Codebook for "Institutionalized Authority and Personal Traits of Executive Heads in International Organizations: A New Database"
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1. Introduction

1.1 Motivation

There are some datasets on staff of IOs as well as IO leaders, and their relationship with authority and mandate. However, they do not provide comprehensive information on power of Executive Heads (EHs) in IOs. In order to fill the gap, we provide two datasets on institutionalized authority (hereafter, authority) and personal trait.

1.2 IOs in our database

18 multi-issue IOs from various geographical areas are chosen following Tallberg et al. (2020) and Lundgren et al. (2024).to collect data on EHs. To choose multi-issue IOs and exclude single-issue IOs is the best strategy to measure authority of EHs without any bias deriving from characteristics of issues. Functional IOs are more likely to concede authority to secretariats or EHs, while security IOs do not (Pollack 2003: 27). **Table 1** is the list of 18 IOs we have chosen. Some IOs have former names, but we treat them as the same IO unit and identify them as such in our database. For example, AU replaced Organisation of African Unity (OAU) in 2002. The OAU secretariat was established in 1963, which can be regarded as the year of establishment of the AU secretariat. This is also true of European Union (EU) which had different former names.

Our database consists of two datasets collected from 1980 to 2020. We chose to cover the years 1980 to 2020, because it is only after the 1980s that more than half of the eighteen IOs possessed secretariats. Before the 1960s, only 7 IOs had secretariats, but 5 created secretariats in the 1970s. In other words, our dataset tries to avoid creating too many NAs for fear the descriptive data become distorted.

Table 1. List of IOs in our dataset

Abbreviation	Name	Year of Establishment of Secretariat/Commission(*)	Title of EH
AMU	Arab Maghreb Union	1992	Secretary General
APEC	Asia-Pacific Economic Cooperation	1993	Executive Director

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ASEAN	Association of Southeast Asian Nations	1976	Secretary General
AU (former OAU)	African Union/Organisation of African Unity	1963**(*)**	Secretary General/Chairperson
CAN	Andean Community	1997	Secretary General
CARICOM	Caribbean Community	1973	Secretary General
COE	Council of Europe	1949	Secretary General
COMW	The Commonwealth	1965	Secretary General
EU (former EC)	European Union/European Communities	1958**(*)**	President
NC	the Nordic Council	1971	Secretary-General
OAS	Organization of American States	1970	Secretary-General
OECD	Organisation for Economic Co-operation and Development	1961	Secretary-General
OIC	Organisation of Islamic Cooperation	1972	Secretary-General
OSCE (former CSCE)	Organization for Security and Co-operation in Europe/ Conference on Security and Cooperation in Europe	1991	Director/Secretary General
PIF (former SPF)	Pacific Islands Forum/South Pacific Forum	1973	Director/ Secretary General
SADC (former SADCC)	Southern African Development Community/ Southern African Development Coordination Conference	1981	Executive Secretary
SCO	Shanghai Cooperation Organisation	2004	Executive Secretary/ Secretary General
UN	the United Nations	1945	Secretary-General

Source: Tallberg et al. 2020, official documents of IOs

2. Dataset for authority

2.1. Unit of Analysis

The unit of analysis is IO-year.

2.2. Sources and Reliability

With regards to coding, we collect information on EHs' authority from official documents of IOs such as treaties and conventions as much as possible. If the information is available, we refer to information in the official website of IOs, and secondary literature (Hooghe et al., 2017). The official website and documents used to code information on each IO are listed at the end of this codebook by IOs.

2.3. Variables

The variables are composed of three aspects: the authority for policy-making and implementation, availability of resources/assets for exercising the authority, and appointment rules. It should be noted that variables on the first two aspects are to evaluate whether EHs have such authority or resources. We do not pay attention to whether EHs enjoy such authority exclusively.

2.3.1 The Authority for Policy-making and Implementation

(i) Agenda-proposal ("proposalDecisions")

It concerns rights to propose agenda, submit drafts for policy-making, call for meetings in urgent situations. We created a variable 0, 1 that represents the authority conferment with a "1" if it is given to EHs (not necessarily exclusive) and its absence with a "0". In assessing the documents, the relevant words or phrases such as "initiate plans or proposals," "develop proposals" and "call for a meeting" indicate the authority.

