

Policy Scope Manual

How to cite these data?

Liesbet Hooghe, Tobias Lenz, and Gary Marks. 2019. *A Theory of International Organization: A Postfunctionalist Theory of Governance*, Vol. IV. Oxford: OUP.

If you are drawing on the unpublished data on policy scope, please cite the book alongside the website:
<https://garymarks.web.unc.edu/international-authority/>

Legend:

Three files are in this zip file:

1. A policy scope manual (this document: -- A. Concept, coding, descriptives + B. codebook + C. list of IOs)
2. Two excel files documenting for each IO how policy scope is scored and why.
3. Stata dataset containing all scores by IO-year

A. CONCEPT, CODING, BASIC DESCRIPTIVES

Extract from Liesbet Hooghe, Tobias Lenz, Gary Marks. 2019. *A Theory of International Organization*. OUP, 145-48.

The policy scope of an IO—its policy portfolio—is a key element of an IO’s basic set-up (see Chapter 4). We seek to understand what drives change in the policy portfolio over time in Chapter 5. This, in turn, affects an IO’s international authority, as explained in Chapter 6.

Our measure of an IO’s policy scope is annual, and distinguishes between core and flanking policies. The data are available in the MIA dataset.

The scope of an IO’s portfolio is assessed across a list of twenty-five policies (Table A.8). This is more fine-grained than classifications of an IO’s mandate, such as the three-way distinction between economic, security, and multi-issue IOs in the Correlates of War dataset (Boehmer, Gartzke, and Nordstrom 2004). It covers more IOs, and includes more policies than measures developed for regional organizations (see e.g. Balassa 1961; Haftel 2013), security IOs (Haftel and Hofmann 2017), or IO legislative output (Lundgren, Squatrito, and Tallberg 2018).

In constructing a dictionary for policy categories, we draw from extant policy dictionaries (such as the Comparative Agenda project), case studies of international organizations and agreements, and IO documentation.

Table A.8. Policy categories

1. Agriculture
 2. Competition policy, mergers, state aid, antitrust
 3. Culture and media
 4. Education (primary, secondary, tertiary), vocational training, youth
 5. Development, aid to poor countries
 6. Financial regulation, banking regulation, monetary policy, currency
 7. Welfare state services, employment policy, social affairs, pension systems
 8. Energy (coal, oil, nuclear, wind, water, solar)
 9. Environment: pollution, natural habitat, endangered species
 10. Financial stabilization, lending to countries in difficulty
 11. Foreign policy, diplomacy, political cooperation
 12. Fisheries and maritime affairs
 13. Health: public health, food safety, nutrition
 14. Humanitarian aid (natural or man-made disasters)
 15. Human rights: social & labor rights, democracy, rule of law, non-discrimination, election monitoring
 16. Industrial policy (including manufacturing, SMEs, tourism)
 17. Justice, home affairs, interior security, police, anti-terrorism
 18. Migration, immigration, asylum, refugees
 19. Military cooperation, defense, military security
 20. Regional policy, regional development, poverty reduction
 21. Research policy, research programming, science
 22. Taxation, fiscal policy coordination, macro-economic policy coordination
 23. Telecommunications, internet, postal services
 24. Trade, customs, tariffs, intellectual property rights/patents
 25. Transport: railways, air traffic, shipping, roads
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An IO policy meets two general criteria. First, it is a multilateral policy administered by the IO rather than an aggregation of bilateral policies among the member states. The Association of South East Asian Nations (ASEAN) provides an example. From 2000, ASEAN countries began to coordinate their management of regional short-term liquidity problems by setting up bilateral swap arrangements—the so-called Chian Mai Initiative. We consider “financial stabilization and lending to countries in difficulty” as part of the policy portfolio of ASEAN only from March 2010, when the Chiang Mai Initiative Multilateralization (CMIM) Agreement became a multilateral policy administered by ASEAN.

