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How and Why International Nongovernmental Organizations Fill the Global Governance Institutional Gap

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2018

Abstract

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Joel James Weaver

MS, Central Michigan University, 2001

BS, United States Air Force Academy, 1990

Dissertation Submitted in Partial Fulfillment

of the Requirements for the Degree of

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Public Policy and Administration

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Abstract

Global governance refers to global cooperation through existing and developing

structures, groups, and initiatives, yet little academic research focuses on the role of

international nongovernmental organizations (INGOs) in promoting global governance.

Using Benet's polarities of democracy as the theoretical foundation, the purpose of this

critical case study was to explore why and how INGOs address the gap in global

governance institutions in terms of humanitarian support. Data collection involved open-

ended interviews with 12 members of an international, nonprofit service organization that

provides humanitarian support services to a global community. Interview data were

inductively coded and subjected to a thematic analysis procedure. Findings revealed 4

key themes: INGOs fill the global governance institutional gap because members think it

is the right thing to do and they want to help their fellow human beings; effective global

governance starts locally and simply; global governance remains conceptual; but

polarities of democracy show promise as a possible global governance policy guide.

Findings may be used to promote INGO participation in the provision of global

humanitarian support and to improve global cooperation in addressing problems, such as

mass migration, pandemics, and climate change. All of humanity, particularly those in

poverty and distress, stand to benefit from effective global governance.

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Dedication

I dedicate this dissertation to my family, and particularly to my wife, Annabel, for her extreme patience with my truly amazing ability to procrastinate and look for any excuse to delay working on my study and research. She constantly reminded me of the value of this endeavor and how fortunate I was to have had this chance at higher learning. Her loving encouragement was the one thing I could not have done without.

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Chapter 1: Introduction to the Study

Global governance has emerged as a key political, economic, and social phenomenon in the past two decades, but scholars and practitioners remain unclear as to how to describe it and capture what it entails. The phenomenon involves connections to older areas of social science and continues to emerge as a developing framework with over two decades of scholarly investigation (Hofferberth, 2015). The new conceptual aspect of global governance refers to the varied definitions given to the term and the continued development of themes associated with it. The old linkages tie back to international relations, political science, and other related fields of study where investigations of how humans governed themselves have always been of scholarly interest and where scholars advocated further cross-disciplinary study (Pegram & Acuto, 2015). Scholars recently stressed knowledge gaps in the literature regarding how global governance is developing and whether it is becoming more influential with respect to solving some of humanity's most difficult challenges (Sinclair, 2013; Weiss, 2013). A review of current literature indicated the need for further exploration because global governance is becoming more influential in areas such as technology sharing, environmental controls (global warming), trade (financial networks), human rights (international nongovernmental organization (INGO) expansion), and issues such as mass migration and global health concerns (pandemics).

Background

The concept of global governance has gained recognition in scholarly discourse as humans have adjusted to a more interconnected world. Weiss (2013) discussed the broad

phenomenon while identifying knowledge gaps and areas for further scholarly work. Weiss expressed a positive view of how global governance initiatives can result in solutions to the many global challenges humans face today. Rodrick (2011) and Grygiel (2016) criticized Weiss's view as too optimistic, yet these detractors did not offer a more concrete theory to refute Weiss's view of why global governance is becoming necessary to manage global challenges. Weiss and others, such as Sinclair (2013) and Willetts (2013), outlined their views of the complexity in global governance and pointed to civil society groups like INGOs as important actors working to fill institutional gaps not addressed by governments.

Stroup (2012) presented a case study review of three prominent humanitarian INGOs and found that they retained strong ties to their home nations despite having international reach. Stroup cautioned against the view that INGOs work as completely independent actors from their home nations or bases of funding. Stroup's advised stakeholders to remain vigilant to biases found in the INGO community. Although the INGO may claim to be free of national influence, there is good reason to suspect many INGOs remain strongly attached to the values and norms of their home nations (Stroup, 2012). This may not always be the case, yet a potential conflict of interest for INGOs exists as they are involved in global issues outside of the borders where they were founded.

