Transnational NGO Interview Project

Codebook

Transnational NGO Initiative
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Forword

Transnational non-governmental organizations (TNGOs) are increasingly visible actors in global affairs and have become the subject of rapidly expanding research agendas across many academic disciplines. This growing academic and public awareness of transnational activism has created much debate about the legitimacy and proper role of civil society actors projecting their influence across national borders. Although academics and the general public are today more aware of TNGO activity, our understanding of their role in global affairs has remained limited due to a lack of basic descriptive information about TNGOs and their leadership.

This mixed-method interview study asks leaders of TNGOs—mostly presidents and CEOs—to explain important aspects about their organizations.[1] Leaders from 152 US-registered TNGOs spanning five major sectors of transnational activism were interviewed using an interdisciplinary protocol. Leaders were asked questions about governance, goals and strategies, transnationalism, effectiveness, accountability, networks and partnerships, communication and leadership. Additional preliminary and secondary data were also collected.

The first section of this codebook describes the preliminary data collected for sampling and record-keeping purposes. The main sections labeled 0000 – 9000 describe the primary data collected from the interviews. Variables without value labels are counts. The final section describes secondary data collected from organizations' websites and annual reports.

For additional information and detailed documentation describing the study, please visit the Transnational NGO Initiative's website at http://www.maxwell.syr.edu/moynihan_tngo.aspx. Questions and comments should be emailed to tngoinfo@maxwell.syr.edu. Written correspondence may be addressed to the Transnational NGO Initiative, 346 Eggers Hall, Syracuse, NY 13244-1090.

The TNGO Research Team:

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Variable name	Variable Label / Value Labels	
PRELIMINARY DATA COLLECTION		
org_id	**Organizational ID**	
org_sample	**In Sample**	
	0	Replacement
	1	Original
org_sector	**Sector**	
	1	Environment
	2	Human Rights
	3	Humanitarian Relief
	4	Sustainable Development
	5	Conflict Resolution
org_efficiency	**Efficiency**	
	1	Low (1 and 2 stars)
	2	High (3 and 4 stars)
org_capacity	**Capacity**	
	1	Low (1 and 2 stars)
	2	High (3 and 4 stars)
org_size	**Size**	
	1	Small (Budget < US$1,000,000)
	2	Medium (Budget US$ 1,000,000 – 10,000,000)
	3	Large (Budget > US$ 10,000,000)
org_function	**Function**	
	1	Advocacy
	2	Service
	3	Both
org_cell_fiscalhealth	**Fiscal Health**	
	1	Low Efficiency / Low Capacity
	2	Low Efficiency / High Capacity
	3	High Efficiency / Low Capacity
	4	High Efficiency / High Capacity
org_hq_location	**Headquarters Location**	
	1	New York City
	2	Washington, DC
	3	Boston
	4	West
	5	South
	6	Midwest

	SECTION 0000 – IDENTIFIERS

v0003   **Date of Interview (mm/dd/yyyy)**

v0020   **Coder ID**

             1   Coder 1
             2   Coder 2
             3   Coder 3
             4   Coder 4
             5   Coder 5

v0040   **Interviewer ID**

             1   Interviewer 1
             2   Interviewer 2
             3   Interviewer 3
             4   Interviewer 4
             5   Interviewer 5
             6   Interviewer 6
             7   Interviewer 7

v0060   **Respondent's Gender**

             1   Male
             2   Female

v0080   **Respondent's Age**

             1   22 to 35
             2   36 to 45
             3   46 to 55
             4   56 to 65
             6   66 and over

	SECTION 1000 – PERSONAL AND ORGANIZATIONAL ATTRIBUTES

v1020   **Position in Organizational Hierarchy**

         1   CEO, President, Executive Director
         2   Vice President
         3   Program, Project, or other Director
         4   Other position

v1040   **Tenure at Current Position**

         1   0-1 years
         2   2-3 years
         3   4-5 years
         4   6-7 years
         5   8-9 years
         6   10+ years

v1060   **Tenure at Current Organization**

         1   0-1 years
         2   2-3 years
         3   4-5 years
         4   6-7 years
         5   8-9 years
         6   10+ years

v1080   **Respondent's Native Language**

         1   English
         2   Other Languages

v1100   **Respondent's Country of Citizenship**

         1   US Citizen
         2   Other Citizenship

        Organization's Human Resources

v1141   Number of full-time employees
v1142   Number of part-time employees
v1143   Number of volunteers
v1144   Volunteers central to operations
v1145   Interns are used

v1160   **Organizational Membership**

         0   No members
         1   Membership of individuals
         2   Membership of organizations
         3   Both

        Board Composition

v1181   Board includes top staff
v1182   Board includes founder
v1183   Board includes volunteers
v1184   Others included on the board

