NGOs reporting on multilateral climate change negotiations within the same timeframe. **Their observations served as a valuable tool to verify the information retrieved from the first body of sources.**

This large set of data was then, so to speak, triangulated with data flowing from the semi-structured interviews. In total, four semi-structured interviews were held, of which two were with senior Diplomats of the European Union; one was with an official of an international organisation; and one was with a Scholar on EU-China climate change cooperation. All interviewees were asked the same five questions, allowing ample space for follow-up questions. Because of confidentiality and privacy issues, the interviewees' names were rendered anonymous⁶. The power of these interviews lies not so much in scientific logic or numerical truth as in unicity and personal experience. Hence, interview data were used to contrast, compare and contextualise the data extracted from the discourse-analysis.

3B: Research Strategy - Model 1 Discourse-Analysis

The method of discourse-analysis serves to determine certain narratives, in this case, the *storylines* held by the EU and China on topics such as climate change, cooperation and security. **Discourse analyses are particularly useful because of their ability to reveal transformations or fluctuations** (Hansen, 2006; Biermann et al., 2009). Hansen (2006) differentiates between three different models of discourse-analysis, all serving different purposes. **This thesis adheres to Model 1, as this model is best suited to the examination of identities and perceptions in the foreign policy debate (Hansen, 2006).** Following Hansen, the term discourse refers to an analytical construction that involves both material and ideational factors (Hansen, 2006). In turn, discourse-analysis enables deeper insight into narratives, the 'sequencing, structuring and organisation of signs, codes and events into a coherent order' (Zhang, 2019, p. 5). Provided that international actors have incentives to hide perceptions (Keohane & David, 2016; Bennet & Checkel, 2015), identifying *true* perceptions is a near-impossible task. Instead, this thesis focuses on *expressed* perceptions and recognitions. Expressing perceptions could also very well be considered a sign or code of some sort.

⁶ A slightly more detailed overview of their field of work is provided in Annex E1 (page 48).

3C: Research Strategy - Hypotheses Testing

To determine the relevance of the deduced hypotheses on cooperation, different narratives of interest were identified, an overview of which is depicted in figure 3. These are further elaborated in section 3C:1 and 3C:2.

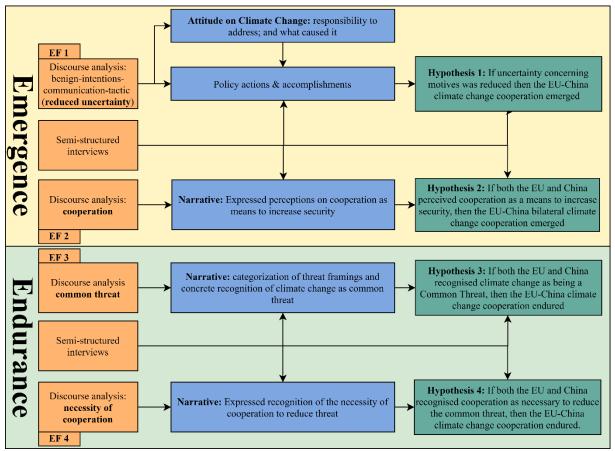


Figure 3: Research Strategies

3C:1 Research Strategy: Emergence (DV 1 & EF 1-2)

As explained in section 3A, this thesis assumes that emergence transitioned into endurance in 2005, through the signing of the EU-China Partnership on Climate Change. The first objective of the research was to test this assumption by performing a discourse-analysis.

To determine whether the EU and China partook in benign-intentions-communicationtactics which leads to reduced uncertainty (EF1), this thesis analysed the discourse of policy actions on climate change, taken by both the EU and China between 1991 and 2005. Policy documents and National Reports on Climate Change were compiled to construct a timeline of different communications tactics adopted by the EU towards China and vice versa. Communication tactics are only useful when they actually transmit the desired signals. To account for this, another discursive narrative was introduced and analysed, relating to the attitudes held by the EU and China respectively, on the responsibility for causing and addressing climate change. As outlined in chapter 2, the identification of these attitudes helped to contextualise the identified signals of benign intentions.

To determine the relevance of the second hypothesis, another discourse-analysis was performed. To determine whether the EU and China perceived cooperation as a means to increase security, this thesis analysed the expressed perceptions of cooperation between **1991-2005 for both the EU and China. All expressions that included the word** *cooperation* **were collected, analysed and categorised.** This resulted in an overview of the EU's and China's narratives on cooperation in general and bilateral cooperation in particular and allowed insight into the role of security within these narratives.

All data from the discourse-analysis was contrasted, compared and contextualised by using data flowing from the semi-structured interviews. This combined data was then used to determine the relevance of the deduced hypothesis. Table 1 includes a summary of the operationalisations of the factors of emergence.

Table 1

Variable	Operationalization	
Emergence (DV1)	Emergence is signified by expressions of willingness to engage in cooperation. Cooperation is considered as emerged when it is formalised/institutionalised, for instance, through an agreement or partnership declaration.	
1. Reduced Uncertainty (EF1)	The actual occurrence of reduced uncertainty is determined through the identification of benign-intentions-communication-tactics from 1991-2005 (1A-1C).	
1A. Emission agreements	Agreements that either require (1) limitation in the growth of emissions; (2) stabilization of emissions; (3) an absolute emission reduction; (4) relative emission reduction. The agreements can be reached either multilaterally or bilaterally.	
1B. Defence emphasis	Actors increasing their adaptation capacity, and/or by providing support to others' adaptation efforts, as well as the acceptance of such support	
1C. Unilateral restraint	Unilateral decision/policies that (1) reduce (the growth of) GHG emissions (2) reduce the relative or absolute amount of GHG emission sinks; (3) lend support to mitigation efforts (in terms of financial, technological or capacity-building), or in the case of recipient countries the acceptance of such support.	
1E. Control Narrative: Attitudes on responsibility (CV)	Different attitudes determined through expressions by both the EU and China between 1991-2005 on the distribution of responsibility for addressing climate change; and on what/who caused climate change.	
2. Cooperation as a means to increase security (EF2)	The narratives of both the EU and China between 1991-2005 on the security benefits of engaging in cooperation in general, and the security benefits of engaging in bilateral cooperation specifically.	

The variables for the Emergence: summary of operationalization.

Note: (DV) refers to dependent variables; (EF) refers to explanatory factor; and (CV) refers to control variables.

3C:2 Research Strategy Endurance (DV1 & EF 3-4)

Here, the first objective of the analysis was to find out, again by means of a discourseanalysis, whether the EU-China climate change cooperation had indeed endured.

Another discourse-analysis was performed to determine the relevance of the third hypothesis, the relation between the EU's and China's recognition of climate change as a common threat and the endurance of their cooperation on climate change. This analysis was divided into two components.

The analysis of component 1, referred to as *climate change threat framings*, assessed how the effects of climate change were framed. For example, if a country issues a formal statement in which climate change is linked to global (in)stability, it implicitly acknowledges not only that climate change is a threat, but also that the threat is a common one. Taking such statements into account, this thesis adopted McDonald's (2013) security discourse framework as a tool to categorise expressions on the effects of climate change between 2005-2019. McDonald's framework differentiates between national security, human security, international security and ecological security narratives, the last three of which are understood as referring to common threats. However, the topic of climate change has triggered such a vast and diverse array of expressions, that two more categories were added, based on distinctions made by Hansen (2006). The first new category, non-security, allows for the inclusion of lowpriority security framings (Hansen, 2006) and their comparison to high-priority counterparts, such as those included by McDonald. While framings of climate change as a common concern do indicate the global nature, the use of 'concern' gives it low-priority. The second new category, security non-specified, encompasses security-related framings that are outside McDonald's scope but pertain to common threats, nonetheless. The applied and adapted framework is depicted more specifically in table 2.

Component 2, referred to as concrete expressions of common threat, exemplifies the common threat recognition by showcasing concrete examples of such recognitions. The findings of the discourse-analysis were then contrasted, contextualised and compared with the data flowing from the semi-structured interviews. The data was then used to test the third deduced hypothesis.

Discourse	Referent	Climate change effects/framings	
National security (NCT)	Nation-state (<i>including EU</i>)	Survival; Conflict; sovereignty; economic interests;	
Human security (CT)	People	Life and livelihood <i>of present and future generations;</i> core values; practices and human survival;	
International security (CT)	International society	Conflict; global stability; global economy;	
Ecological security (<i>CT</i>)	Biosphere	Challenges to equilibrium associated with contemporary political social and economic structures;	
Non-security (NCT)	Climate change; People; Society		
Security non- specified (CT)	General expression of security implication	Risks; significant impacts; Dangerous threat; dangerous challenge; catastrophic effects; challenges of significant scale; toughest challenge facing our world; at war with nature; dramatically impacting our lives; protect our planet from it; existential threat; emergency; save our planet	

Applied and adapted framework of climate change threat framings.

Table 2

Note: non-cursive source: McDonald's, 2013, p. 49; in cursive: own additions.

The last hypothesis relates to the recognition of cooperation as a necessity to reduce the common threat of climate change. Again, the actual occurrence of this factor is determined through performing a discourse-analysis, collecting all expressions that included the term

'cooperation', with special attention given to EU-China joint statements. These expressions were then used to identify the narratives held by both the EU and China on climate change, as to determine whether they have openly recognised the necessity to cooperate. This data was then used to test the fourth, and final, hypothesis. As with the previous hypotheses, data from the semi-structured interviews were used to contrast, compare and contextualise the data from the discourse-analysis. In table 3, a summary of the operationalisations of the factors for endurance is provided.

Table 3

The variables for	Endurance: summary	of	operationalization.

Variable	Operationalization		
Endurance (DV2)	Whether the cooperation continuously maintained existence after it emerged, i.e. whether the bilateral climate cooperation between the EU and China was not bilaterally or unilaterally ended because of disputes.		
3. Climate change recognised as a common threat (EF3)	 Component 1: the identification of expressed security-perceptions on climate change between 1991-2019. Categorised in accordance with table 2. After which the share of each category was determined. When the share of common-threat categories is greater than the share of non-common threat categories for a given period, this is understood as a recognition of climate change as a common threat. Component 2: examples of actual expressions of common threat recognitions. Fit in either of the common threat discourse categories and serve to highlight the common threat recognition. 		
4. Only through cooperation can common threat be reduced (EF4)	Narratives on cooperation by both the EU and China between 2005-2019, based on expressed perceptions. For this factor to have occurred in practice, both narratives of the EU and China need to continuously include the expressed cooperation as necessary to reduce the threat. In other words, this narrative should be identified starting in 2005, while remaining unchanged until 2019.		

Note: (DV) refers to dependent variable; (EF) refers to explanatory factors.

4. Findings

The results of the analysis are summarised in table 4 (page 18). The analysis found evidence of 3 of the four explanatory factors in practice, and therewith affirmations of their corresponding hypotheses. The remainder of this chapter consists of four sections. The first half deals with the hypotheses on the emergence of cooperation (4A). Section 1 starts with the findings on the dependent variable 1 (emergence of cooperation). Section 2 maps out the findings on the first explanatory factor (reduced uncertainty through benign-intentions-communication-tactics). Section 3 maps out the findings on the second explanatory factor (cooperation 4B). Section 4 starts with the findings on the second dependent variable (endurance of cooperation). Section 5 maps out the findings on the third explanatory factor (cooperation), and section 6 maps out the findings on the fourth and last explanatory factor (cooperation recognised as necessary to reduce common threat). Each section is divided into part A (EU) and part B (China).