Rasche, Waddock, and McIntosh (2012) provided a summary of the United Nations (UN) Global Compact and outlined how the Global Compact framework between governments, INGOs, and other civil actors is designed to accomplish the UN

millennium goals. Rasche et al. concentrated on global governance development with respect to the institutional gap in global governance and helped improve understanding of how the premier global governance organization, the UN, is working to further global policy agendas. The Global Compact presents an example of how global policy is being implemented and how successful this effort is (or is not) based on quantifiable outcomes. Quantitative research on the phenomenon of global governance is useful in this context and helps focus additional qualitative research to understand how and why millennium goals are being accomplished.

Crack (2013) outlined how INGOs have worked to supply global goods and services and how they might be evaluated in achieving this task. This view of the INGO role in global governance presents potential methods to measure the effectiveness of INGO performance with respect to global governance. Crack highlighted the growing influence of INGOs as civil actors working in global governance and provided a rationale for the need for more research on this aspect of global governance. Dany (2013) also studied INGO effectiveness within the UN governance structure and concluded that access to the UN policymaking organizations is not enough to guarantee INGO influence. Crack and Dany provided keen insights into methods for evaluating INGOs with respect to their influence on global governance.

Karns and Mingst (2010) conducted research on INGOs and the politics and process of global governance; Karns and Mingst also addressed global governance challenges and the need for further study to explore policy solutions. Karns and Mingst's work was one of the few studies to address the workings of global governance as it exists

in the present time. Organizations are changing, and the process of global governance is also being adapted and developed; documenting the process as it exists now is critical for understanding how it is likely to change going forward.

Hale, Held, and Young (2013) reviewed the reasons for the failures in global governance and possible pathways through the gridlock. Hale et al.'s views are important in establishing the negative trend in cooperation across national borders and within borders, such as the polarization of political parties in the United States; however, Hale et al. also noted positive aspects such as increased global interest groups like INGOs and more imperatives for global cooperation. Hale et al. described wicked problems as the reasons gridlocked institutions will be forced to reform, although Hale et al. did not provide a clear explanation of how this will take place.

Problem Statement

The many global challenges facing humanity today, including security (transnational terrorism), health (pandemic disease), environment (global warming), and economy (global recession) are some of the complex, or wicked, problems that drive the discussion of possible global governance solutions (Brown, Harris, & Russell, 2010; Masciulli, 2011; Rittel & Webber, 1973). These challenges now and in the future, do not allow much time for nation states to react when they become critical, such as the financial crisis of 2008 or the recent Ebola pandemic in West Africa. The influence of globalization on these challenges is making them more complex and demands for effective global governance are predicted to grow (Sinclair, 2013). Existing global governance institutions such as the United Nations struggle to meet the demands placed

on them (Karns & Mingst, 2010), and global public goods continue to be provided in part by INGOs, such as Rotary International (also called Rotary). The specific global challenges Rotary tends to address fall under human rights issues such as clean water, education, proper sanitation, and relief from suffering. The number of refugees in the world has increased significantly over the past 10 years, and mass migration due to suffering in some parts of the world threatens the more stable Western democracies. These challenges are key issues for INGOs such as Rotary and were the focus of my study.