The second criterion is that the policy is institutionalized. This requires a tangible legal, financial, or organizational footprint—not merely declarations of intent—evidenced in documentation, e.g. treaties, protocols, declarations, constitutions, framework legislation, budgetary documents, or white papers.

Policy scope is assessed at each reform moment of an IO, i.e. at the time of a treaty revision, new protocol or convention, the passing of framework legislation, or the creation of a new IO body or instrument.

The following eight indicators are designed to tap whether there is tangible evidence that an IO's portfolio encompasses a particular policy:

- The policy features in the name of the organization;
- The policy is highlighted as a central purpose of the IO in the opening paragraphs of its foundational contract;
- The policy is the primary subject of a separate treaty section;
- The policy is the primary subject of an annex, a protocol, a convention, or an agreement;
- The policy is explicitly tied to budgetary resources in a convention, constitution, protocol, annexes, or ancillary document;
- The policy is the primary subject of an (actually existing) IO instrument: agency, fund, directorate, or tribunal;
- The policy is the primary subject of an (actually existing) IO intergovernmental committee, council, working group or equivalent;
- The policy features as the functional specialization of the national representatives who sign the IO's foundational document.

These indicators assess policy scope at foundation and following institutional reform. For recent decades, in particular, one can often find valuable information on the IO's website, from NGOs, and from academics monitoring the IO.

In estimating the portfolio, we distinguish between core policies and flanking policies. Table A.9 provides descriptives.

- A policy is conceived as *core* when it meets three or more of the above criteria. A core policy is very often prominent in the name of the organization or in the opening paragraphs of the foundational contract.
- A policy is considered *flanking* when it meets two criteria.

Policy scope is the unweighted sum of core and flanking policies.

Table A.9: Descriptives for policy scope, core, flanking policies

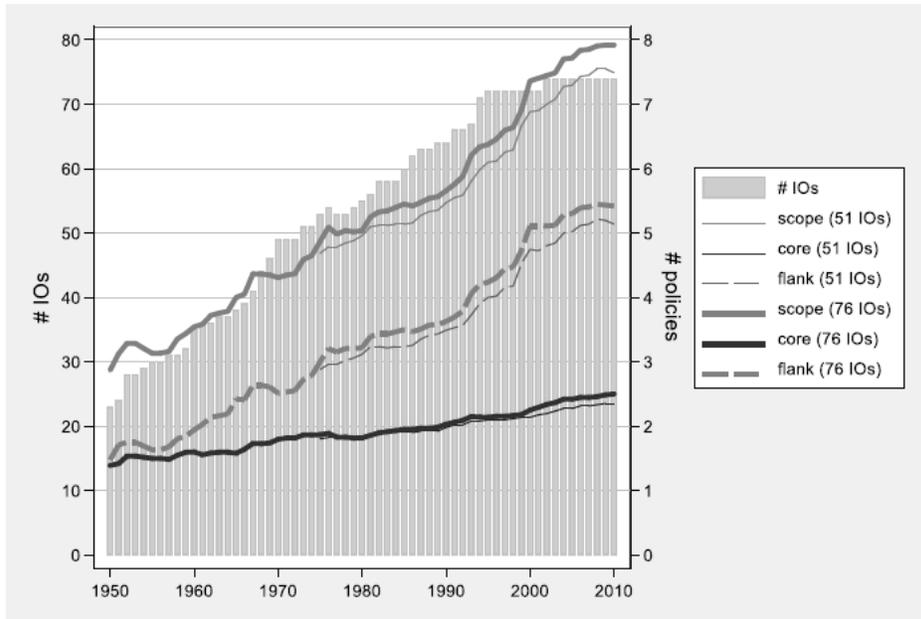
Indicator	Mean	Median	Coefficient of variation	Min	Max	Q25	Q75
Policy scope (core + flanking)	5.689	3	0.875	1	24	2	9
Core policies	2.002	2	0.642	1	10	1	3
Flanking policies	3.685	2	1.072	0	16	1	6

Note: N=3292 IO-years.