Table 4Summary of the analysis per factor

Variable	Component	EU	China
Emergence (DV 1)	1991-2005	 Expressed willingness to cooperate with China on CC in 2003. Signed the EU-China Partnership on CC in 2005. 	 Expressed willingness to cooperate with the EU on CC in 2003. Signed the EU-China Partnership on CC in 2005.
			•
Reduced Uncertainty (EF 1, Emergence)	Benign-intentions- communication-tactics	Emission Control Agreements	Emission Control Agreements
(EP 1, Emergence)	communication-tactics	✓ Combination of Unilateral Restraint & defence	✓ Defence Emphasis
		Emphasis	✓ Unilateral Restraint
	Attitudes on climate change	GHG Cause of Climate Change; primarily originated from Developed countries.	Emissions from Industrialised countries caused climate change.
		Developed have the main responsibility to address climate change; Developing may voluntarily contribute.	Developed countries have the main responsibility to address climate change; Developing can do so voluntarily with support.
Cooperation (EF 2, Emergence)	Narrative: Cooperation as a means to increase security	$\mathbf{x}_{\text{Narrative did not include a direct link of cooperation}}$ with its security	imes Narrative did not include a direct link of cooperation with its security.
Endurance (DV 2)	2005-2019	✓ Cooperation was not unilaterally or bilaterally ended.	✓ Cooperation was not unilaterally or bilaterally ended.
Common Threat (EF 3, Endurance)	Component 1: Climate change threat framings	✓ 2005-2007: 60,5% of Narrative referred to climate change as Common Threat.	✓ 2005-2015: 52,6% of narrative referred to climate change as Common Threat.
		✓ 2008-2015: 85,7% of narrative referred to climate change as Common Threat.	✓ 2016-2019: 66,6% of narrative referred to climate change as Common Threat.
		✓ 2016-2019: 89,6% of narrative referred to climate change as Common Threat.	✓ 2005-2019: 56% of narrative referred to climate change as Common Threat.
		✓ 2005-2019: 77,4% of narrative referred to climate change as Common Threat	
	Component 2: Concrete expressions CT	✓ e.g. climate change impacts international security and multiplies threats of existing instabilities and tensions.	✓ e.g. climate change threatens the 'survival and development of human society' (2008CNPA).
Cooperation	Narrative: Cooperation	✓ Multilateral	✓ Multilateral
(EF 4, Endurance)	necessary to reduce CT	✓ Bilateral	× Bilateral

Note: DV refers to Dependent Variable; EF refers to Explanatory Factor;

4A: Emergence (DV 1)⁷

The findings show that both the EU and China expressed their willingness to cooperate on climate change in 2003 (2003CNPA; EU-China Summit, 2003). In 2005, this willingness was reified as the EU-China Partnership on Climate Change (2005EUCNB). In this high-level political framework, both the EU and China agreed to strengthen cooperation and dialogue on climate change, on the basis of joint objectives and projects (2005EUCNB). Therefore, this thesis concludes the process of emergence was completed in 2005 when the EU and China reached the EU-China Partnership on Climate Change. The relevance of the hypotheses on emergence was consequently determined from 1991 to 2005 (H1 & H2).

4A:1A Reduced Uncertainty EU (EF 1, Emergence)

Figure 4 (page 22) shows that the EU pursued two uncertainty reducing tactics: *emission control agreement* and a combination of *unilateral restraint with defence emphasis*. These tactics were in line with China's attitude towards the responsibility for causing and addressing climate change.

Benign-intentions-communication-tactics⁸

The first uncertainty reducing signalling tactic, that of *emission control agreement*, requires four components to be present: reaching an agreement, signing it, ratifying it, and fulfilling the commitments laid down in it. In 1992, the EU signed the Convention of the UNFCCC, agreeing to the non-binding commitment of stabilising its GHG emissions at 1990 levels by 2000. The EU overachieved this non-binding commitment by reducing emissions by 3.3% between 1990 and 2000 (2004EUPCB). The same tactic occurred in practice again when the EU agreed to the Kyoto Protocol in 1997. The EU signed this protocol in 1998 and approved it in 2002. China recognised this approval in its address at the 8th Conference of the Parties in 2002. Before 2005, the EU did not fulfil its 2008-2012 commitment. It did, however, signal a 3% reduction in 2004. Furthermore, it outlined and adopted several policies, such as the implementation of the European Emissions Trading System (EU ETS) in 2005. **Overall, ever since 1992, the EU has signalled its benign intentions through emission control agreements.**

The second tactic, a combination of both unilateral restraint and defence emphasis, occurred in practice for the first time in 1996, when the European Parliament allocated 4 million European Currency Units (ECU) to an energy efficiency project in China. The EU took the tactic to a new level in 2001, by allocating 20,6 million euros to mitigation and adaptation projects in China. A year later, the first Chinese Clean Development Mechanisms (CDM) project, as outlined under the Kyoto Protocol, was signed in China with the Netherlands, an EU Member State. Figure 4 (page 22) makes very clear that the combined tactic was only intensified over the following years. In 2003, the EU allocated 17,3 million euros to mitigation and adaptation projects in China. In 2004, the EU's budget for mitigation and adaptation projects in China. In 2004, the EU's budget for mitigation and adaptation projects in China, to increase China's capacity in the development of renewable energy (2003), or to train for the implementation of CDMs in China (2003).

Furthermore, in 2004, the EU launched its environmental technologies action plan, which included over eighteen research projects with China, of which 50% focused on the topic

⁷ An overview of the documents on which this section is based is provided in Annex A1 (page 43).

⁸ Idem. Annex A2 (page 43).

of energy efficiency. Ever since 1996, the EU has signalled its benign intentions through unilateral restraint and defence, massively expanding the scale from 2001.

China's reception (attitudes)⁹

Between 1990 and 2005, China continuously pointed to GHG emissions from industrialised countries as the *cause* of climate change. As for *addressing* climate change, it urged developed countries to fulfil their commitments enshrined in the Convention of the UNFCCC and the Kyoto Protocol. More specifically, China asserted the stabilisation and reduction of GHG emissions, the provision of financial support to developing countries, and the provision of technology transfer to developing countries. Developing countries, such as itself, could themselves decide to take action voluntarily. China's attitude towards the responsibility for causing and addressing climate change is therefore compatible with the EU's benign-intentions-communication-signals.

Furthermore, an EU-China climate change relations scholar and two senior European diplomats emphasised that China did acknowledge the leading role and the actions taken by the EU on climate change before 2005. These diplomats, based in Beijing, agreed to the premise that the EU reduced uncertainty by acting upon its responsibilities, a view shared by the scholar. In this regard, the latter highlighted how the EU convinced China of the Clean Development Mechanism's economic potential. Apart from that, one of the diplomats pointed to the importance Chinese officials attach to fulfilling commitments. The EU showing good intentions, he went on to explain, had served as a kick-starter for China's interest in climate change, eventually culminating in the EU-China Partnership on Climate Change. This proves that the EU's benign-intentions-communication-signals were received by the Chinese government. Summing up, the analysis made clear that the EU engaged in two benign-intentions-communication-tactics which reduced China's uncertainty about climate change cooperation. Thereby affirming the relevance of the hypothesis for the EU.

4A:1B Reduced Uncertainty China (EF 1, Emergence)

Figure 5 (page 23) shows that China pursued three uncertainty reducing tactics *emission control agreement*; *defence emphasis* and *unilateral restraint*. Moreover, the tactics were in line with the EU's attitude towards the responsibility for causing and addressing climate change. The discourse-analysis revealed the factor did occur in practice, whilst the interviews revealed this was not necessary for the EU as to be willing to partake in cooperation with China.

Benign-intentions-communication-tactics¹⁰

The first uncertainty reducing tactic, that of *emission control agreement*, unfolded in 1993 when China ratified the Convention of the UNFCCC. However, the ratification of this Convention did not impose the same non-binding commitment of stabilising GHG emissions on China, as it did on the EU, for non-binding commitment was limited to 'Developed Country Parties and other Parties included in Annex I' (UNFCCC, 1992, p. 7). In other words, even though China partook in every stage required, signing, agreeing, ratification and fulfilling commitments, the agreement itself held no specific commitments to actual emission control. The Convention, however, did entail China's commitment to formulate and implement measures to 'mitigate climate change by addressing anthropogenic emissions by sources and

⁹ An overview of the documents on which this section is based is provided in Annex A3 & A4 (page 44).

¹⁰ Idem. Annex A5 (page 45).

removals by sinks of all greenhouse gases not controlled by the Montreal Protocol, and measures to facilitate adequate adaptation to climate change' (UNFCCC, 1992, p. 5). This implies that by adopting and implementing mitigation and adaptation measures, China would still have been able to communicate its benign intentions through an emission control agreement. However, given these measures' voluntary nature, they were categorized as adaptation and mitigation measures, i.e. tactics of *defence emphasis* and *unilateral restraint*.

Between 1991 and 2003, China pursued these tactics rather half-heartedly by only declaring it had taken measures. Not until China's National Communication on Climate Change (NCCC) in 2004 did it elaborate on past and future policies and measures (2004CNPA), of which a few are included in figure 5 (page 23).

More important for the tactic of unilateral restraint are the policies' actual achievements. In its NCCC, China listed several of them. First, China's energy intensity per unit of GDP had dropped by 5,32% annually. Second, through raising energy efficiency, China had achieved 9% total annual energy savings between 1990-2000. Third, it had increased its GHG emission sinks by planting 35 billion trees since 1982. In short, China had implemented policies to improve energy efficiency and communicated these before 2005. China also made steps towards increasing its GHG emissions sinks, which ceteris paribus means an overall reduction in emissions. By doing so, China endeavoured to convince the international community of its ability to reduce emission growth: a demonstration of benign intentions.

The EU's reception (attitudes)¹¹

The EU's narrative from 1991 to 2005 blamed GHG emissions originating from industrialised countries as *causing* climate change. A slight transformation occurred around 2004 when the EU started to highlight the negative impacts of growing emissions from Developing countries on the overall global mitigation efforts. As for *addressing* climate change, the EU was consistent in asserting that this responsibility lay mainly with developed countries. Whilst the EU argued Developing countries could do their share by improving energy efficiency and thereby reduce the growth of their emissions, the EU stressed the voluntary nature of such contributions and the conditionality of such actions on the provision of support from Developed countries. China's actions, for instance, increasing energy efficiency and its openness to support provision, correspond with the attitudes of the EU. Since this was exactly what happened between China and the EU - China took action, the EU lent support - it may be concluded that **the EU's attitude towards the responsibility for causing and addressing climate change concurs with China's benign-intentions-communication-tactics.**

However, the semi-structured interviews warn against overestimating their role in the EU's advances towards China as far as climate change is concerned. Instead, the interviewees stressed that the EU's exhortations and physical assistance were not so much a response to China's communication tactics as manifestations of self-interest. It was the EU, after all, that actively sought to enlist one of the world's biggest polluters in the fight against climate change. Notwithstanding its benign intentions, the interviewees remarked, China took a more passive stance, consistently clinging to the conditionality of its climate action.

Overall, the factor was identified in practice, but the findings of the semistructured interviews indicate the actual occurrence of benign-intentionscommunication-tactics by China, was not required by the EU. The findings thereby affirm the relevance of the hypothesis. The findings do, however, differ from the assumptions on which this factor is based, which is discussed in more detail in chapter 5 (discussion).

¹¹ An overview of the documents on which this section is based is provided in Annex A6 & A7 (page 45).