(ii) Agenda-control ("coordinationDecisions")

It refers to the role of controlling agenda including coordination and reconciliation of conflicting opinions for suggested proposals. As to coding, we provide a "1" if such a role is given to EHs, and a "0" otherwise. The role is identified in the documents by finding relevant words or phrases such as "coordinate the agenda."

(iii) Monitoring ("monitoring")

After agreements are reached, the member states begin to implement them. To monitor the implementation is one of the functions given to EHs or secretariats. We focused on EHs, and this variable takes a value of "1" if it is given to EHs, "0" if otherwise. We code by finding relevant words or phrases. Examples include "The Secretary-General monitors progress in the implementation of all approved activities."

(iv) Dispute settlement mechanism ("DSM")

The monitoring function is sometimes associated with or a part of dispute settlement mechanism (DSM). The DSM refers to dispute settlement, and most of the time, to legal procedures to settle disputes or conflicts partly due to noncompliance of agreed policies. The typical functions are good offices, mediation and arbitration. We take a value of "1" if such functions are given to EHs, and "0" if not. The DSM functions are identified in the relevant statements. Examples are "The Secretary-General may, acting in an ex officio capacity, offer good offices, conciliation or mediation with the view to assisting member states to settle a dispute.

2.1.2 Availability of Resources for Authority

(i) Representation ("representation")

Representation refers to the role for representing the IOs in question to express the opinions of the IO vis-à-vis third parties. This variable is coded with a "1" when it is assumed by EHs, and "0" otherwise. "The Secretary-General shall serve as spokesman and representative of ASEAN on all matters" is an exemplary statement which can assure that EHs have a representational role.

(ii) Staff appointment ("appointStaff")

Authority to appoint the secretariat staff enables the EHs to dismiss the secretariat staff. As to coding, if EHs possess such appointment authority, we code with a "1", if otherwise, with a "0". Official documents in some IOs identify who can appoint the secretariat staff. Examples are "The Council may authorize the Executive Secretary to appoint staff to specific posts" or "The Secretary-General shall employ such locally recruited staff." We also code with a "1" if EHs can advise or recommend with regards to employment of staff, such as in the wording "The Secretary-General shall recommend the appointment and termination of the Deputy Secretaries-General."

(iii) Research function ("researchUnitWithinSEC")

This variable concerns resources available for EHs to exercise their authority. We code with "1" if EHs can conduct research, and with "0" otherwise. Sometimes the research unit or bureau is found in the organization chart or explicit descriptions. Such an example is found in the statement in APEC "A Policy Support Unit was set-up in the following year to provide policy research".

(iv) IO budget proposal ("budgetControl")

The authority to propose IO budget is included in agenda-proposal, but we code it separately. It concerns the mandate to draft IO budget. We code "1" if EHs have this mandate, and with "0" otherwise.

(v) IO secretariat budget proposal ("SecbudgetControl")

As same as the IO budget proposal, the authority to propose IO secretariat budget is included in agenda-proposal, but we code it separately. It concerns the mandate to draft IO secretariat budget. We code "1" if EHs have this mandate, and with "0" otherwise. "The Secretary-General shall prepare the Annual Budget Estimates of the Secretariat" is a typical statement to show that the mandate belongs to EHs. It should be noted that if the variable (iv) has a "1," this variable is coded as the same automatically, since IO secretariat budget is a part of IO budget.

2.1.3 Appointment Rules

(i) Open recruitment ("openRecruit")

It refers to how to appoint EHs. We only found one case with open recruitment rules, which states "the appointment is open to professional candidates from any of APEC's 21 member economies." It is coded with a "1," and with a "0" otherwise, or if there is no clear statement regarding how to appoint EHs.

(ii) Rotation ("rotation")

It concerns under what conditions EHs are appointed. It is coded with a "1" either when the official documents include terms such as "based on rotation" and "based on principle of

equitable geographical distribution." IOs that did not follow these conditions are coded with a "0," including the IO adopting open recruitment. We also take care of the possibility that rotation is the custom or unwritten rule. If the rule is not stated or not found out in official documents, we judge if the rule does exist or not, based on historical records of successive EHs.