Purpose of the Study

The purpose of this qualitative study was to explore and understand the institutional gap in global governance through the perceptions of members of an INGO, specifically Rotary International and the Rotarians of District 1070 in the United Kingdom. Rotary represents a selective case, which is large enough to have true global reach in its international form (1.2 million members in nearly all nations), yet small enough in its local club structure (30 members in an average club) to link closely to small communities with limited resources. The local to global and federated/consensual nature of Rotary International (RI) and Rotary International in Britain and Ireland (RIBI) (RI, 2014; RIBI, 2014) provided an informative exemplar of INGO interaction with the larger phenomenon of global governance. I chose the Rotary district encompassing my (see Figure 1 below) club to benefit from my familiarity with this administrative area, and I selected Rotarians with extensive international project experience to reach the deepest knowledge pool of experts I could find.
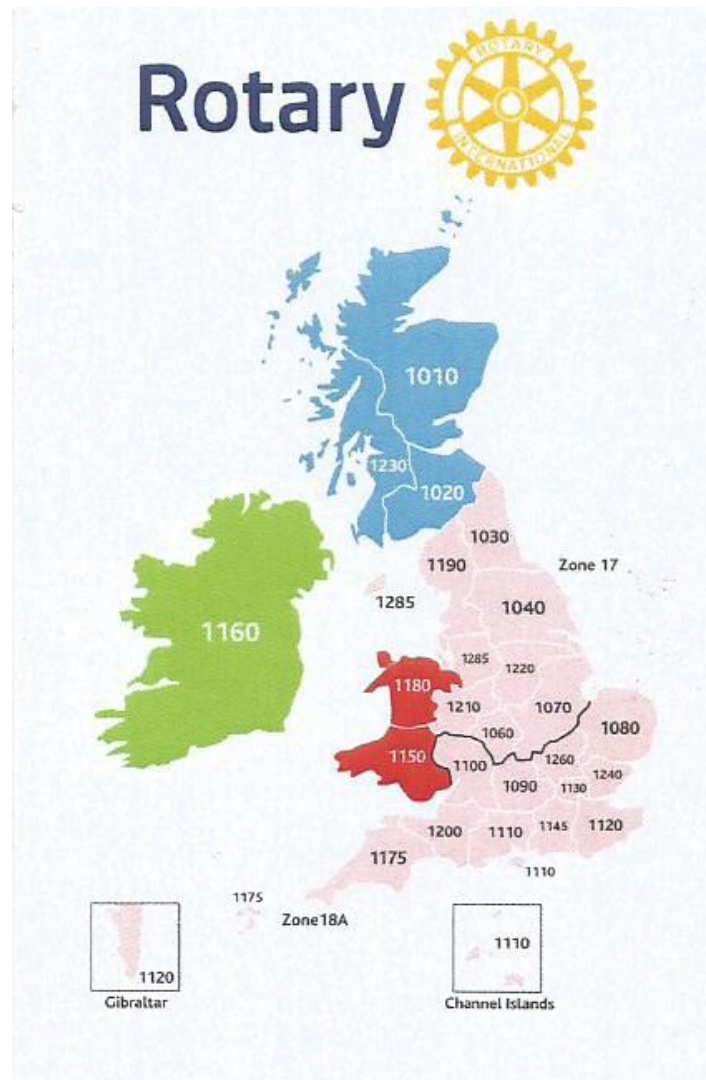
Figure 1. Rotary districts within the United Kingdom, obtained from Rotary in Great Britain and Ireland.

There were ethical considerations as I know many of the Rotarians I interviewed. I selected these Rotarians due to their deep knowledge of international aid projects, yet their familiarity to me was an issue I addressed through triangulation, member checking, and peer review (supported by forms listed in Appendix D and Appendix E). I also prepared health precautions as most of these Rotarians were over the age of 65, although

they remained very active in their retirements. These ethical concerns were clearly

identified as I worked to maintain objectivity.

Research Questions

The central research question was the following: How might INGOs such as

Rotary more efficiently address the institutional gap in global governance, particularly

with respect to managing wicked problems?

Subquestion 1: Why do INGO members such as Rotarians contribute to the

provision of public goods and services at the global level?

Subquestion 2: How do members at the local level view their contribution to the

provision of public goods and services at the global level?

Subquestion 3: How do Rotarians perceive their efforts with respect to addressing

the institutional gap in global governance?

Subquestion 4: How might the polarities of democracy framework assist INGOs

in addressing the wicked problems associated with global governance?