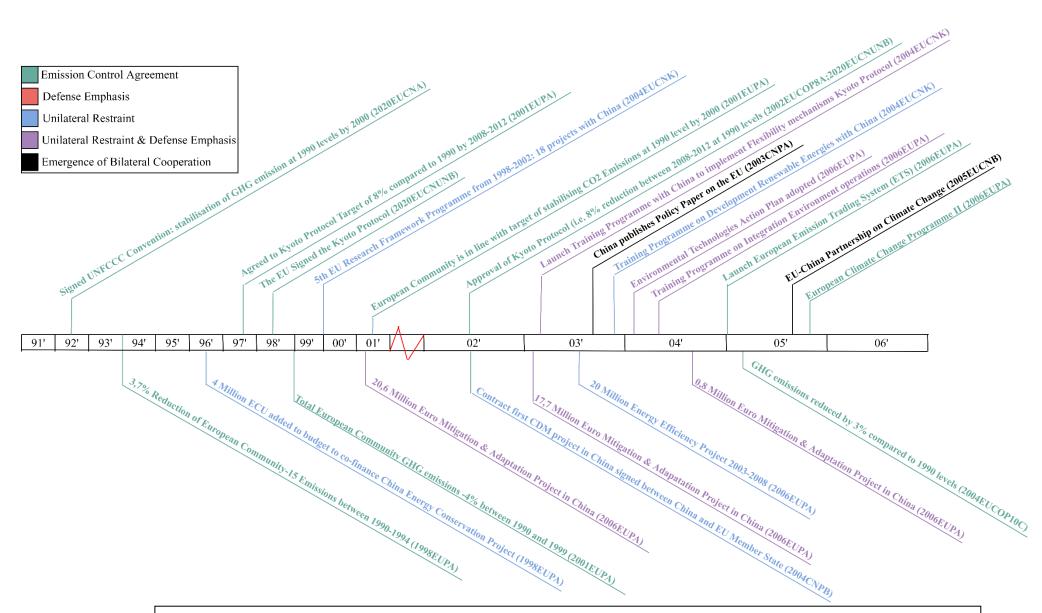


Figure 4: benign-intentions-communication-tactics of the EU between 1991-2005 based on the discourse-analysis.

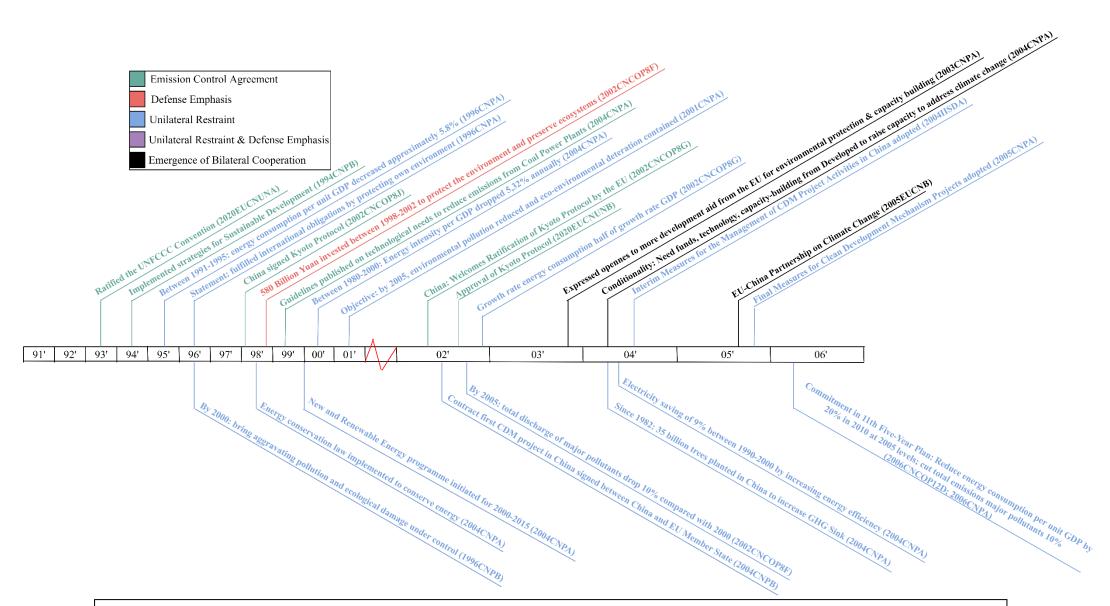


Figure 5: benign-intentions-communication-tactics of China between 1991-2005 based on the discourse-analysis.

4A:2A Cooperation as a means to increase Security EU (EF 2, Emergence)¹²

The analysis of over 520 documents, along with the semi-structured interviews, painted a detailed picture of the EU's narrative on climate change cooperation, both in a general sense and with China in particular. It became clear that the EU regarded bilateral cooperation as a way to safeguard China's engagement on the topic of climate change, rather than as a way to increase its security. **Thus, no evidence was found of the second factor occurring in practice.** Nevertheless, the EU did send out a policy document on the outlook of EU cooperation with Asian countries in 2003, stressing the security benefits Asian countries would reap when cooperating with the EU on climate change. Also, the notion that bilateral cooperation can ensure another party's commitment to a topic such as climate change is of paramount importance. All interviewees agreed that China's devotion to fighting climate change depended (and still largely depends) on diplomatic impetus, that is to say, on efforts made by other countries as part of the broader bilateral relationship. **Given no evidence was found of the second factor in practice, the relevance of the second hypothesis for the EU is weakened.** The implications of these findings are discussed in more detail in the discussion (Chapter 5).

4A:2B Cooperation as a means to increase Security China (EF 2, Emergence)¹³

Similarly, for China, the analysis yielded no concrete evidence of the second factors' actual occurrence: references to bilateral cooperation as a means to increase security are absent in the country's narrative between 1991-2005. By contrast, affirming the inequality between developed and developing countries, it focuses on the former's obligation to support the latter in the fight against climate change. China argued, as early as 1991, that its mitigation measures hinged on the support provided by developed countries (1991INCF). It saw this conditionality as the logical consequence of the international economic system's disparity, more specifically the developed countries' larger share in causing climate change. In its first National Communication on Climate Change to the UNFCCC in 2004, China confirmed this stance, whilst also expressing its openness to cooperative mechanisms and dialogues (2004CNPB). In other words, one of China's motivation to cooperate with developed countries was to secure support for intensified climate action. As with the EU, the lack of evidence of the second factor occurring in practice weakens the relevance of the second hypothesis for China. The implications of this finding are discussed in more detail in the discussion (Chapter 5).

4B: Endurance (DV2)¹⁴

The findings show the EU-China cooperation on climate change has endured ever since its establishment until now. It has not been unilaterally or bilaterally ended. Rather, the findings indicate that it has been reinforced overtime and expanded to include more projects and cooperative acts. For instance, in 2013, the EU and China signed a Comprehensive Strategic Partnership, which broadened climate change cooperation. Several disturbances, however, challenged the bilateral cooperation's endurance in general. In 2008, for example, China cancelled a summit between the EU and China because the French president had an unofficial meeting with the Dalai Lama. In 2017, the EU and China did not make a joint-statement because

¹² An overview of the documents on which this section is based is provided in Annex B1 (page 46).

¹³ Idem. Annex B2 (page 46).

¹⁴ Idem. Annex C1 (page 46).

of trade disputes. Nevertheless, the bilateral cooperation on climate change has endured overall.

4B:1A Common Threat Recognition EU (EF 3, Endurance)

The analysis of common threat recognition showed that this factor occurred in practice. As outlined in the methodology, this analysis included two separate components: security-discourse categorization and concrete expressions of common threat.

Component 1: Climate Change Threat Framing

Whilst examining the EU's narrative on climate change, all sentences including the term *climate change* were collected and categorised according to the Hansen (2006) and the McDonald (2013) inspired security-discourse framework (Figure 6). The size of each square was based on the share of the discourse category in comparison with that period's total. For instance, the size of the non-security category between 2005-2007 was determined by calculating the number of non-security references and comparing them with the total amount of categorised references between 2005 and 2007. The period of endurance (2005-2019) was split up into three timeframes to highlight major transformations in the narrative. The period of emergence (1991-2004) was included for comparison's sake.

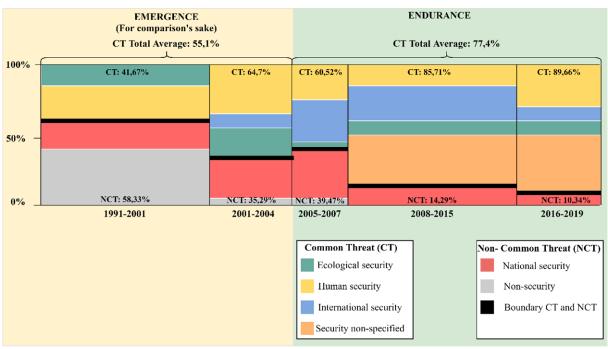


Figure 6: Share of Common Threat and non-Common Threat framings in EU documents from 1991 to 2019.

Figure 6¹⁵ depicts that from 2001, the EU referred to climate change primarily as a common threat, as opposed to the period before, when it considered climate change a non-common threat most of the times. This was mainly due to a sharp decrease in non-security framings, which constituted the largest share between 1991 and 2001. By 2008-2015, their place had been taken by non-specified security framings, after a striking rise of international security framings over 2005-2007. In other words, the EU increasingly defined

¹⁵ An overview of the documents on which this figure is based is provided in Annex C2 (page 47).

the impact of climate change in terms of conflict, global stability, and the global economy. After 2015, more emphasis was placed on human security, that is to say, on the effects of climate change on current and future generations' lives and livelihood. Over the entire period between 2005 and 2019, 77,4% of the EU's statements on climate change framed the phenomenon as a common threat.

Component 2: Concrete recognition of Common Threat

In addition to counting and categorising climate change threat framing, this paragraph takes a closer look at the language used to express these framings. **Particularly striking, first of all, is the expansion of militant vocabulary ever since 2001, for instance '[we have] unconsciously been at war with nature' (2019EUCOP25C).** Such expressions lend a strong sense of urgency to the narrative, as if, indeed, only joint direct action will prevent disastrous consequences from happening. The EU furthermore directly linked climate change with global security (e.g. 2006EUCOP12C), while recognising the dependency of its security on decisions made by large economies, such as China. Starting in 2008, the EU directly expressed the threat multiplying nature of climate change and instabilities (e.g. 2008EUECA; 2008EUPCA). Another representative example of the many expressions is a statement made in 2016 when the EU stated 'our families, our health, our welfare, our security and our livelihood' depend on our ability to fight climate change (2016EUCOP22L).

It seems the EU consciously used language that brings to mind images of war and other existential fears, living inside any individual wherever they are located on the earth. As a result, climate change moves from an abstract phenomenon to something far more tangible and comprehensible, yet worrisome still. It has been framed as a threat equally shared among the earth's inhabitants: a common threat.

The interviews unanimously agreed that the EU recognises climate change as a common threat and the contribution of such recognition to the endurance of EU-China climate change cooperation. Therefore, the findings affirm the relevance of the third hypothesis for the EU.

4B:1B Common Threat Recognition China (EF 3, Endurance)

The analysis of common threat recognition showed that this factor occurred in practice. As outlined in the methodology, the analysis included two separate components: security-discourse categorisation and concrete expressions of common threat.

Component 1: Climate Change Threat Framings

Calculations were performed in the same manner as described in the preceding paragraph. Here, the overarching period of endurance (2005-2019) was divided into two different timeframes that reveal a fundamental transformation in China's narrative. The period of emergence (1991-2004) was included, again, for the sake of comparison. The results of the categorisation are presented in figure 7 (page 27).

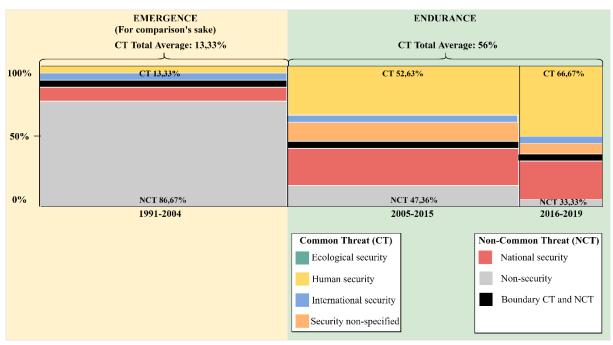


Figure 7: Share of Common Threat and non-Common Threat framings in Chinese documents from 1991 to 2019.