Board Member Selection Criteria

v1201   Expertise/skills

v1202   Commitment/engagement to the cause

v1203   Reputation/visibility

v1204   Fundraising capabilities

v1205   Political and social connections

v1206   Other apparent criteria

Board Obstacles

v1221   Related specifically to the founder's presence on the board

v1222   Conflicting interpersonal relationships involving the board

v1223   Conflicting organizational/structural relationships involving the board

v1224   Other issues involving the board

v1230   **Organizational Structural Change (within the last 10 years)**

               1   Recent structural change

               2   No significant structural change

v1240   **Organizational Form/Structure**

               1   Unitary

               2   Federation

                3   Coalition

v1260   **Board Style**

               1   Informal

               2   Formal

v1280   **Level of Governing Board Engagement**

               1   Passive

               2   Active

SECTION 2000 – ORGANIZATIONAL GOALS , STRATEGIES, AND ACTIVITIES

Organizational Goals and Strategies

v2021	Education and public awareness
v2022	Advocacy / policy change
v2023	Grassroots mobilization
v2024	Compliance, monitoring and enforcement
v2025	Service delivery
v2026	Research
v2027	Capacity building
v2028	Fundraising, grant management
v2029	Other goals

v2040   Goal or Strategy Change (within the last 10 years)

	1	Mostly just the goals have changed
	2	Mostly just the strategies have changed
	3	Both goals and strategies have changed
	4	Neither goals nor strategies have changed significantly

Drivers of Goal or Strategy Change (within the last 10 years)

v2061	Change in operating environment
v2062	Funding/donor agencies
v2063	Organizational structural change
v2064	Mandate expansion
v2065	Mission accomplished
v2066	Other reasons for change

Obstacles to Goals

v2081	Time
v2082	Bureaucratic and legal requirements
v2083	Funding/money
v2084	Staff/associates competencies
v2085	Technology
v2086	Founder
v2087	Program inadequacies
v2088	Political context
v2089	Access
v2090	Local resistance
v2091	Lack of coordination
v2092	Other obstacles to goals

Organizational Activities

v2120 Direct Aid and Services
- 1 Primary activity
- 2 Non-primary activity
- 9 Does not do

v2140 Research and Public Education
- 1 Primary activity
- 2 Non-primary activity
- 9 Does not do

v2160 Mobilization of Public
- 1 Primary activity
- 2 Non-primary activity
- 9 Does not do

v2180 Advocacy
- 1 Primary activity
- 2 Non-primary activity
- 9 Does not do

v2200 Monitoring (policies, international agreements, commitments)
- 1 Primary activity
- 2 Non-primary activity
- 9 Does not do

v2221 Fundraising, grant management

v2222 Other activities

v2240 **Obstacles Facing the Organization**
- 1 Internal
- 2 External

	SECTION 3000 – TRANSNATIONALISM

v3020   **Respondent's Rating of Level of Transnationalism**

        1   Low

        2   Medium

        3   High

Impact of Transnationalism

v3041   Organizational Structure

v3042   Logistics (operations, coordination of resources)

v3043   Membership

v3044   Leadership (skills, language, political capital)

v3045   Agenda for Social Change

v3046   Fundraising

v3047   Staff (skills, geographic distribution, security, etc.)

v3048   Partnerships

v3049   Other

SECTION 4000 – EFFECTIVENESS

Definition of Effectiveness Mentions

v4021	Resources (material resources, money)
v4022	Flexibility
v4023	Innovation and innovative thinking
v4024	Expertise
v4025	Contacts (including networking and collaboration)
v4026	Staff/associates competencies
v4027	Stakeholder satisfaction and commitment
v4028	Achievement of own goals
v4029	Evaluation
v4030	Other items mentioned