Theoretical Framework

The theoretical framework for my study was globalization theory (see Held &

McGrew, 2014); however, because theories surrounding the phenomenon of globalization

cover a broad topic area, I focused more specifically on bottom-up (see Samli, 2009) and

polycentric (see Stephenson & Schnitzer, 2009) theoretical approaches to explain how

INGOs are addressing the institutional gap of global governance. The general theories

dealing with the phenomenon of globalization and specific bottom-up and polycentric

theories helped me characterize and explain how INGOs fit within the concept of global

governance. More specifically, the primary theory I based my study on was the polarities

of democracy framework developed by Benet (2006, 2012, 2013). The polarities of

democracy theory promoted positive social change through the understanding of how to

leverage positive democratic outcomes via a careful management of conditions along five

opposed polarity pairs: freedom and authority, justice and due process, diversity and

equality, participation and representation, and human rights and communal obligations

(Benet, 2006, 2012, 2013). I used this theoretical framework to help understand and

analyze the data I collected from interviews with key informants.

Nature of the Study

The nature of my research was qualitative. I used an exploratory design by

employing naturalistic inquiry within a case study approach and practiced selective and

purposive sampling to identify interview participants (see Creswell, 2009, 2013; Patton,

2002). My data were gathered from interviews with INGO members, in this case

Rotarians from my local Rotary district in the United Kingdom. I had intended to

supplement my analysis with secondary data and publicly available government

databases; however, this proved to be unproductive (see Chapter 4). I used qualitative

data analysis software to assist in identification of prominent themes.

Definitions

Some key terms I used in this study are *conceptual framework*, *global

governance*, *international nongovernmental organization* (also referred to as INGO),

globalization, *polarity management* (also referred to as PM), *polarities of democracy*

(also referred to as POD), and *wicked problems*. These terms were used throughout the study and formed critical aspects of the research. These terms are defined as follows:

Conceptual framework: The fundamental idea that provides the organizing structure for the study. Conceptual framework is defined by Creswell (2009) as a structure of principles, rules, and assumptions that hold together the ideas forming the primary phenomenon of the research.

Global governance: The concept of global governance is defined by many scholars simply as governance at the global level without necessarily having formal government in place (Sinclair, 2013; Weiss, 2013). This definition is simplistic and a more comprehensive one is provided by Willetts (2011) as follows: "global governance consists of policymaking and policy implementation in global political systems, through the collaboration of governments with actors from civil society and the private sector" (p. 148). This more specific definition is important, as it links global governance with civil society, which includes INGOs.

Globalization: Globalization is understood to be a prime driver of the need for effective global governance. The rapid changes taking place globally, ascribed at least in part to the phenomenon known as globalization, have placed stress on nation states and more traditional governance structures (Sinclair, 2013; Weiss, 2013). The broad nature of the globalization phenomenon makes a concise definition difficult with scholars pointing to various aspects of the phenomenon such as culture, economics, and technical development (Baghwati, 2007; Berger & Huntingdon, 2002; Held & McGrew, 2014). All aspects of globalization are considered in this study and a more general definition is

therefore appropriate. Hence, globalization is defined as increased global interaction across cultural, economic, and technical areas of emphasis, but not excluding other areas of interaction (Held & McGrew, 2014).

INGOs: These international civil society organizations are difficult to define due to the many forms they take and the fact that there are now nearly 10,000 recognized officially (Weiss, 2013). Willetts (2011) narrowed the definition by pointing out the UN was the first to coin the term nongovernmental organization and is also the international governmental organization that determines which NGO or INGO is accepted under this term through formal applications to the UN's Economic and Social Council (ECOSOC). Regardless of whether an organization is accepted by the UN to have NGO or INGO consultative status through the ECOSOC, there is a consensus among scholars that INGOs are nonprofit, civil society organizations with goals shaping societal norms and providing goods or services across national borders with efficiency and effectiveness normally prized above political rationale (Sinclair, 2013; Weiss, 2013; Weiss & Wilkinson, 2014; Willetts, 2011).

PM: This concept is a system developed by Johnson (2014) to manage complex problems using issue polarities and clear management strategies. Johnson developed the conceptual framework to identify unsolvable polarities where sets of opposites depend on each other to function yet remain in conflict and must be carefully managed. Johnson developed polarity maps with the opposing polarities drawn on opposite sides with both positive and negative quadrants on each side of the polarity. Johnson specified the goal in these situations is to try to keep the tension between the polarities in the positive

quadrants as often as possible to avoid repeating a negative loop and expending energy

and resources when the polarity is out of balance and one side or the other has too much

influence. This concept will be described more fully in the later parts of this paper.