As with the EU, China's narrative concerning the security implications of climate change transformed significantly throughout the period under scrutiny as depicted in figure 7¹⁶. While initially (between 1991 and 2004), the largest share of framings of climate change were non-security related, from 2005 onwards an ever-increasing share of China's framings referred to common threat discourse categories. Overall, between 2005 and 2015 over 52% of all framings were common threat-related. This share increased greatly between 2015 and 2019 when over 65% of framings were related to common threats. This was mainly due to an increasingly central focus of human security impacts of climate change, and a decline in non-security framings. Over the entire period between 2005 and 2019, 56% of China's statements on climate change framed the phenomenon as a common threat.

Component 2: Concrete Recognitions of Common Threat

By 2008, China's narrative was explicitly characterising climate change as a common threat, as evidenced by statements such as the following, relating the impact of climate change to 'the survival and development of human society' (2008CNPA). China maintained this narrative throughout the period analysed (e.g. 2009CNCOP15H; 2018CNPB). In contrast to the EU, China's language made far less use of militaristic vocabulary, which is not a great surprise, since its narrative scarcely includes metaphors of battles or fights, favouring images of hardship and survival instead: 'our people are suffering from the adverse effects of CC even as we speak' (2010CNCOP16B). Nevertheless, this human-centred approach achieves the same effect: climate change is framed as a threat to the survival of all human beings.

The interviews, too, acknowledged that China recognises climate change as a common threat. More importantly, they saw shared recognition by China and the EU as a vital element for the endurance of their bilateral cooperation on climate change. Thereby

¹⁶ An overview of the documents on which this figure is based is provided in Annex C3 (page 47).

affirming both the importance of this factor to understand endured cooperation and the relevance of the third hypothesis in the case of China.

4B:2 Cooperation to reduce Common Threat EU + China (EF 4, Endurance)

The analysis showed both the EU and China recognised the necessity of engaging in cooperation to reduce the common threat of climate change, thereby confirming the actual occurrence of endurance's second EF. However, a small difference between their respective narratives was found: whereas the EU specifically emphasised the necessity of cooperation with China, China in its commentary refrained from this kind of detail. The EU and China also made joint statements on the topic of climate change, which is referred to as their joint narrative. In it, both expressed the recognition of the necessity of engaging in bilateral cooperation to reduce the common threat of climate change.

<u>4B:2A Cooperation to reduce the Common Threat EU (EF 4, Endurance)¹⁷</u>

Zooming out from the level of individual documents, it becomes clear that the EU views cooperation as a vital means of transferring technologies and identifying actions which developing countries would be willing to take. As the previous sections have made clear, the EU believes it is only through these processes that developing countries can become allies in the fight against climate change. Specifically, in the case of China, the EU sought to build a sound bilateral relationship not only based on the unilateral provision of development assistance, but also the shared responsibility towards an elusive phenomenon. A striking example of this mentality is the speech given in 2007 by the European Commissioner for External Relations at the Qinghua University in Beijing (2007EUCNC). Addressing an audience of students and policymakers, he illustrated how climate change had turned into a matter of utmost urgency and massive scale, only to be resolved by working together. One of the European diplomats based in Beijing expanded upon this vision, saying that European and Chinese interests on climate change are very closely related. The interviewee expressed that bilateral cooperation on this subject is pragmatic of nature, as it allows for policy diffusion and the provision of support. All in all, the EU consistently recognised that cooperation was necessary to reduce climate change, meeting the last EF for endurance, thereby affirming the relevance of the last hypothesis for the EU.

4B:2B Cooperation to reduce Common Threat China (EF 4, Endurance)¹⁸

China's narrative shows a remarkable development in the course of the years of endurance. Between 2005 and 2009, it did not depart from the conditionality of its mitigation and adaptation actions on the provision of support by developed countries, although it remained willing to cooperate as a way of guaranteeing this support. Between 2010 and 2019, however, China moved from this comparatively passive stance to a more proactive approach: instead of quickly designating Developed countries as responsible for causing and addressing climate change, it began to frame cooperation as a means of increasing its *own* capacity to do so. **Furthermore, China recognised the necessity of continuously engaging in multilateral cooperation to reduce climate change. At no point, however, did it consider bilateral cooperation with the EU to be equally important.**

¹⁷ An overview of the documents on which this conclusion is based is provided in Annex D1 (page 48).

¹⁸ Idem. Annex D2 (page 48).

In the interviews, it was argued that China's prime motivation to engage in cooperation is to ensure technology transfer and the provision of financial support, which, again, acknowledges the necessity of cooperation to reduce the threat of climate change, thereby, reaffirming the findings from the discourse-analysis. To sum up, the last factor also may be considered to have occurred in practice, thereby affirming the relevance of the fourth hypothesis for China.

<u>4B:2C Cooperation to reduce Common Threat EU + China (EF4, Endurance)¹⁹</u>

Joint statements constitute a special category, given the fact that they usually only come into being when two parties already intend to cooperate, to a greater or lesser extent. In joint statements between the EU and China, then, cooperation is framed as a prerequisite for reducing the threat of climate change. Their 2005 joint-narrative described cooperation as a means to address climate change in a rather straightforward fashion. Four years later, however, both leaders went a step further by emphasising the urgency to deepen international cooperation. Notably, Premier Wen Jiabao of the State Council of China and José Manuel Barroso, President of the European Commission, stated that meeting global challenges called for 'the joint efforts and close cooperation of the EU and China' (2009EUCNB, p. 2-3). Both leaders stressed the need for international cooperation to address climate change again in 2012 whilst also reaffirming their commitment to cooperate on this topic themselves (2012EUCNA, p. 7). In 2015, Donald Tusk, President of the European Commission, and Premier Li Keqiang of the State Council of China agreed that climate changes poses a threat to humankind's existence and that both the EU and China play critical roles in addressing it (2015EUCNA, p.3). Here too, it was concluded that the issue's gravity and pervasiveness called on both sides to work together (2015EUCNB, p, 3).

After the United States of America's withdrawal from the Paris Agreement in 2017, the EU and China responded by drafting a joint statement on climate change (2018EUCNB). In the statement, both reiterated the threats of climate change and confirmed their shared commitment to implement the Paris Agreement. Furthermore, they expressed confidence that cooperation on climate change and clean energy would become the main pillar of their bilateral partnership, including the economic dimension.

As the above demonstrates the last factor of endurance occurred in practice for both the EU and China. Therefore, the findings affirm the relevance of the fourth hypothesis for both the EU and China.

5. Discussion

Previous scholarship on EU-China climate change cooperation has applied Realist thinking to only a limited extent. The same goes for other topics within the realm of climate change cooperation: merely a few academics have availed themselves of Realism's potential. In response, this thesis endeavoured to explore the field by identifying how Realism would explain the emergence and endurance of EU-China climate change cooperation. Four explanatory factors defined by Realism's leading theorists were adapted to fit the topic of climate change. An extensive discourse-analysis then determined whether these factors

¹⁹ A detailed overview of the documents on which this conclusion is based is provided in Annex D3 (page 48).

occurred in practice, that is, whether these factors occurred in the case of EU-China relations. The findings of which were then compared and contrasted with data from semi-structured interviews. By doing so, this thesis affirmed or weakened the relevance of hypotheses, and found indications of additional factors contributing to the emergence and endurance of EU-China climate change cooperation. Besides contributing to the overall scholarly attempts to understand EU-China climate change cooperation, this thesis has shown the theories of Glaser and Mearsheimer to be flexible to a certain extent. The thesis showed the military tendency, and centrality of the Cold War in both theories can be translated and adapted to more modern forms of security threats. Most notably, uncertainty reduction through benign-intentionscommunication-tactics (explanatory factor 1) appears to have contributed to the emergence of EU-China cooperation on climate change (hypothesis 1). Common threat recognition (explanatory factor 3) and recognition that the common threat can only be reduced through cooperation (explanatory factor 4) appear to have contributed to the overall endurance of said cooperation (hypotheses 3 & 4). This chapter proceeds as follows. First, the findings' theoretical implications and areas for future research are delineated per factor. It then concludes by discussing the limitations that affected the research in its entirety.

5A:1 Theoretical implications of findings & future research (EF 1, Emergence)

Whilst previous research has explained emergence primarily as a function of the institutionalisation of the overall EU-China bilateral cooperation (De Matteis, 2010; Liu et al., 2019; Chistiansen, 2016), the analysis found indications that reduced uncertainty through benign-intentions-communication-tactics can contribute to the emergence of cooperation, even in the absence of bilateral climate change institutions. Crucially, the analysis found that mitigation and adaptation measures, usually enforced with long-term targets in mind, also have more direct effects. After all, the mere decision to take such a measure already signals benign intentions and thus influences other actors in the global arena, an important side-effect that will hopefully favour the case of mitigation and adaptation.

Although Glaser's Contingent Realism implies that both parties are required to reduce uncertainty through benign-intentions-communication-tactics, the semi-structured interviews disproved this premise. For the interviewees made very clear that the EU would also have cooperated with China, had the latter not reduced uncertainty towards the EU. In other words, signalling behaviour does not seem to be reciprocal in nature, which entails that uncertainty of motives is not as equally distributed among all actors as Glaser argued. This could be very well due to the different levels of development and/or the different attitudes towards the EU continuously referred to these differences. by both actors. This observation corresponds with Yan's (2020) finding that disagreement on the distribution of responsibilities for addressing climate change limits the prospects of cooperation. Whilst it seems logical that those deemed responsible are also the ones who have to make the greatest effort to reduce uncertainty, future research could dissect more precisely how attitudes on climate change affect or influence the distribution of uncertainty between international actors.

As for climate change, the distribution of uncertainty could perhaps be tested in light of different notions of equity, for instance, the North/South or Developed/Developing dichotomies. After all, the findings leave no doubt about China's conditionality - having climate action depend on support from Developed countries - and the EU's self-interest in encouraging China to take climate action. It were these circumstances that very probably urged the EU to

provide China with mitigation and adaptation support. The centrality of self-interest coincides with De Cock (2010), who argues that the EU's efforts to improve energy efficiency in China was directly in accordance with the EU's global temperature target of limiting global warming to two degrees Celsius²⁰. In other words, attitudes take their shapes within a certain political, social, economic and cultural context. By devoting more attention to context, future researchers might be able to paint a clearer picture of these attitudes, which, in turn, will enrich interpretation and understanding of quantitative data.

Such research might also take a closer look at the development of these attitudes over time, another issue that surfaced whilst carrying out the analysis. The findings suggest that as the EU took more adaptation and mitigation measures, it raised its expectations of others accordingly. Depending on their scope and resonance among policymakers, scientific reports perhaps constitute another driving force behind evolving attitudes. Since these are essentially behavioural issues, future researchers would do well to draw theoretical and methodological inspiration from academic fields like psychology or sociology.

Lastly, uncertainty reduction through benign-intention-communication-tactics was analysed exclusively for the emergence of cooperation. It could well be, however, that continuous engagement in these tactics also contributed to the endurance and/or deepening of cooperation over time. It was not within the scope of this research to make final statements on this matter, further research could provide clarification by delving deeper into the concept of benign-intentions-communication-tactics.

5A:2 Theoretical implications of findings & future research (EF 2, Emergence)

The actual occurrence of the second factor was not determined: both the EU and China perceived cooperation as a means to achieve gains other than security gains. For the EU, cooperation served as a way to ensure broader global participation on climate change, whilst China utilised its bilateral and multilateral ties to negotiate support for the purpose of its own mitigation and adaptation action. Notwithstanding the absence of explicit security-related phrasing, it can be argued that both the EU's and China's narrative on climate change cooperation referred to security benefits in more indirect ways. For the EU, broader global participation on climate change, i.e. more countries taking mitigation and adaptation measures, could help reduce the severity of climate change, which will undoubtedly result in security benefits. For China, its intentions to take adaptation measures are particularly significant in this regard. Adaptation entails measures that foster a country's ability to cope with climate change in the near and distant future, and thus increase said country's security.