The coding was a joint exercise by the three authors of this book. We began by coding a subset of IOs for the year 2010 before revising the coding scheme for all seventy-six IOs at the time of an IO's establishment or 1950 (if later) and 2010 (or the final year the IO appears in the dataset). We then identified intervening reform moments (treaty revisions, framework legislation, creation of new organizations such as a fund, court, or major council or committee). The coding procedure can be described as "interpretation through dialogue" (Hooghe et al. 2016: 27–30 and Hooghe et al. 2017: 31–2).

Figure A.1 displays policy scope over time. The thin lines plot average policy scope, average core policies, and average flanking policies for the fifty-one IOs for which we have continuous data since 1975. The thick lines track average scope, core, and flanking policies for all IOs in the dataset in a given year. The number of IOs varies from twentythree in 1950 to fifty-three in 1975 and seventy-four in 2010. The shaded bars track the growth in the number of IOs over time.

Figure A.1: Policy scope over time



Note: thin lines trace the development of the average IO in the dataset since 1975 (n=51); thick lines trace the development of the average IO in a given year (with a varying number of IOs from an overall sample of 76 IOs).

Three patterns can be discerned. First, IOs have seen a secular expansion of their policy portfolios, from an average of 2.9 policies in 1950 to eight policies in 2010 (lightgray solid line). Second, there is less movement in IOs' core policies over time, from an average of 1.4 core policies in 1950 to 2.5 in 2010. Third, and by implication, the dynamism in an IO's policy portfolio derives mostly from adding flanking policies, as revealed by the broken line in the figure. Interestingly, these trends are relatively similar for both the overall sample of seventy-six IOs and for the consistent sample of fifty-one IOs since 1975.

B. DATASET CODEBOOK [note: policy scope is coded through 2017]

. codebook, compact

Variable	Obs	Unique	Mean	Min	Max	Label
ionumber	3865	77	2712.409	270	5550	
ioname	3865	77	.	.	.	
year	3865	68	1989.16	1950	2017	
acronym	3865	79	.	.	.	
io	3865	77	.	.	.	
io2	3859	86	.	.	.	
inception	3865	43	1954.171	1831	2002	year of creation
initial	77	1	1	1	1	first year in dataset
end	90	1	1	1	1	last year in pooling/delegation dataset
typeI	3865	2	.3694696	0	1	based on contract dichotomy
contract	3865	2	1.36947	1	2	contract dichotomized
SCOPEAggregate						
scope	3858	24	5.948419	0	24	core + flank
core	3858	10	2.07128	0	10	excel "coding core_flanking_june2019"
flank	3827	18	3.912464	0	17	excel "coding core_flanking_june2019"
SCOPEVariables						
agriculture	1508	3	1.04244	0	2	Agriculture
competition	895	3	.6324022	0	2	Competition policy, mergers, state aid, antitrust
culture	1203	3	.9875312	0	2	Culture and media
education	1379	3	.9746193	0	2	Education (primary, secondary, tertiary), vocational training, youth
development	1090	3	.9899083	0	2	Development, aid to poor countries
currency_bank	1165	3	1.029185	0	2	Financial regulation, banking regulation, monetary affairs, currency
welfare	1365	3	.9142857	0	2	Welfare state services, employment policy, social affairs, pension systems
energy	1259	3	.8633836	0	2	Energy (coal, oil, nuclear, wind, solar)
environment	1344	3	.9568452	0	2	Environment: pollution, natural habitat, endangered species
finstability	616	3	.5194805	0	2	Financial stabilization, lending to countries in difficulty
foreign	1244	3	1.278939	0	2	Foreign policy, diplomacy, political cooperation
fisheries	816	3	.7034314	0	2	Fisheries and maritime affairs
health	1221	3	.7854218	0	2	Health: public health, food safety, nutrition
humanaid	783	3	.6091954	0	2	Humanitarian aid (natural or man-made disasters)
humanrights	1100	3	1.087273	0	2	Human rights: social & labor rights, democracy, rule of law,