POD: This concept was developed by Benet (2006, 2012, 2013) to refine the PM

strategy with respect to difficult challenges specific to democratic governance in both the

workplace and the larger world. POD is constructed with five polarity pairs based on

democratic theory to assist with the management of complex governance issues.

Wicked problems: Wicked problems are complex problems requiring open-ended

solutions and multidiscipline expertise to manage (Brown et al., 2010). Rittel and Webber

(as cited in Brown et al., 2010) defined wicked problems as "complex issues that defy

complete definition, for which there can be no final solution, since any resolution

generates further issues, and where solutions are not true or false or good or bad, but the

best that can be done at the time" (p. 4).

Assumptions

My primary assumption was the validity of the assessment of many scholars of

the growing importance of global governance as a strategy for addressing the complex

challenges presented by globalization and an ever more interconnected planet (Haas,

2014; Hale et al., 2013; Sinclair, 2013; Weiss, 2013; Zurn, 2018). If further study reveals

better ways to address wicked problems (Brown et al., 2010) than improved global

governance, this research on perceptions of global governance will be less worthwhile.

Nevertheless, this assumption helped to focus the research to provide a deeper

understanding of why global governance appears to be of growing importance to social scientists and policy analysts concerned with how to best influence future events.

Another assumption in this study was that an established INGO such as Rotary would provide a critical case through which to study the concept of global governance. Rotary is over 100 years old, is one of the initial INGOs formally recognized by the UN, and is spread across many cultures and nations. However, these criteria did not ensure that Rotary would provide meaningful data for a qualitative study. I assumed that given the broad reach of Rotary across nearly all countries and through dedicated international projects and initiatives, Rotary would provide a critical case to gain insights into how and why INGOs provide an impact on the concept of global governance (RI, 2014).

Larger philosophical assumptions related to qualitative methodology, such as recognizing multiple realities, getting close to those experiencing those realities, highlighting the researcher's values within the study, and using inductive (bottom-up) reasoning (Creswell, 2013). The study topic aligned with the ontological assumption of more than one possible reality depending on the viewpoint taken by the people involved with global governance. As a Rotarian, I was close to the participants and acted as an observer-participant. I was clear about my values as I collected interview data and guarded against bias. Finally, inductive reasoning was crucial to identifying themes for the larger context of INGOs based on a limited sample of Rotarians and data from my Rotary district in the United Kingdom.

Scope and Delimitations

The concept of global governance presented a very broad topic area requiring a strategy of delimitation to scope the study to a manageable size for one researcher with a limited budget. I established a manageable scope by concentrating on one INGO out of the thousands possible and by establishing a boundary of the subunits of Rotary International of Great Britain and Ireland (RIBI) and only one rotary district (District 1070 of east central England) within RIBI. District 1070 comprises nearly 100 rotary clubs (RIBI, 2014). I concentrated the qualitative exploration on the District 1070 international project facilitators who lead and take part in hundreds of international efforts aimed at supporting Rotary goals throughout the world. The current district international committee has 10 or more seasoned project leaders who have years of experience with international projects of many shapes and sizes in various nations. These experts formed the core group I interviewed. This approach represented what could be a highly transferable method to explore other INGOs across the planet due to the simplicity of research design and open nature of the investigation.

Limitations

A limitation of serious impact was the fact that I am a Rotarian and a member of the District 1070 International Committee. I have acted as both secretary to the committee and committee chair during my tenure. This proximity to the group I interviewed presented the concern of bias on my part. The advantage was that I had familiarity with the workings of the organization and had deep exposure to this critical case through professional experience and unimpeded access.

I mitigated personal bias by acknowledging that I was a relatively new Rotarian who joined 8 years ago, with even less time working on the international committee. I also used an open and easily repeatable protocol to temper my interviews and to achieve a form of triangulation. Because my goal in this study was exploration, I was not concerned with misrepresentation of what I observed. I simply wanted to present a current view of how and why INGOs may influence or be influenced by the concept of global governance. I member checked the interview transcripts with those interviewed to be certain they were satisfied that I had not misrepresented their views.