It could well be that the research method used was not suitable to identify such direct links. After all, official narratives also serve political purposes, like persuading other countries to implement policies friendly to one's own interests. Explicitly stating that development assistance is going to contribute to one's national security, to take China as a hypothetical example, would hardly convince others of providing such assistance. Stating instead that support is going to enhance mitigation action, which creates benefits for other countries, is a more convincing argument. As this example highlights, cooperation narratives seem to emphasise benefits for the other party rather than one's own. However, more research is necessary to establish possible differences between cooperation narratives in general and narratives on climate change cooperation in particular.

²⁰ This target was adopted by the EU in 1996; and globally in 2015 when the Paris Agreement was reached (Gao, Gao, & Zhang, 2017)

Crucially, the analysis found that both the EU and China, albeit not specifically on the field of security, said to have gained from cooperation. This seems more in line with Liberalist thinking, as set out by, for example, Dorussen et al. (2018), who argued that, in the case of the EU and China, mutual recognition of cooperation's advantages is sufficient for cooperation itself to take place. The implications are twofold. First, security benefits are not the primary factor contributing to the emergence of bilateral climate cooperation between the EU and China, a compelling argument to alter the hypothesis deduced from Contingent Realism. Second, the follow of cooperation's advantages seem to perception the North/South and Developed/Developing dichotomies on climate change, as described by for instance Gupta and van der Gijp (2010). Further research could establish to what extent an actor's position within these dichotomies influences or shapes its perception on the benefits of climate change cooperation.

5A:3 Theoretical implications of findings & future research (EF 3, Endurance)

The analysis indicated that the recognition of climate change as a common threat contributed to the endurance of EU-China climate change cooperation. Thereby it affirmed the relevance of the third hypothesis, and the overall scholarly attempt to better understand the endurance of EU-China climate change relations.

The findings also demonstrated that China's recognition of climate change as a common threat arrived later than the EU's. This might be explained by comparing their respective languages and cultures. For instance, Schneider & de Meyer (1991) found that differences in culture influence interpretation and responses to language. Imaginably, Chinese government officials may be or may have been more reluctant to use harsh vocabulary. Or perhaps (Mandarin) Chinese as a language is generally less explicit than English. Future research could substantiate or entirely dismiss this speculation by examining the relation between China's attitude on climate cooperation and its language and culture, taking into account that these concepts in themselves are multifaceted and possibly problematic.

Furthermore, the findings challenge Geeraerts's (2019) sole application of Realism to identify factors that cause divergence in EU-China relations. They highlight that Realism can also be used to identify factors that contribute to convergence in EU-China climate change cooperation. This should inspire scholars researching the endurance of cooperation to view Realism not only as a force of divergence but also as a force of endurance. This likely applies to all forms of climate change cooperation, providing ample opportunities for future research.

Through its analysis, the thesis also contributed to the theoretical debate on security issues in general. The Securitisation theory, to take a prominent example, argues that politicians can create a sense of urgency by securitising phenomena²¹, and thereby clothing certain policy actions in legitimacy (Waever, 1995). On the surface, Offensive Realism's explanatory factors as applied in this thesis reflect a very similar process. After all, both the EU and China securitised climate change as a common threat (albeit slightly differently: the EU used pugnacious framings, while China stressed its victimhood), and since cooperation was portrayed as a means to reduce said threat, it gained legitimacy. Explanatory factors 3 and 4, however, conflict with securitisation processes in two respects. First, Waever (1995) argues that the act of securitization is decided upon by the people in power, whereas Mearsheimer writes that it is a state's rationality that determines whether phenomena are recognised as threatening.

²¹ That is, in 'naming a certain development a security problem, the 'state' can claim a special right' (Waever, 1993, p. 6).

The main difference here is the self-serving purpose of securitisation for politicians versus the self-serving purpose of threat recognition for states and their survival.

Given the global threat climate change poses to the entirety of humankind, confirmed by an overwhelming number of scientific reports, Mearsheimer's view seems to have better value. Nonetheless, this thesis made grateful use of securitisation conceptualizations (e.g. Hansen, 2006) to assist the categorisation of security-framings (e.g. McDonald, 2013). This shows that a combination of these broadly analogous theories offers new tools to analyse common threat recognition, among other security-related topics, which could serve as subjects for further research.

5A:4 Theoretical implications of findings & future research (EF 4, Endurance)

Overall, the findings on the last factor of endurance indicate that both the EU and China recognised cooperation as necessary to reduce the common threat of climate change. The analysis thereby affirmed the relevance of the last hypothesis. However, minor differences between the EU and China were discovered. For instance, China did not unilaterally state bilateral cooperation was necessary to reduce the common threat of climate change. It did so only jointly with the EU. The EU, on the other hand, did unilaterally express the necessity of engaging in bilateral cooperation to reduce the common threat. Although the scope of this research did not allow for an inquiry into the causes of this difference, at least two explanations seem plausible.

The first has to do with the EU's and China's slightly divergent attitudes, discussed at greater length in the sections above, with the EU encouraging China to take climate action and China asking the EU and all other Developed countries for support. The second focuses on the concept of sovereignty, which has been incredibly pervasive in China's political discourse (Pan, 2010). Sovereignty, for China, is closely related to its external independence (Pan, 2010). It could, therefore, be that China is more reluctant to express, openly and unilaterally, that its ability to reduce climate change depends on particular actors. Although the analysis has made clear that China is definitely not reluctant to stress the conditionality of its enhanced action on the provision of support in general, overt allusions to dependency on particular actors might be limited because of its clear-cut ideas about sovereignty. The narrative of conditionality is a more general one, as it refers to support from Developed countries as a whole, and might therefore better correspond with China's view on sovereignty. Future research on climate change cooperation could refine this rough sketch by devoting more attention to the often paradoxical relationship between the global issue of climate change and national issues like external politics, sovereignty and (in)dependence.

5B: Limitations

Overall, the generalisability of the results is limited by the scope of the analysis. Although a large number of documents were analysed, these documents were limited to the EU and China. Therefore, the findings cannot be generalised to other forms of bilateral climate change cooperation. Several limitations related to data sources, the explanatory factors, and data collection methods were determined. All the limitations have been considered while discussing the results, and the limitations do not prevent the provision of answers to the research questions.

5B:1 Limitations - Data sources

Regarding data sources, four initial limitations were identified. First, for the analysis of China's narrative, the analysis incorporated statements and documents made by the G77 and China in multilateral fora. Although initially, the G77 rallied behind China's positions during climate negotiations (Schreurs & Economy, 1997), it could well be that this changed over time. Therefore, these statements could no longer fully include China's narrative on climate change. To account for this, findings flowing from documents of the G77 and China have been contrasted and compared with findings from purely Chinese documents. In doing so, the impact of the inclusion of G77 and China documents on the reliability and validity of the findings was limited.

Second, it was not feasible to categorise each document in terms of expected importance due to the sheer number of documents. This limitation was accounted for by requiring the findings were supported and confirmed by documents originating from a broad range of sources.

Third, this thesis draws heavily on publicly accessible documents. Although extensive efforts were made to obtain certain documents, not all requests were granted. For instance, it was not possible to attain the minutes of meetings between leaders of the EU and China on climate change. These documents might hold valuable information on areas of disagreement and agreement between the EU and China on climate change. This was accounted for by performing semi-structured interviews, and including a large number of documents, originating from different multi/bi/unilateral fora and sources. However, when these documents become accessible, further research could identify whether these contradict the findings of this research in any shape or form.

Fourth, only a limited number of semi-structured interviews were performed, of which none were with Chinese officials. Although extensive efforts were made to contact Chinese officials, none of these efforts was responded to in any shape or form. Given the urgency of COVID-19 and the occurrence of the National People's Congress of China during the thesis writing period, it was understandable that priorities for Chinese officials laid elsewhere. Nonetheless, this restricts the certainty of the conclusions reached from the semi-structured interviews, as these did not include Chinese perspectives. To account for this, it was decided to limit the usability of findings flowing from semi-structured interviews as to compare, contrast and contextualise the findings from the discourse-analysis.

5B:2 Limitations – Theoretical foundation

Regarding the explanatory factors deduced from Realism, four limitations were identified. First, to perform this research, both the EU and China have been treated and considered as unitary actors. This treatment can be criticised in two broad ways. First, a wide range of narratives and opinions exist within the EU on both cooperation and climate change (e.g. different narratives held by different Member States; and within different Member States). This also applies to China, as several interviewees highlighted that different factions with different views on climate change exist within the Communist Party of China. Second, the EU has changed greatly over time, in both name and Member size. For instance, in the 1990s the EU did not yet fully exist, and its predecessor (the European Community) had 15 Members, rather than the 27 Member States it encompasses in 2020 (The European Union, ca. 2020). Whilst these critiques have merit, it does not limit the validity and reliability of the findings because the analysis was limited to *official narratives*. Official narratives are the narratives held

externally (e.g. in international debates) and can be considered as the narratives that have won the internal debate, thereby making them an actor's dominant external narrative. By adopting such an approach, it was possible to consider and treat the EU and China as unitary actors.

Second, both theoretical approaches have been designed to explain the behaviour of *traditional states*. The applicability of these approaches to explain the behaviour of the EU can, therefore, be limited. For instance, Cini & Pérez-Solórzana Borragán (2009) argue the EU cannot be considered a state in the traditional sense. Some scholars argue the EU is less than a traditional state and more than a traditional international organisation (Christiansen, 2016; Wallace, 1983), while others consider it a neo-medieval empire (Zielonka, 2012) or a quasi-federation (Schmitter, 2000). However, the institutions enshrined within the EU act on behalf of its Member States vis-à-vis China and, therefore, fulfil an important stately function. Moreover, to determine the applicability of Realism on EU-China climate change cooperation, it was necessary to broaden the conceptualization of states in Realism as to include the EU.

The third limitation is the centrality of perceptions and recognitions in EF 2, EF 3 and EF 4. Several scholars within the field of International Relations stress the difficulty of determining actors' true perceptions, as they have incentives to misrepresent themselves (e.g. Keohane & David, 2016; Bennet & Checkel, 2015). Given this difficulty, the thesis analysed *expressed* perceptions and *expressed* recognitions. By doing so, expressions of perceptions were identified as they are, which eliminates the necessity of determining how much of the expressed perception is truly internalised by the speaker (Epstein, 2008). The limitation of adopting this view is that it could well be that the EU and China express climate change as a common threat to the survival of humanity, while not internalizing this view completely. This would render their expressions non-compatible with their true perceptions. While this in itself would limit the reliability and validity of the research, this thesis aimed to account for it by including a large number of documents and comparing and contrasting the findings with data from semi-structured interviews.

The last limitation relates to the potential of overestimating signatories of international agreements (part of EF1). For instance, Thompson (2006) highlighted some signatory states of the Kyoto Protocol used public statements as a tool to convince others to ratify, while simultaneously delaying own ratification effects. To account for this, agreements were only counted as a benign-intentions-communication-tactic, after these were also signed, ratified and its commitments fulfilled.

5B:3 Limitation – Data collection methods

Concerning data collection methods, three limitations were identified. The first is partly caused by the aforementioned limitation of the relatively limited number of performed semistructured interviews and is closely related to the scholarly debate on the right conceptualisation of causality. For instance, King, Keohane and Verba (1994) argue that social science theories should bring about falsifiable hypotheses concerning the causality between independent and dependent variables. However, given the relatively low amount of interviews, it was not possible to make claims of causality. Rather, the thesis affirmed the relevance of three hypotheses deduced from Realism.

Second, this research is methodologically rich, which limited the fit between the different methodological components. Although this has not limited the reliability and validity of the findings, it has provided lessons for future research. For instance, to employ these methods in a more focused manner.

Third, this thesis combined Hansen's (2006) security categorisation with McDonald's (2013) security framings to determine common threat recognition. Recognition was determined when 51% of the framings were common threat framings. However, it could well be that a more stringent requirement (e.g. 66,67%) would be better suited. If future research indicates a more stringent requirement is better suited, then the findings of EF 3 would be limited in the case of China.