					non-discriminat
industry	1738	3	1.214039	0	2 Industrial policy (includemanufacturing, SMEs, tourism)
justice	1388	3	1.092939	0	2 Justice, home affairs, interior security, police, anti-terrorism
migration	739	3	.7023004	0	2 Migration, immigration, asylum, refugees
military	1163	3	1.244196	0	2 Military cooperation, defense, military security, peacekeeping
regionaldev	1350	3	.9866667	0	2 Regional policy, regional development, poverty reduction
research	1658	3	1.000603	0	2 Research policy
taxation	1063	3	.7958608	0	2 Taxation, macro-economic, fiscal coordination
telecom	1197	3	.7894737	0	2 Telecommunications, internet, postal services
trade	2152	3	1.493494	0	2 Trade, customs, tariffs
transport	1591	3	1.061596	0	2 Transport: railways, air traffic, shipping, roads
datacollect	3795	2	.7025033	0	1 Data collection, studies, reports, statistics
PRIMARY POLICY					primary focus of IO (OWN CODING)
k_1	3827	2	.0303109	0	1 agriculture
k_3	3810	2	.0125984	0	1 culture
k_4	3810	2	.0178478	0	1 Education (primary, secondary, tertiary), vocational training, youth
k_5	3810	2	.0178478	0	1 Development, aid to poor countries
k_6	3810	2	.0178478	0	1 Financial regulation, banking regulation, monetary affairs, currency
k_8	3810	2	.0333333	0	1 Energy (coal, oil, nuclear, wind, solar)
k_9	3810	2	.0301837	0	1 Environment: pollution, natural habitat, endangered species
k_10	3810	2	.0356955	0	1 Financial stabilization, lending to countries in difficulty
k_11	3810	2	.0897638	0	1 Foreign policy, diplomacy, political cooperation
k_12	3810	2	.0188976	0	1 Fisheries
k_13	3810	2	.0178478	0	1 Health: public health, food safety, nutrition
k_15	3810	2	.0501312	0	1 Human rights: social & labor rights, democracy, rule of law, non-discrimination,
k_16	3810	2	.0385827	0	1 Industrial policy (including manufacturing and SMEs)
k_17	3810	2	.0356955	0	1 Justice, home affairs, interior security, police, anti-terrorism
k_18	3810	2	.0165354	0	1 Migration, immigration, asylum, refugees
k_19	3810	2	.0800525	0	1 Military cooperation, defense, military security, peacekeeping
k_20	3810	1	0	0	0 Regional policy, regional development, poverty reduction
k_21	3810	2	.044357	0	1 Research policy, research programming, science
k_22	3810	2	.0149606	0	1 taxation, fiscal policy coordination
k_23	3810	2	.0356955	0	1 Telecommunications, internet, postal services
k_24	3848	2	.3022349	0	1 Trade, customs, tariffs
k_25	3810	2	.0690289	0	1 Transport: railways, air traffic, shipping, roads