A larger limitation of my study concerned the size and scope of the phenomenon of global governance. The attempt to explore and understand a global phenomenon with limited resources and only myself as the researcher was challenging yet unavoidable. This aspect of the research was out of my control and presented uncertainty as to how important my findings would be. The fast-changing nature of the phenomenon considering the pressures of globalization and wicked problems supported the research despite the size and scope limitation. The phenomenon is not static and requires more, not less, research to design better governance policy and promote positive social change.

Significance

The goal of this study was to better understand how and why INGOs influence or are influenced by the concept of global governance. Scholars have documented the growing influence of INGOs on world events and decisions of governance, yet there was uncertainty as to how this influence develops (Dany, 2013; Sinclair, 2013; Weiss, 2013; Zurn, 2018). There was also concern for the lack of institutions to address the new

challenges of a global community; INGOs are one potential solution to this institutional

gap to address these shortfalls (Haas, 2014; Hale et al., 2013; Sinclair, 2013; Weiss,

2013). The findings from this study may provide insights into this complex policy debate

and reinforce or question existing knowledge and theory.

Rotary's Foundation charity was recently rated as one of the top charities at the

global level with respect to transparency and positive social change outcomes (RI, 2014),

yet Rotary membership in Western nations is declining and the future of global civic

organizations is not certain. When the world seems to need more provision of goods and

services from outside of nation states, the ability of INGOs such as Rotary could be in

decline. There are also many restrictions being placed on INGOs from more insular

nation states such as Russia and China. A better understanding of how INGOs are

addressing gaps in global governance may provide insights as to how best to support

these providers of relief when nations either cannot do so or are unwilling to do so. This

study may shed light on how to address the needs of millions without a nation to support

them and a global order unprepared to come to their rescue.

<div align="center">**Summary**</div>

This study provided a qualitative, explorative analysis of the phenomenon of

global governance within the context of globalization and other related theory. Rotary

formed the critical case for this study and provided a rich pool of international project

experts for interviews. The theoretical framework of polarities management and polarities

of democracy was employed as a lens to understand how Rotary's international efforts

might influence the complex phenomenon of global governance by offering a model to

manage, not solve, intractable global challenges. Limitations of my membership in

Rotary were treated carefully to mitigate potential bias and accentuate the advantages

presented by deep access to the experts and inner workings of Rotary, a well-established

and respected INGO. The findings of this study may provide insight into how global

governance policy will develop and may provide a perspective on how to encourage

positive outcomes through polarities management and polarities of democracy

approaches. The next chapter is a review of the literature addressing the concept of global

governance and to what degree INGOs fill the institutional gap in global governance. The

phenomenon of globalization and potential theoretical framework are also explored in

detail.

Chapter 2: Literature Review

Global governance has emerged as a key political, economic, and social phenomenon in the past two decades, but scholars and practitioners remain unclear as to how to describe it. The phenomenon contains linkages to older areas of social science yet continues to emerge as a developing framework with over two decades of scholarly investigation and many researchers continuing to strive for refinement (Hofferberth, 2015). The new conceptual aspect of global governance refers to the varied definitions given to the term and the continued development of themes associated with it. The old linkages tie back to international relations, political science, and other related fields of study where investigations of how humans govern have been of scholarly interest and where further cross-disciplinary study continues to be advocated (Pegram & Acuto, 2015). Knowledge gaps exist in the literature as to how global governance is developing and whether it is becoming a more influential phenomenon with respect to solving humanity's most difficult challenges (Sinclair, 2013; Weiss, 2013). The literature indicated that global governance is becoming more influential and that further inquiry is needed (Sinclair, 2013; Weiss, 2013).