6. Conclusion

This thesis followed a Realist theoretical framework that explains the emergence and endurance of cooperation on the basis of four factors: reduced uncertainty of motives; cooperation as a means to increase security; common threat recognition; and cooperation as a necessity to reduce the common threat. In the same chapter, these factors were detached from the sphere of military cooperation and adapted in such a way that they corresponded with a slightly different and far more recent form of cooperation: climate change cooperation. Endeavouring to shed new light on the climate change cooperation between the EU and China between 1991 and 2019, this thesis analysed to what extent four said factors occurred in practice. The analysis found the EU-China cooperation emerged in 2005 and has endured ever since. **The analysis revealed that all but one factor occurred in practice, indicating that they hold explanatory power over the emergence and endurance of EU-China climate change cooperation.**

First of all, both the EU and China engaged in benign-intentions-communication-tactics that reduce uncertainty (**EF1**), although the semi-structured interviews indicate that China did not strictly need to reduce uncertainty for cooperation to emerge. After all, the EU's interest in China's commitment to address climate change outweighed the potential risks of cooperation. These findings demonstrate that the emergence of EU-China climate change cooperation was not only a function of the overall institutionalisation of EU-China bilateral cooperation, as per institutionalism (e.g. De Matteis, 2010; Christiansen, 2016): uncertainty reduction via benign-intentions-communication-tactics also contributed to the emergence of EU-China climate change cooperation. Since both the EU and China partook in these uncertainty reducing tactics, the analysis affirmed the relevance of the first hypothesis and highlighted the usefulness of viewing the emergence of EU-China cooperation through a Realist lens.

The second explanatory factor for emergence (**EF 2**), however, was not found to have occurred in practice: neither the EU's nor China's narrative on cooperation, which was constructed based on the findings of the discourse-analysis, framed cooperation as a means to increase security. Emergence apparently does not depend on this factor. However, the analysis also uncovered that both narratives did favour cooperation on a broader level, as a way to generate mutual benefit. This suggests that Contingent Realism's focus on security is perhaps too narrow. A more inclusive perception of cooperation, on the part of Realism, might better explain emergence, at least in the case of EU-China climate cooperation. Since neither the EU nor China framed cooperation as a means to increase their security, the analysis weakened the relevance of the second hypothesis.

Regarding the first explanatory factor for endurance (**EF 3**), the analysis found that the EU's and China's shared recognition of climate change as a common threat contributed to the endurance of their climate change cooperation. The data retrieved from the semi-structured

interviewed fully supported this conclusion. This not only affirms the relevance of the third hypothesis, but also testifies to the merits of approaching the endurance of EU-China climate change cooperation from a Realist perspective.

The second explanatory factor for endurance (**EF 4**) further underpins Realism's value, since the analysis showed that the EU's and China's shared recognition that cooperation is necessary to reduce the common threat contributed to the endurance of their climate change cooperation as well. In this way, it affirmed the relevance of the fourth and last hypothesis.

Consequently, the answer to the main research question is that all but one factor occurred in practice. These three factors make for an interesting addition to those already identified in previous research on the emergence and endurance of bilateral climate change cooperation. They also prove that Realism holds explanatory power over topics outside of its initial scope. In retrospect, China and the EU managed to get all hands on deck, but now their ships need to sail out: as the severity and intensity of climate change increases, both need to take further steps in strengthening their cooperation.

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Annex:

Annex A: Explanatory Factor 1 (Emergence) Table A1

Documents DV1: Emergence

Years	Documents
1991-2005	1996EUCNA; 1998EUCNA; 1999EUCNA; 2000EUCNA; 2001EUCNA;
	2002EUCNA; 2003EUCNA; 2003EUCNB; 2004EUCNA; 2004EUCNB;
	2004EUCNC; 2004EUCND; 2004EUCNE; 2004EUCNF; 2004EUCNG;
	2004EUCNH; 2004EUCNI; 2004EUCNJ; 2004EUCNK; 2005EUCNA;
	2005EUCNB; 2005EUCNC; 2005EUCND; 2005EUCNE; 2005EUCNF;
	2005EUCNG; 2005EUCNH

Table A2

Documents EU EF1: Policy Action of the EU

Years	Documents
1991-2005	1992INC5A; 1996CNCOP2; 1997EUCOP3B; 1998EUPA; 1998EUCOP4C;
	1998EUCOP5A; 2000EUCOP6A; 2001EUCOP7B; 2001EUPA;
	2001EUPCB; 2001EUPCC; 2002ENBCOP8; 2002EUCOP8A;
	2003EUCOP8A; 2003EUCOP9B; 2004EUCNK; 2004EUCOP10A;
	2004EUCOP10B; 2004EUCOP10C; 2005EUCNF; 2005EUCOP11B;
	2005EUCOP11C; 2005EUCOP11D; 2005EUJCA; 2005EUPCB;
2005-2019	2006ENBCOP12A; 2006EUCOP12B; 2006EUCOP12D; 2006EUCOP12F;
	2006EUPA; 2007EUCNB; 2007EUCNC; 2007EUCOP13A;
	2007EUCOP13B; 2007EUCOP13C; 2007EUCOP13D; 2007EUJCA;
	2007EUPCC; 2008ENBCOP14B; 2008ENBCOP14E; 2008EUECA;
	2008EUPCA; 2008EUPCB; 2009EUPCA; 2009EUPCB; 2009EUPCC;
	2009EUPCD; 2009ENBCOP15; 2009EUCNC; 2009EUCOP15B;
	2009EUCOP15C; 2009EUCOP15E; 2009EUJCA; 2009EUPA; 2010EUPCA;
	2010EUPCD; 2010EUCOP16B; 2010EUCOP16E; 2010EUCOP16J;
	2011EUPCB; 2011ENBCOP17; 2011EUCOP17A; 2011EUCOP17E;
	2011EUCOP17F; 2012ENBCOP18; 2012EUCOP18A; 2012EUEUCOP18B;
	2012EUCOP18C; 2012EUCOP18D; 2012EUCOP18F; 2013EUPCB;
	2013EUCOP19A; 2013EUCOP19B; 2013EUCOP19D; 2014ENBCOP20A;
	2014ENBCOP20E; 2014EUCOP20B; 2014EUCOP20D; 2014EUCOP20G;
	2014EUPA; 2015EUCOP21A; 2015EUCOP21B; 2015EUCOP21D;
	2015EUCOP21G; 2015EUCOP21K; 2015EUCOP21M; 2015EUCOP21P;
	2015EUCOP21S; 2016EUCOP22A; 2016EUCOP22C; 2016EUCOP22D;
	2016EUCOP22I; 2016EUCOP22K; 2016EUCOP22L; 2017EUPCA;
	2017EUCOP23A; 2017EUCOP23B; 2017EUCOP23E; 2017EUPA;
	2018EUCOP24C; 2018EUCOP24D; 2018EUPCC; 2019EUPCB;
	2019EUPCC; 2019EUCNC; 2019EUCOP25A; 2019EUCOP25B;
	2019EUCOP25C; 2019EUCOP25E; 2019EUJCA;

<u>Table A3</u>

Docu	ments attitude EU EF 1: Responsibility Causing
Years	Documents
1991-2005	1993INC8; 1997EUCOP3C; 199EUCOP5A; 2005EUCOP11D; 2005EUJCA

Table A4

Documents attitude EU EF 1: Responsibility Addressing

Years	Documents
1991-2002	1991INCA; 1993INCB; 1993BOD; 1993INC8; 1994EUPCA;
	1995ENBCOP1; 1995INC11A; 1997EUCOP3C; 1997EUPCB; 1999EUPCA;
	1999ENBCOP5; 2000EUCOP6C; 2000EUPCA; 2001EUPCB;
	2002EUCOP8B
2003-2004	2003EUCOP9A; 2003ENBCOP9; 2004ENBCOP10A; 2004ENBCOP10C
2005-2009	2005EUCNE; 2005EUCNG; 2005EUCOP11C; 2005EUCOP11D;
	2005EUJCA; 2005EUPCA; 2005EUPCB; 2006EUCND; 2006EUCOP12C;
	2006EUPA; 2007EUCNB; 2007EUCNC; 2007EUCND; 2007EUCOP13B;
	2007EUCOP13C; 2007EUCOP13E; 2007EUJCA; 2007EUJCB;
	2007EUPCA; 2007ENBCOP13B; 2007ENBCOP13C; 2007EUSPA;
	2008EUCOP14A; 2008EUCPCE; 2008ENBCOP14A; 2008ENBCOP14B;
	2008ENBCOP14C; 2009EUPCA; 2009EUPCB; 2009EUPCC; 2009EUPCD;
	2009ENBCOP15; 2009EUCOP15A; 2009EUCOP15B; 2009EUCOP15C;
	2009EUCOP15D; 2009EUCOP15F; 2009EUJCA; 2009EUPA;
2010-2015	2010EUCOP16A; 2010EUCOP16B; 2010EUCOP16C; 2010EUCOP16E;
	2010EUCOP16H; 2010EUCOP16I; 2010EUCOP16J; 2010ENBCOP16A;
	2010ENBCOP16B; 2011EUPCB; 2011EUCOP17A; 2011EUCOP17B;
	2011EUCOP17E; 2011ENBCOP17; 2012EUCOP18A; 2012ENBCOP18;
	2013EUCOP19B; 2013EUCOP19D; 2014EUCOP20B; 2014EUCOP20C;
	2014EUCOP20D; 2014EUCOP20F; 2014EUCOP20G; 2014ENBCOP20B;
	2014ENBCOP20F; 2014EUPA; 2015EUPCA; 2015EUCOP21A;
	2015EUCOP21B; 2015EUCOP21C; 2015EUCOP21D; 2015EUCOP21E;
	2015EUCOP21G; 2015EUCOP21K; 2015EUCOP21M; 2015EUCOP21N;
	2015EUCOP21O; 2015EUCOP21R; 2015EUCOP21S; 2015ENBCOP21A;
	2015ENBCOP21C;
2016-2019	2016EUCOP22A; 2016EUCOP22C; 2016EUCOP22E; 2017EUPA;
	2018EUPCA; 2018EUCOP24C; 2018EUCOP24D; 2018EUPCC;
	2018ENBCOP24; 2019EUPCB;2019EUPCC; 2019EUPCD;
	2019EUCOP25B; 2019EUCOP25C; 2019EUJCA

<u>Table A5</u>

Documents China EF1: Policy Action China	Documents	China	<i>EF1</i> :	Policy	Action	China
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Years	Documents
1991-2005	1994CNPA; 1994CNPB; 1996CNPA; 1996CNPB; 2001CNPA;
	2002CNCOP8F; 2002CNCOP8G; 2003CNCOP9B; 2003CNCOP9C;
	2004CNCOP10H; 2004CNPB;
2006-2019	2006;CNCOP12B;2006CNCOP12D; 2006CNCOP12E; 2006ENBCOP12E;
	2006ENBCOP12A; 2006ENBCOP12B; 2006CNPA; 2007ENBCOP13A;
	2007CNPA; 2008CNCOP14D; 2008CNPA; 2009CNCOP15A;
	2009CNCOP15D; 2009CNCOP15E; 2009CNCOP15G; 2009CNCOP15I;
	2010CNCOP10B; 2010CNCOP16A; 2010CNCOP16G; 2010CNEA;
	2011CNCOP17A; 2011ENBCOP17; 2012CNCCOP18A; 2012CNPB;
	2012CNPC; 2013CNCOP19B; 2015CNCOP21A; 2015CNCOP21C;
	2016CNCOP22A; 2016CNPA; 2017CNCOP23C; 2017CNSPA;
	2017ENBCOP23; 2018CNPB; 2019EUCNC;

Table A6

Years	Documents
1991-2005	1991INCC; 1994CNPB; 1995INC11A; 1996CNPA; 1998CNCOP4A;
	2001CNCOP6A; 2003CNCOP9B;