C. LIST OF IOS

COW #	Acronym	Name of IO	Years in Dataset
3430	ALADI/ LAIA*	Latin American Integration Association	1961-2017
470	AMU*	Arab Maghreb Union	1989-2017
650	APEC*	Asia-Pacific Economic Cooperation	1991-2017
750	ASEAN*	Association of Southeast Asian Nations	1967-2017
3760	AU/ OAU*	African Union	1963-2017
840	BENELUX*	Benelux Union	1950-2017
810	BIS	Bank for International Settlements	1950-2017
871	CABI	Centre for Agriculture and Bioscience International	1987-2017
330	CAN/ Andean*	Andean Community	1969-2017
880	CARICOM*	Caribbean Community	1968-2017
1050	CCNR	Central Commission for the Navigation of the Rhine	1950-2017
1260	CEMAC*	Central African Economic and Monetary Community	1966-2017
1720	CERN	European Organization for Nuclear Research	1954-2017
1230	CIS*	Commonwealth of Independent States	1992-2017
1390	CoE*	Council of Europe	1950-2017
1370	COMECON*	Council for Mutual Economic Assistance	1959-1991
1170	COMESA*	Common Market for Eastern and Southern Africa	1982-2017
1240	ComSec*	Commonwealth of Nations	1965-2017
1750	EAC1*	East African Community I	1967-1976
1751	EAC2*	East African Community II	1993-2017
1500	ECCAS-CEEC*	Economic Community of Central African States	1985-2017
1520	ECOWAS*	Economic Community of West African States	1975-2017
1831	EEA	European Economic Area	1994-2017
1670	EFTA*	European Free Trade Association	1960-2017
1790	ESA	European Space Agency	1980-2017
1830	EU*	European Union	1952-2017
1840	FAO	Food and Agriculture Organization	1950-2017
1990	GCC*	Gulf Cooperation Council	1981-2017
1900	GEF	Global Environment Facility	1994-2017
2370	IAEA	International Atomic Energy Agency	1957-2017
2400	IBRD/ WB	World Bank	1950-2017
2500	ICAO*	International Civil Aviation Organization	1950-2017
2702	ICC	International Criminal Court	2002-2017
2530	ICO	International Coffee Organization	1963-2017
2230	IGAD*	Intergovernmental Authority on Development	1986-2017
2830	ILO*	International Labor Organization	1950-2017
2880	IMF	International Monetary Fund	1950-2017
2860	IMO	International Maritime Organization	1960-2017
2700	Interpol*	International Criminal Police Organization	1950-2017
2250	IOM	International Organization for Migration	1955-2017
3100	ISA/ISBA	International Seabed Authority	1994-2017

COW #	Acronym	Name of IO	Years in Dataset
3160	ITU	International Telecommunication Union	1950-2017
3250	Iwhale/IWC	International Whaling Commission	1950-2017
3450	LOAS*	League of Arab States	1950-2017
4260	MERCOSUR*	Common Market of the South	1991-2017
2572	NAFO	Northwest Atlantic Fisheries Organization	1979-2017
3670	NAFTA*	North American Free Trade Association	1994-2017
3700	NATO*	North Atlantic Treaty Organization	1950-2017
3590	NORDIC*	Nordic Council	1952-2017
3800	OAPEC*	Organization of Arab Petroleum Exporting Countries	1968-2017
3900	OAS*	Organization of American States	1951-2017
3750	OECD*	Organization for Economic Cooperation and Development	1950-2017
3830	OECS*	Organization of Eastern Caribbean States	1968-2017
3850	OIC*	Organization of Islamic Cooperation	1970-2017
270	OIF/ACCT*	Francophonie	1970-2017
3840	OPEC	Organization of the Petroleum Exporting Countries	1960-2017
3770	OSCE	Organization for Security and Cooperation in Europe	1973-2017
1090	OTIF	Intergovernmental Organization for International Carriage by Rail	1950-2017
3940	PCA	Permanent Court of Arbitration	1950-2017
4200	PIF*	Pacific Islands Forum	1973-2017
4170	SAARC*	South Asian Association for Regional Cooperation	1986-2017
4240	SACU*	Southern African Customs Union	1950-2017
4250	SADC*	Southern African Development Community	1981-2017
5550	SCO*	Shanghai Cooperation Organization	2002-2017
3390	SELA*	Latin American and Caribbean Economic System	1976-2017
990	SICA*	Central American Integration System	1952-2017
4190	SPC*	Pacific Community	1950-2017
4400	UN*	United Nations	1950-2017
4410	UNESCO*	UN Educational, Scientific and Cultural Organization	1950-2017
4420	UNIDO	UN Industrial Development Organization	1985-2017
4570	UNWTO	World Tourism Organization	1975-2017
4430	UPU	Universal Postal Union	1950-2017
1650	WCO	World Customs Organization	1950-2017
4550	WHO	World Health Organization	1952-2017
4560	WIPO	World Intellectual Property Organization	1970-2017
4530	WMO	World Meteorological Organization	1950-2017
4560	WTO	World Trade Organization	1995-2017