v4060 **Respondent's Assessment of Own Organization's Effectiveness**

1 Low
2 Moderate
3 High

v4080 **Respondent's Perception of Organization's Reputation**

1 Low
2 Moderate
3 High

v4120 **Orientation of Respondent's Definition and Practice of Effectiveness**

1 Primarily results oriented
2 Primarily process oriented
3 Both

v4140 **Respondent's Time Frame for Effectiveness**

1 Short-term
2 Long-term
3 Both

	SECTION 5000 – ACCOUNTABILITY
	Definition of Accountability Mentions
v5021	Financial management
v5022	Contractual (contractual obligations, certification)
v5023	Mandate
v5024	Transparency
v5025	Other definitions
	Accountable to Whom or What
v5041	Board
v5042	Staff
v5043	Donors
v5044	Host government
v5045	Charter government
v5046	Environment
v5047	Members
v5048	Beneficiaries, recipients, clients
v5049	Mission
v5050	Partners
v5051	General public
v5052	Other stakeholders
	Implementing Accountability Involves
v5061	Policies
v5062	External audits
v5063	Internal audits
v5064	Evaluation
v5065	Meetings
v5066	Transparency/public disclosure
v5067	Board
v5068	Consultation
v5069	Agreements
v5070	Other means of accountability
	Benefits of Accountability
v5081	Growth
v5082	Reputation
v5083	Effectiveness
v5084	Stakeholder satisfaction
v5085	Other benefits of accountability
	Obstacles to Accountability
v5101	Resources
v5102	Organizational Culture
v5103	Political context
v5104	Donor Expectations
v5105	Other obstacles to accountability

v5120   **Respondent's Level of Satisfaction Regarding Accountability**
        1   Low
        2   Medium
        3   High

v5140   **Source of Accountability Pressures Acting upon the Organization**
        1   Primarily internal
        2   Primarily external
        3   Both

v5160   **Respondent's Level of Entrepreneurship regarding Accountability and Effectiveness**
        1   Not entrepreneurial
        2   Entrepreneurial

SECTION 6000 – COMMUNICATIONS

Mediated Communications

v6021	Phone
v6022	Email
v6023	Snail mail
v6024	IM or chat
v6025	VOIP
v6026	Conference calls
v6027	Blog
v6028	Regular reports
v6029	Listservs
v6030	Newsletters
v6031	Web conferencing, virtual meetings
v6032	Content management
v6033	Website
v6034	Other physical mediated communications
v6035	Other electronic mediated communications

Face-to-face Communications (with the organization overall)

v6041	Meetings
v6042	Open-door policies
v6043	Staff retreats, workshops, conferences, training sessions
v6044	Performance evaluations
v6045	Visits to the field
v6046	Other face-to-face communications

Mediated Communications with the Field

v6061	Phone
v6062	Email
v6063	Snail mail
v6064	IM or chat
v6065	VOIP
v6066	Conference calls
v6067	Blog
v6068	Progress / field reports
v6069	Listservs
v6070	Newsletters
v6071	Web conferencing, virtual meetings
v6072	Content management
v6073	Website
v6074	Other physical mediated communications
v6075	Other electronic mediated communications

Face-to-face Communications with the Field

v6081	Meetings
v6082	Staff retreats, workshops, conferences
v6083	Performance evaluations
v6084	Visits to the field
v6085	Other face-to-face communications

Communications Goals and Benefits

v6101	Coordinate tasks/manage logistics
v6102	Develop/maintain/improve relationships
v6103	Both
v6104	Other communication aims and benefits

Communications Obstacles and Challenges

v6121	Cost of communications
v6122	Time
v6123	Organizational or interpersonal conflict
v6124	Intercultural issues
v6125	Political context
v6126	Ineffective communications, lack of evaluation
v6127	Other communication challenges

v6180 **Respondent's Personal Style of Communication within the Organization**

1	Primarily informal
2	Somewhat formal
3	Primarily formal

v6200 **Communication Flows within the Organization Overall**

1	Primarily non-hierarchical
2	Primarily hierarchical

	SECTION 7000 – NETWORKS AND PARTNERSHIPS

Type of Organizations with which the Respondent Collaborates

v7101	Intergovernmental / international organizations
v7102	Corporations
v7103	Governments/States
v7104	NGOs
v7105	Other types of organizations

Collaboration Structures

v7121	Respondent's organization is the agent in the relationship
v7122	Respondent's organization is the principal in the relationship
v7123	Authority is shared between respondent's organization and partner
v7124	Other characterizations of collaboration structures