Table A7

Documents attitude China EF 1: Responsibility Addressing

<u></u>	menis annuae China EF 1. Responsibility Addressing
Years	Documents
1991-2008	1991INCB; 1991INCC; 1991INCE; 1991INCF; 1993BOD; 1995ENBCOP1;
	1995CNCOP1B; 1995INC11A; 1995INCENB; 1996CNPA; 1996ENBCOP2;
	1998CNCOP4A; 1999CNCOP5A; 1999CNCOP5B; 1999ENBCOP5;
	2000CNCOP6A; 2001CNCOP7A; 2001CNCOP7E; 2001CNCOP7G;
	2001CNCOP7J; 2001EUCOP7B; 2002CNCOP8A; 2002CNCOP8B;
	2002CNCOP9G; 2002CNCOP8G; 2002ENBCOP8; 2003CNCOP9A;
	2003CNCOP9B; 2003CNCOP9C; 2003ENBCOP9; 2004CNPB;
	2004ENBCOP10A; 2004ENBCOP11B; 2004ENBCOP10C;
	2005CNCOP11B; 2005CNCOP11F; 2005ENBCOP11C; 2006CNCOP12A;
	2006ENBCOP12B; 2006ENBCOP12C; 2007CNCOP13A; 2007CNCOP13B;
	2007CNCOP13C; 2007CNPA; 2007ENBCOP13A; 2008CNCOP14A;
	2008CNCOP14B;
2008-2011	2008CNPA; 2008ENBCOP14A; 2008ENBCOP14B; 2008ENBCOP14C;
	2008ENBCOP14D; 2008ENBCOP14E; 2009CNCOP15A; 2009CNCOP15C;
	2009CNCOP15D; 2009CNCOP15E; 2009CNCOP15F; 2009CNCOP15G;
	2009CNCOP15H; 2009CNCOP15I; 2009CNPB; 2009ENBCOP15;
	2010CNCOP15B; 2009CNCOP16A; 2009CNCOP16B; 2010CNCOP16G;

	2010ENBCOP16A; 2010ENBCOP16B; 2010CNSPA; 2011CNCOP17A;
	2011CNCOP17B; 2011CNCOP17C; 2011ENBCOP17;
2012-2015	2012CNCOP18A; 2012CNCOP18B; 2012CNCOP18C; 2012CNPA;
	2012CNPB; 2012CNPC; 2012CNSPA; 2012ENBCOP18; 2013CNCOP19A;
	2013CNCOP19B; 2013CNCOP19E: 2013ENBCOP19B; 2013ENBCOP19C;
	2014CNCOP20A; 2014CNCOP20B; 2014ENBCOP20B; 2014ENBCOP20F;
	2015CNCOP21A; 2015ENBCOP21A; 2015ENBCOP21C;
2015-2019	2016CNCOP22A; 2016CNPA; 2016ENBCOP22; 2017CNCOP23A;
	2017CNCOP23A; 2017CNCOP23A; 2017CNCOP23A; 2017CNCOP23B;
	2017CNCOP23C; 2017CNSPA; 2018CNCOP24A; 2018CNCOP24B;
	2018CNCOP24E; 2018CNPB; 2018ENBCOP24; 2019CNCOP25A;
	2019CNCOP25B; 2019CNCOP25C; 2019ENBCOP25;

Annex B: Explanatory factor 2 (Emergence)

<u>Table B1</u>

Documents EU EF 2: Cooperation

Years	Documents
1991-2005	1994EUPCA; 1995EUJCA; 1995EUPCA; 1995EUPCB; 1996EUCOP2A;
	1997EUCOP3C; 1998EUCNA; 1998EUJCA; 1998EUPA; 1999EUCOP5B;
	2000EUJCA; 2001EUCOP7A; 2001EUPA; 2001EUJCA; 2003EUCOP9B;
	2005EUCOP11A; 2005EUCOP11B; 2005EUJCA;

Table B2

Documents China EF 2: Cooperation

Years	Documents
1991-2005	1996CNPA; 1996CNPB; 1998EUCNA; 1998EUCOP4A; 1999CNCOP5B;
	2000CNCOP6B; 2001CNCOP7B; 2002CNCOP8E; 2002CNCOP8G;
	2003CNCOP9C; 2003CNPA; 2004CNPB;

Annex C: Explanatory factor 3 (Endurance)

Table C1

Documents DV2: Endurance

Year	Documents
2006-2019	2006EUCNA; 2006EUCNB; 2006EUCNC; 2006EUCND; 2007EUCNA;
	2007EUCNB; 2007EUCNC; 2007EUCND; 2007EUCNE; 2008EUCNA;
	2009EUCNA; 2009EUCNB; 2009EUCNC; 2010EUCNA; 2010EUCNB;
	2011EUCNA; 2012EUCNA; 2012EUCNB; 2012EUCNC; 2013EUCNA;
	2013EUCNB; 2013EUCNC; 2014EUCNA; 2014EUCNB; 2015EUCNA;
	2015EUCNB; 2015EUCNC; 2016EUCNA; 2016EUCNB; 2016EUCNC;
	2017EUCNA; 2017EUCNB; 2017EUCNC; 2017EUCND; 2017EUCNE;
	2017EUCNF; 2018EUCNA; 2018EUCNB; 2019EUCNA; 2019EUCNB;
	2019EUCNC; 2019EUCND;

<u>Table C2</u>

|--|

Year	Documents
1991-2001	1991INCA; 1995EUCOP1A; 1997EUCOP3A; 1997EUCOP3B;
	1997EUCOP3C; 1997EUPCA; 1998EUCOP4D; 1998EUPCB;
	1998EUPA; 1999EUCOP5A; 1999EUCOP5B; 1999EUPCA;
	2001EUCOP7A; 2001EUCOP7B; 2001EUCOP7B;
2001-2004	2001EUPCA; 2001EUPA; 2002EUCOP8A; 2002EUCOP8B;
	2002ENBCOP8; 2003EUCOP9A; 2003EUCOP9B; 2004EUCOP10A;
	2004EUCOP10C;
2005-2007	2005EUCND; 2005EUCOP11A; 2005EUCOP11B; 2005EUCOP11C;
	2005EUCOP11D; 2005EUJCA; 2005EUPCA; 2006EUCND;
	2006EUCOP12A; 2006EUCOP12B; 2006EUCOP12C; 2006EUCOP12D;
	2006EUCOP12E; 2006EUCOP12F; 2006EUPCB; 2006EUPCC;
	2006EUPA; 2007EUCNB; 2007EUCNC; 2007EUCNE;
	2007EUCOP13A; 2007EUCOP13B; 2007EUCOP13D; 2007EUCOP13E;
	2007EUJCA; 2007EUJCB; 2007EUPCA; 2007EUPCB; 2007EUSPA;
2008-2015	2008EUCOP14A; 2008EUECA; 2009EUPCB; 2009EUPCC;
	2009EUCOP15B; 2009EUCOP15C; 2009EUCOP15D; 2009EUCOP15E;
	2009EUCOP15F; 2009EUSPA; 2009EUPA; 2010EUPCD;
	2010EUCOP16B; 2011EUCOP17F; 2011EUCOP17G; 2012EUCOP18A;
	2012EUCOP18C; 2013EUCOP19B; 2013EUCOP19D; 2013EUPCB;
	2014EUCOP20C; 2014EUCOP20E; 2014EUCOP20F; 2014EUPA;
	2015EUCOP21A; 2015EUCOP21B; 2015EUCOP21C; 2015EUCOP21D;
	2015EUCOP21G; 2015EUCOP21M; 2015EUCOP21Q;
	2015EUCOP21R; 2015EUCOP21S;
2016-2019	2016EUCOP22A; 2016EUCOP22B; 2016EUCOP22K; 2016EUCOP22L;
	2016EUCOP22M; 2017EUPCA; 2017EUCOP23A; 2017EUCOP23B;
	2017EUCOP23E; 2018EUCOP24C; 2018EUCOP24D; 2018EUNPA;
	2018EUPCC: 2019EUPCB; 2019EUPCC; 2019EUPCD; 2010EUCOP25A, 2010EUCCOP25A, 2010EUCOP25A, 2010EUCOP25A, 2000EUCCOP25A, 2010EUCCOP25
	2019EUCOP25A; 2019EUCOP25B; 2019EUCOP25C; 2019EUCOP25E; 2019EUCOP25E;
	2019EUJCA;

<u>Table C3</u>

Year	Documents
1991-2004	1991CNINC2A; 1991INCC; 1994CNPA; 1994CNPB; 1996CNPA;
	2001CNCOP7A; 2001CNCOP7B; 2001CNOP7C; 2001CNCOP7G;
	2001CNCOP7J; 2002CNCOP8A; 2002CNCOP8G; 2003CNCOP9B;
	2003CNCOP9C; 2004CNCOP10A; 2004CNCOP10H; 2004CNPB;
2005-2009	2005CNCOP11F; 2006CNCOP12B; 2006CNPA; 2007CNCOP13A;
	2007CNCOP13B; 2007CNCOP13C; 2007CNPA; 2008CNCOP14B;
	2007CNCOP14D; 2008CNPA; 2009CNCOP15A; 2009CNCOP15C;
	2009CNCOP15D; 2009CNCOP15E; 2009CNCOP15G;
	2009CNCOP15H; 2009CNPA; 2009CNPB;
2010-2015	2010CNCOP16A; 2010CNCOP16B; 2010CNCOP16D;
	2010CNCOP16G; 2010CNSPA; 2010CNEA; 2011CNCOP17A;
	2011CNCOP17B; 2011CNCOP17C; 2011CNCOP17E;
	2011CNCOP17G; 2012CNCOP18A; 2012CNCOP18B;

2012CNCOP18C; 2012CNPA; 2012CNPB; 2012CNPC; 2013CNCOP19B; 2014CNCOP20B; 2014CNCOP20D; 2015CNCOP21A 2016CNPA; 2017CNCOP23A; 2017CNCOP23B; 2017CNCOP23C; 2017CNSPA; 2018CNCOP24A; 2018CNCOP24E; 2018CNPB; 2019CNCOP25B; 2019CNCOP25C

Annex D: Explanatory factor 4 (Endurance)

<u>Table D1</u>

Documents EU EF 4: Cooperation

Years	Documents
2006-2019	2006EUPA; 2007ENBCOP13A; 2008EUPCA; 2009EUCOP15D;
	2009EUSPA; 2010EUPCA; 2010EUPCC; 2015EUCOP21M;
	2015EUCOP21S; 2019EUCOP25E

Table D2

Documents China EF 4: Cooperation

Years	Documents
2006-2019	2006CNCOP12B; 2006CNCOP12C; 2007CNCOP13C; 2007CNPA;
	2008CNCOP14A; 2008CNPA; 2009CNCOP15A; 2009CNCOP15D;
	2009CNCOP15F; 2009CNPB; 2010CNCOP16A; 2010CNCOP16G;
	2010CNSPA; 2012CNPB; 2012CNPC; 2013CNCOP19B; 2015CNCOP21A;
	2016CNCOP22A; 2016CNPA; 2017CNCOP23C; 2017CNSPA;
	2018CNCOP24B; 2018CNCOP24E; 2018CNPB; 2019CNCOP25A

<u>Table D3</u>

Documents EU + China EF 4: Cooperation

Years	Documents
2006-2019	2005EUCNA; 2005EUCNB; 2005EUCNC; 2005EUCNH; 2006EUCNA; 2006EUCNB;
	2006EUCNC; 2007EUCNA; 2008EUCNA; 2009EUCNA; 2009EUCNB; 2010EUCNA;
	2010EUCNB; 2011EUCNA; 2012EUCNA; 2012EUCNB; 2012EUCNC; 2013EUCNA;
	2013EUCNB; 2013EUCNC; 2014EUCNB; 2015EUCNA; 2015EUCNB; 2016EUCNA;
	2017EUCNB; 2016EUCNC; 2017EUCNC; 2017EUCND; 2017EUCNE; 2017EUCNF;
_	2018EUCNA; 2018EUCNB; 2019EUCNA; 2019EUCNB; 2019EUCND

Annex E: Overview of the occupations of those interviewed

Table E1

Overview of the occupations of those interviewed

	Occupation
1	A diplomat of the European Union that has worked on EU-China climate change cooperation
2	Another diplomat of the European Union and has worked on EU-China climate change cooperation
3	A scholar on EU-China Climate Change cooperation

4 Highly placed employee of an international organization working on EU-China Development cooperation.

Annex F: Selection criteria and Document overview & Codes

To provide a comprehensive overview of the different narratives held by both the EU and China, documents were selected originating from different fora. These fora are categorized into: multilateral, bilateral and unilateral.