(iii) Nationality ("concernNationality")
We investigate whether the EHs are selected with sensitivity to nationality. We code with a "1" if we find relevant statements such as "The Secretary General may not be succeeded by a person of the same nationality." The rotation rule is one of procedures which pay attention to nationality. We code a "1" automatically if IOs adapt the rotation rule for appointment of EHs. Again, sensitivity to nationality can be regarded as a custom. If the rule is not stated or not found out in official documents, we judge if the rule does exist or not, based on historical records of successive EHs.

(iv) Selection from Hegemon/Powers ("selectByPowerDominate")
We investigate whether the EHs are selected with deference to specific member states, and particularly the countries that are seen as regional powers within the IO in question. This rule is never specified in official documents, but certain trends revealed themselves during an analysis of the origin of successive EHs. we judge whether the rule exists or not, based on historical records of successive EHs. This variable is coded with a "1", and "0" otherwise.

(v) Term of office ("term")
It refers to the term of office of EHs, which is usually stated in official documents. This variable simply codes the stipulated number of years.

(vi) Reappointment ("extensionTerm")
It captures whether EHs are eligible for appointment for another term/period. The reappointment rule is usually stated clearly in official documents, but we also refer to the historical records of EHs. We code with a "1" if EHs are allowed to assume at least two terms. For example, Dr. S. H. S Makoni assumed the EH of SADC more than one term, which is identified in official statements. Other examples in texts would be "Executive Secretary shall be appointed for four years, be eligible for appointment for another period not exceeding four years" or "it may extend the term of the appointment." We code with a "0" if there is no right to be appointed for another period.

3. Dataset for personal trait

3.1. Unit of Analysis

The unit of analysis is EH. This dataset captures 142 EHs in total. This is the cumulative total number of people. However, the dataset captures Rasli Noor's experience as the EH of APEC and ASEAN separately, as well as Mahe Tupounina as the EH of PIF for two different times.

3.2. Sources and Reliability

We searched for any information available about the EH of interest from all available resources including official website of IOs, newspapers and other secondary resources as well as personal websites. Information was more easily obtained for the EHs of later years than those of the early 80s, and in case it was impossible to discern the index, the indices were noted with NAs. Some EHs are replaced in the middle of the year. In that case, we designate the EH who serves for the longest in the year in question. We include acting EHs for our analysis. The sources used to code information are listed at the end of this codebook by IOs, within which items are listed with regard to those on general information about the IO, and then by each EH in chronological order.

3.3. Variables

Personal traits variables are sorted out into four groups; basic information, job experiences, expertise, and biological element.

3.3.1. Basic information

(i) IO ("io")
Which IO an EH work for is noted.

(ii) Personal name ("name")
We noted down name of EHs.

(iii) Country of origin ("StateName", "CCode")

(iv) Period ("period")
How long EHs served its role is noted. This could be different from the official term of office.

3.3.2 Job Experiences

(i) Job experience in the same IOs ("pastSameIOjobs")
It concerns whether the EH has job experiences in the past at the same IO. Some IOs are supranational or consist of staff employed as international bureaucrats including committee members with specific expertise, whereas others are intergovernmental consisting of representatives of member states in the IO. It is coded with a "1" if the EH has worked as an international bureaucrat in the IO at any point before assuming its position, and with a "0" otherwise including working experiences in intergovernmental organs in the IO.

(ii) Former deputy EH of the same IO ("formerSameIOsubLeader")
It is coded with a "1" only when the EH was a deputy EH right before it became the EH, and with a "0" otherwise.

(iii) Overseas job experience ("overseasJobExperi")
If the EH has overseas job experience, we code with a "1", and with a "0" otherwise. So long

as the job happened geographically abroad, the case was coded with a "1".

(iv) Western job experience ("WesternJobExperi")
If the EH has overseas job experience in the West, we code with a "1", and with a "0" otherwise. We define "West" in the geographical sense; as Western Europe and North America, excluding Australia, New Zealand, Japan or other developed countries outside Western Europe and North America. So long as the job happened in the West defined here, the case was coded with a "1".

(iv) Past job experience in other IOs ("pastOtherIOjobExperi")
It codes whether the EH has worked in different IOs in the past. We refer to the list of IOs provided by the Correlates of War, Intergovernmental Organizations (COW IGO, Version 3). The index is binary, and with a "1" if the EH has worked as an international bureaucrat in those IOs at any point before assuming its position, and with a "0" otherwise including working experiences in intergovernmental organs in the IO. Again, parliaments within the IOs are subject to discussion, but we follow the same rule in (i) job experience in the same IOs. The "past" can refer to any point in time as long as it happened before the EH undertook its role.