Benefits of Partnerships or Network Collaborations

v7141	Better Access
v7142	Achieve better understanding of substantive issues
v7143	Increased legitimacy and credibility
v7144	Better results
v7145	Broader programs
v7146	Increased funding
v7147	Enhanced visibility and presence
v7148	Legal
v7149	Learning
v7150	Local capabilities
v7151	Other benefits of collaboration

Obstacles to Partnerships or Network Collaborations

v7161	Loss of control/ownership
v7162	Muddled management
v7163	Reduction of resources
v7164	Concerns about compatibility of missions
v7165	Lack of confidence, concerns about reliability and trustworthiness
v7166	Organizational cultures
v7167	Time
v7168	Other obstacles or disadvantages
v7220	**Affect towards Collaborations with Civil Society Organizations**
	1 Negative
	2 Neutral
	3 Positive
v7240	**Affect towards Collaborations with For-Profit and Governmental Entities**
	1 Negative
	2 Neutral
	3 Positive

SECTION 8000 – LEADERSHIP AND PROFESSIONAL ENGAGEMENT

	Skills Needed in NGO
v8021	Strategic planning
v8022	Commitment
v8023	Relationships with people
v8024	Communication skills
v8025	Initiative taking
v8026	Empathy
v8027	Ability to learn
v8028	Flexibility
v8029	Fundraising skills
v8030	Cultural competencies
v8031	Integrity
v8032	Experience
v8033	Other skills

              Internal Skill Acquisition

v8041	Modeling/apprenticeship/internship
v8042	Practice and experience in organization
v8043	Debriefings and evaluations
v8044	In-house workshops
v8045	Other internal modes of skill acquisition

              Reason for Internal Skill Acquisition

v8051	Lack of funds
v8052	Preference for internal training
v8053	Other reasons for internal focus
v8060	**Focus of External Skill Acquisition**
	1 Short-term focus
	2 Long-term focus
v8073	**Advancement Opportunities**
	1 Advancement Opportunities
	2 Few or no opportunities for internal advancement/promotion

Qualities of a Good Leader

v8081	Achieving goals in cost effective manner
v8082	Effective relationships with staff and stakeholders
v8083	Leading by example (willing to do the same as you ask)
v8084	Ability to articulate vision
v8085	Ability to be motivational/inspirational
v8086	Good listener or ability to give voice to others
v8087	Ability to say "no" and make tough decisions
v8088	Ethical
v8089	Sense of humor
v8090	Ability to delegate effectively
v8091	Willingness to take risks
v8092	Public diplomacy
v8093	Network building, development and maintenance
v8094	Other qualities of good leaders

Desired Training for "Leaders Like Yourself"

v8101	Peer learning and discussion
v8102	Interacting with leaders from the for-profit sector
v8103	Work and personal life balance
v8104	Need for rest and relaxation
v8105	Need for discussions regarding the transition from managing projects/programs to managing people
v8106	Learning how to keep up with the pace of change
v8107	Fundraising training
v8108	Learning how to collaborate and partner more effectively
v8109	Technology training, administrative training
v8110	Other desires, suggestions, or obstacles
v8140	**Interest in Leadership Training and Professional Engagement**

	1	Low
	2	Medium
	3	High

SECTION 9000 – INTERVIEWER DEBRIEF

v9040	**Respondent's Candor**

	1	Respondent was very candid
	2	Occasional lack of candor
	3	Prolonged lack of candor

SECONDARY DATA COLLECTION			

resp_age	**Respondent's Age**		
resp_tenure_position	**Respondent's Tenure in Position**		
resp_tenure_organization	**Respondent's Tenure in Organization**		
resp_level_education	**Respondent's Level of Education**		
		1	BA, BSc
		2	Master
		3	Master in Business Administration
		4	PhD
		5	MD
		6	JD
resp_professional_background	**Respondent's Professional Background**		
		1	Civil Society Organizations
		2	Private Sector
		3	Public Sector
		4	Religious Organization
org_year_founded	**Founded Year**		
		1	Before 1920
		2	1920 - 1939
		3	1940 - 1959
		4	1960 - 1979
		5	1980 - 1999
		6	2000 or later
org_year_ruling	**Ruling Year**		
		1	Before 1920
		2	1920 - 1939
		3	1940 - 1959
		4	1960 - 1979
		5	1980 - 1999
		6	2000 or later
org_faithbased	**Faith-based Organization**		
		0	No
		1	Yes
org_membership	**Membership Organization**		
		0	No
		1	Yes