The following multilateral fora were selected: the Intergovernmental Negotiating Committee for a Framework Convention on Climate Change (1991-1995); and the Conference of Parties to the Framework Convention for Climate Change (1995-2019). The documents from these fora (336 in total) are primary data such as speeches, political debates, statements, and policy documents. Also included were NGO reports such as the IISD coverage of the Conference of the Parties.

The following bilateral for a were selected: the EU-China Summit (1998-2019); the EU-China Partnership on climate change (2005-2019); and the EU-China ministerial meeting on the environment (2003-2019). The documents from these for a (75 in total) include bilateral negotiations and partnership agreements, speeches, joint-statements, policy documents, and press releases. Also included were EU policy documents about China, and Chinese policy documents about the EU.

The following objects of analysis for unilateral fora were selected: unilateral statements, speeches, policy documents, press releases and memos by ministries (China) or Director Generals (EU) on the topic of climate change between 1991-2019 (in total 110 documents).

All documents fulfil one of the following criteria: (1) related to EU-China climate change relations; (2) includes EU-China environmental cooperation; (3) related to international climate change cooperation; (4) includes climate change mitigation and adaptation action of either the EU/China. These criteria allowed an as wide as possible net to be cast, as to ensure the chance of excluding potentially important documents was as limited as possible. The Table disclosing all documents starts on the next page.

Code	Reference
Joint Multi	Intergovernmental Negotiating Committee (20 items in total)
1991INC1	United Nations. (1991). Report of the Intergovernmental Negotiating Committee for a Framework
	Convention on Climate Change on the work of its First session, held at Washington, D.C., From 4 to 14
	February 1991. (Report No. A/AC.237/6) Retrieved from: https://digitallibrary.un.org/record/196808
1991INCA	United Nations. (1991). Preparation of a Framework Convention on Climate Change: Set of informal
	papers provided by delegations, related to the preparation of a framework convention on climate
	change. Note by the secretariat. Addendum 1. (Report No. A/AC.237/Misc.1/Add.1). Retrieved from:
	https://digitallibrary.un.org/
1991INCB	United Nations. (1991). Compilation of possible elements for a framework convention on climate
	change. Note by the secretariat. (Report No. A/AC.237/Misc.2/Rev.1) Retrieved from:
	https://digitallibrary.un.org/record/3802065
1991INCC	United Nations. (1991). Set of informal papers provided by delegations, related to the preparation of a
	framework convention on climate change. Note by the secretariat. Revision 1 to Addendum 4. (Report
10011100	No. A/AC.237/Misc.1/Add.4/Rev.1) Retrieved from: <u>https://digitallibrary.un.org/</u>
1991INCD	United Nations. (1991). Elements related to mechanisms. Brazil, China, India, Kenya, Malaysia,
	Mexico, United Republic of Tanzania, Venuatu and Venezuela: Alternative proposal for Article 22
	(Administrative mechanism for financial resources and technology transfer) contained in the revised single text on the elements relating to mechanisms $(A/AC 227/Mise 12)$ submitted by the Co Chairman
	single text on the elements relating to mechanisms (A/AC.237/Misc.13) submitted by the Co-Chairman of Working Group II. (Report No. A/AC.237/WG.II/CRP.9). Retrieved from:
	https://digitallibrary.un.org/
1991INCE	United Nations. (1991). Algeria, Bangladesh, Benin, Bhutan, Brazil, Cameroon, Chad, Chile, China,
I))III(CE	Colombia, Congo, Cuba, Dominican Republic, Gambia, Ghana, Guinea, Guinea Bissau, India,
	Indonesia, Kenya, Lesotho, Madagascar, Malawi, Malaysia, Mali, Mexico, Morocco, Mozambique,
	Namibia, Niger, Nigeria, Pakistan, Peru, Philippines, Sao Tome and Principe, Sierra Leone, Sudan,
	United Republic of Tanzania, Thailand, Tunisia, Uganda, Viet Nam and Zimbabwe: proposal on the
	entire section on commitments. (Report no. A/AC.237/WG.I/L.7). Retrieved from:
	https://digitallibrary.un.org/
1991INCF	United Nations. (1991). Joint statement of the Group of 77, made by its Chairman (Ghana) at the fourth
	session of the Intergovernmental Negotiating Committee for a Framework Convention on Climate
	Change. (Report No. A/AC.237/WG.I/L.8). Retrieved from: https://digitallibrary.un.org/
1992INC5A	United Nations. (1992). Report of the Intergovernmental Negotiating Committee for a Framework
	Convention on Climate Change on the work of the first part of its fifth session, held at New York from
	18 to 28 February 1992. (Report no. A/AC.237/18 (Part I)). Retrieved from:
	https://digitallibrary.un.org/
1992INC5B	United Nations. (1992). Report of the Intergovernmental Negotiating Committee for a Framework
	Convention on Climate Change on the work of the second part of its fifth session, held at New York
	from 30 April to 9 May 1992. Addendum 1. (Report no. A/AC.237/18 (Part II)/Add.1). Retrieved from:
1003110774	https://digitallibrary.un.org/
1992INC6A	United Nations. (1992). Report of the Intergovernmental Negotiating Committee for a Framework
	Convention on Climate Change on the work of its sixth session held at Geneva from 7 to 10 December 1992. (Report No. A/AC.237/24). Retrieved from: <u>https://digitallibrary.un.org/</u>
1993INC7A	United Nations. (1993). Report of the Intergovernmental Negotiating Committee for a Framework
1995INC/A	Convention on Climate Change on the work of its seventh session held at New York from 15 to 20
	March 1993. (Report No. A/AC.237/31). Retrieved from: <u>https://digitallibrary.un.org/</u>
1993INC8A	United Nations. (1993). Report of the Intergovernmental Negotiating Committee for a Framework
1))))11(0011	Convention on Climate Change on the work of its eight session held at Geneva from 16 to 27 August
	1993. (Report No. A/AC.237/41). Retrieved from: <u>https://digitallibrary.un.org/</u>
1993INC8B	United Nations. (1993). Matters relating to Commitments – Criteria for Joint implementation. (Report
	No. A/AC.237/Misc.30) Retrieved from: <u>https://unfccc.int/documents</u>
1994INC9A	United Nations. (1994). Report of the Intergovernmental Negotiating Committee for a Framework
	Convention on Climate Change on the work of its ninth session held at Geneva from 7 to 18 February
	1994. (Report No. A/AC.237/55). Retrieved from: <u>https://digitallibrary.un.org/</u>

1994INC9B	United Nations. (1994). Matters relating to Commitments Criteria for Joint Implementation. Statements
	from member States on criteria for joint implementation. Note by the interim secretariat. (Report No.
	A/AC.237/Misc.33). Retrieved from: https://unfccc.int/documents
1994INC10A	United Nations. (1994). Report of the Intergovernmental Negotiating Committee for a Framework
	Convention on Climate Change on the work of its tenth session held at Geneva from 22 August to 2
	September 1994. (Report No. A/AC.237/76). Retrieved from: <u>https://digitallibrary.un.org/</u>
1994INC10B	United Nations. (1994). Matters relating to Commitment Criteria for Joint Implementation. Comments
	from Parties or other member States. Note by the interim secretariat. Addendum. (Report No.
	A/AC.237/Misc.37/Add.1). Retrieved from: <u>https://digitallibrary.un.org/</u>
1995INC11	United Nations. (1995). Report of the Intergovernmental Negotiating Committee for a Framework
	Convention on Climate Change on the work of its eleventh session held at New York from 6 to 17
	February 1995. Addendum: part two: recommendations to the Conference of the parties and other decisions and conclusions of the committee (Report No. $A/AC 227/01/A dd 1$). Patrice and from:
	decisions and conclusions of the committee. (Report No. A/AC.237/91/Add.1). Retrieved from: <u>https://digitallibrary.un.org/</u>
1995INCENB	Earth Negotiations Bulletin. (1995). Summary of the eleventh session of the INC for a Framework
1775III(EIID	Convention on Climate Change: 6-17 February 1995. International Institute for Sustainable
	Development, 12 (11). Retrieved from:
1993BOD	Bodansky, D. (1993). The United Nations Framework Convention on Climate Change: A commentary.
1775000	Yale Journal of International Law, 18 (451), 451-558
Joint	Conference of Parties to the UNFCCC (ENB) (50 Items in total)
1995ENBCOP1	Earth Negotiations Bulletin. (1995). Summary of the First Conference of the Parties for the Framework
1995ENDCOI I	Convention on Climate Change: 28 March – 7 April 1995. <i>International Institute for Sustainable</i>
	Development, 12 (21). Retrieved from: https://enb.iisd.org/enb/vol12/
1995INC	Earth Negotiations Bulletin. (1995). A Brief history of the Framework Convention on Climate Change.
	International Institute for Sustainable Development, 12 (12). Retrieved from:
	https://enb.iisd.org/enb/vol12/
1996ENBCOP2	Earth Negotiations Bulletin. (1996). Summary of the Second Conference of Parties to the Framework
	Convention on Climate change: 8-19 July 1996. International Institute for Sustainable Development,
	12 (38). Retrieved from: <u>https://enb.iisd.org/enb/vol12/</u>
1997ENBCOP3	Earth Negotiations Bulletin. (1997). Summary of the Third Conference of Parties to the United Nations
	Framework Convention on Climate change: 1-11 December 1997. International Institute for
	Sustainable Development, 12 (78). Retrieved from: https://enb.iisd.org/enb/vol12/
1998ENBCOP4	Earth Negotiations Bulletin. (1998). Report of the fourth Conference of Parties to the UN Framework Convention on Climate change: 2-13 November 1998. <i>International Institute for Sustainable</i>
	Development, 12 (97). Retrieved from: https://enb.iisd.org/enb/vol12/
1999ENBCOP5	Earth Negotiations Bulletin. (1999). Summary of the Fifth Conference of the Parties to the Framework
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4001 (NIDD	Retrieved from: https://digital.library.unt.edu/ark:/67531/metadc11939/m1/2/
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	Economic and Social Development (2001). Retrieved from: www.npc.gov.cn/zgrdw/englishnpc/Special_11_5/2010-03/03/content_1690620.htm
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2005CNPA	National Coordination Committee on Climate Change (NCCCC). (2005). <i>Measures for operation and</i>
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	%20Five-year%20Plan%20for%20Environmental%20Protection(2006-2010)-ENG.pdf
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2012CNPB	People's Republic of China. (2012). Second National Communication on Climate Change of the
	People's Republic of China. Retrieved from: https://unfccc.int/resource/docs/natc/chnnc2e.pdf
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	council/conclusions/1993-2003/
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	Retrieved from: https://www.consilium.europa.eu/en/european-council/conclusions/1993-2003/
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	Framework Convention on Climate Change. (Report No. SEC(98)1770). Retrieved from:
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2006EUPCC	European Council. (2006). Presidency Conclusions: Meeting on 14 and 15 December 2006 in Brussels. (Report No. 16879/06). Retrieved from: <u>https://www.consilium.europa.eu/en/documents-publications/</u>
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