(v) Minister experience ("ministerExperi")
It codes whether the EH has the experience of being a minister and/or a head of state in his/her home country anytime in the past. We code with a "1" if it is the case, with a "0" otherwise.

(vi) Foreign minister experience ("foreignMinisterExperi")
It is a binary variable that captures whether the EH was a minister of foreign affairs in his/her home country anytime in the past.

(vii) State head experience ("StateHeadExperi")
It is a binary variable that shows whether the EH was a head of state in his/her home country anytime in the past.

(viii) Former Job
This is a character variable that contains information on the job the EH had right before assuming its position.

(xi) Ongoing Job
This is a character variable that includes information on the job held by the EH during his/her term, if any.

3.3.3 Expertise and Educational background

(i) Legal experts as a lawyer ("legalCareer")
This index captures whether the EH has the experience as a lawyer (1=yes and 0 if otherwise). By "lawyer", this dataset refers not only to those that practice law as a profession (judge, prosecutor, attorney), but also to scholars who specialize in law.

(ii) Scholar ("academicCareer")
This binary index captures whether the EH has the experience as an academic (1=yes and 0 if otherwise). By "scholar", our dataset considers those with experiences of having worked in the academia as a researcher and/or an instructor, regardless of what academic credentials they have received themselves.

(iii) Higher education in the West ("westernEdu")
This binary index indicates whether the EH received higher education in a Western country. By "higher education", this dataset excludes education at and below the upper secondary school level, and refers to education at and beyond the university level (which includes the college level). So long as the school in question was located in a Western country, the case fulfills the conditions of this index. The conferral of degrees is irrelevant to the definition of "education"; it can include visiting researcher statuses or short-term study-abroad programs.

(iv) Higher education degree in the West ("westernDegree")
It is a binary variable on whether the EH has been conferred a higher education degree in a Western country. So long as the school in question was located in a Western country, the case fulfills the conditions of this index. We code "0" when EHs received PhD from universities in the West after assuming the position. The definition of "higher education" and the "West" remains the same with the "WesternEdu" index.

(v) School Name and Field ("schoolNameField")
This is a character variable on relevant information regarding the EH's educational background (higher education/degree). The definition of "higher education" remains the same as in the explanation for the variable "westernEdu", but the information is not limited to education received in the "West" or any other geographical location. The information can contain the name of the higher education institution he/she belonged to, the discipline in which he/she specialized in, his/her degree and so on.

3.3.4 Biological element

(i) Gender ("gender")
Gender was taken as a binary variable, where "1" indicates that the EH was a male, and "0" indicates that the leader was a female.

(ii) Age ("age")
It is an integer that shows the age of the EH in the specific year.

4. References

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Sources of the Two Datasets

≪Sources for the dataset on authority of EHs are as follows (sorted out by IOs in alphabetical order)≫

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- APEC
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  - Bangkok Declaration on Asia-Pacific Economic Cooperation (APEC), 1992.
- ASEAN
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  - Agreement on the Establishment of the ASEAN Secretariat, 1976.
  - Protocol Amending the Agreement on the Establishment of the ASEAN Secretariat, 1992.
  - Protocol on Dispute Settlement Mechanism, 1996.
  - Protocol on Enhanced Dispute Settlement Mechanism, 2004.
  - The ASEAN Charter, 2007, entry into force in 2008.
- AU
  - https://au.int/en
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  - Rules of Procedure of the Assembly and the Executive Council, Statues of the Commission and Rules of Procedure of the Permanent Representatives' Committee, adapted in July 2002 and amended in July 2007.
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    - Protocol of Washington, 1992, entry into force in 1996.
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  - Declaration on the Establishment of the Shanghai Cooperation Organization, 2001.
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  - Implementation of Security Council resolution 1701 (2006) during the period from 20 February to 18 June 2021, Report of the Secretary-General, S/2021/650.

≪Sources for the dataset on the personal trait of EHs are as follows (sorted out by IOs in alphabetical order. Within the IOs, general information sources are followed by those for each EHs in chronological order.)≫

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