org_no_fulltime_employees	**Number of Full-time Employees**	
	1	1-5
	2	6-10
	3	11-20
	4	21-100
	5	101-500
	6	501-1000
	7	>1000
org_no_parttime_employees	**Number of Part-time Employees**	
	1	1-5
	2	6-10
	3	11-20
	4	21-100
	5	101-500
	6	501-1000
	7	>1000
org_no_volunteers	**Number of Volunteers**	
	1	1-5
	2	6-10
	3	11-20
	4	21-100
	5	101-500
	6	501-1000
org_no_board_members	**Number of Board Members**	
org_board_affiliated_cso	**Number of Board Members Affiliated with CSOs**	
org_board_affiliated_private	**Number of Board Members Affiliated with Private Organizations**	
org_board_affiliated_public	**Number of Board Members Affiliated with Public Organizations**	
org_board_affiliated_education	**Number of Board Members Affiliated with Educational Institutions**	
org_board_affiliated_other	**Number of Board Members Affiliated with Other Organizations**	
org_board_non_affiliated	**Number of Non-Affiliated Board Members**	
org_activities_directservices	**Direct Services**	
	0	Does not do
	1	Does
org_activities_researchandpublic	**Research and Public Education**	
	0	Does not do
	1	Does
org_activities_mobilization	**Mobilization**	
	0	Does not do
	1	Does
org_activities_advocacy	**Advocacy**	
	0	Does not do
	1	Does

org_activities_monitoring	**Monitoring**	
	0	Does not do
	1	Does
org_activities_grants	**Fundraising and Grant-making**	
	0	Does not do
	1	Does
org_activities_other	**Other Activities**	
	0	Does not do
	1	Does
org_region_africa	**Africa**	
	0	Not present
	1	Present
org_region_asia	**Asia**	
	0	Not present
	1	Present
org_region_latinamerica	**Latin America**	
	0	Not present
	1	Present
org_region_northamerica	**North America**	
	0	Not present
	1	Present
org_region_europe	**Europe**	
	0	Not present
	1	Present
org_revenues_2001	**Revenues 2001**	
	1	Less than $5 million
	2	$5 million to $15 million
	3	More than $15 million
org_revenues_2002	**Revenues 2002**	
	1	Less than $5 million
	2	$5 million to $15 million
	3	More than $15 million
org_revenues_2003	**Revenues 2003**	
	1	Less than $5 million
	2	$5 million to $15 million
	3	More than $15 million
org_revenues_2004	**Revenues 2004**	
	1	Less than $5 million
	2	$5 million to $15 million
	3	More than $15 million

org_revenues_2005	**Revenues 2005**	
	1	Less than $5 million
	2	$5 million to $15 million
	3	More than $15 million
org_revenues_2006	**Revenues 2006**	
	1	Less than $5 million
	2	$5 million to $15 million
	3	More than $15 million
org_revenues_average	**Average Revenues 2001-2006**	
	1	Less than $5 million
	2	$5 million to $15 million
	3	More than $15 million
org_expenses_2001	**Expenses 2001**	
	1	Less than $5 million
	2	$5 million to $15 million
	3	More than $15 million
org_expenses_2002	**Expenses 2002**	
	1	Less than $5 million
	2	$5 million to $15 million
	3	More than $15 million
org_expenses_2003	**Expenses 2003**	
	1	Less than $5 million
	2	$5 million to $15 million
	3	More than $15 million
org_expenses_2004	**Expenses 2004**	
	1	Less than $5 million
	2	$5 million to $15 million
	3	More than $15 million
org_expenses_2005	**Expenses 2005**	
	1	Less than $5 million
	2	$5 million to $15 million
	3	More than $15 million
org_expenses_2006	**Expenses 2006**	
	1	Less than $5 million
	2	$5 million to $15 million
	3	More than $15 million
org_expenses_average	**Average Expenses 2001-2006**	
	1	Less than $5 million
	2	$5 million to $15 million
	3	More than $15 million
org_chnav_rating_2003	**Charity Navigator Rating 2003**	
org_chnav_rating_2004	**Charity Navigator Rating 2004**	

org_chnav_rating_2005   **Charity Navigator Rating 2005**
org_chnav_rating_2006   **Charity Navigator Rating 2006**
org_chnav_rating_average   **Average Charity Navigator Rating for 2003-2006**