Research Problem and Purpose

Whether the required governance is in place to address the transnational challenges facing humankind is in question, or we may simply be reacting to global opportunities and threats without much of a plan in place. Issues such as climate change, mass migration, transnational terrorism, food scarcity, global trade imbalance, and rapid technological advances exist without adequate forms of governance at the global level

(Grugel & Piper, 2011; Masciulli, 2011; Sinclair, 2013). These challenges facing

humanity, driven in part by the forces of globalization (Osterhammel & Petersson, 2003),

provided the backdrop for this qualitative study designed to explore global governance.

Global governance scholars and my review of the literature indicated a gap in knowledge

with respect to global cooperation and institutions designed to address this cooperation

(Hale et al., 2013). This gap is specifically related to the future of global governance and

how traditional nation states share power (voluntarily and involuntarily) with both

international governmental organizations (IGOs) such as the UN or International

Monetary Fund and those outside of official governmental control called

nongovernmental organizations (NGOs). The growing influence of NGOs in global

governance (Karns & Mingst, 2010; Weiss, 2013; Willets, 2011) represented the core

concept I explored. I also investigated the role of international NGOs (INGOs) in global

governance and how they are likely to influence its future direction

Literature Synopsis

The body of scholarly literature surrounding the concept of global governance is

substantial and required a top-down approach to select the scholarly works aligned with

my topic area. I began with generalists (Sinclair, 2013; Weiss, 2013) and narrowed the

search to more focused research (Dany, 2013; Karns & Mingst, 2010; Willetts 2011)

when reviewing the knowledge base of the phenomenon. Because the concept of global

governance is relatively new (about 20 years old), there was good case to conduct a

purposive sample of the existing literature with more attention payed to the last eight

years (2010 to 2018). I further delimited this review by focusing on political science and

international relations journals to obtain the most current insights on how global

governance is developing with respect to traditional views of governance. I discovered

several concepts related to global governance with globalization (Berger & Huntington,

2002; Held & McGrew, 2014; Osterhammel & Petersson; 2003; Robinson, 2008) being

the most prominent and democratization concepts of polycentricism (Ruggie, 2014;

Stephenson & Schnitzer 2009) and bottom-up governance (Kuyper, 2013; Samli, 2009)

also providing areas of concentration for further exploration.

  The reactionary phenomenon of isolationism and containment policy represents

an important side note of movements contrary to globalization and closer integration

through global governance. Rodrick (2011) and Grygiel (2016) argued against global

governance having much impact and indicated that nation states will continue to react

negatively to outside forces working to dictate their internal actions. The recent vote held

in the United Kingdom to reverse over 40 years of membership in the European Union is

an example of this type of reaction to shared governance outside of the traditional nation-

state model. Increased populism and antiimmigration movements in Europe and the

United States pose additional challenges to a liberal world order investing more heavily

in global governance. The demand for more institutions to address global

challenges/wicked problems has not been met by nation states with the emergence of

populism and an isolationist tendency. This institutional gap leaves an opening for

INGOs and other civil society actors to address.

  This discussion of the global governance institutional gap proved interesting to

me personally as a Rotarian and member of Rotary International. Rotary is one of the

oldest INGOs and was founded before the UN. Rotary is no longer one among few as more INGOs are forming every year to serve a multitude of interests. The demand on institutions responsible for the provision of global goods and services was chosen to focus on the institutional gap mentioned in more recent scholarly works (see Sinclair, 2013; Weiss, 2013). The INGO role in global governance was also discovered to be a major area of investigation due to the rapid increase in the numbers of INGOs and their growing role in filling this institutional gap (Dany, 2013; Karns & Mingst, 2010; Willetts 2011). These areas of focus indicated a knowledge gap with respect to how INGOs will influence global governance as it develops into the future. Rotary provided a specific case with global reach and wide influence in many communities.

Chapter Preview

Global governance is reviewed in this chapter with a focus on theoretical foundations and the current state of research on the topic. Political science and international relations provided a deep body of scholarly work on early explorations of governance at the global level; however, the specific study of what is now called global governance took shape in the past 20 years (Weiss, 2013). The bulk of literature reviewed fell into this more recent time frame. Polarities of democracy (Benet, 2006, 2012, 2013) is a theory of how to manage challenges to democracy (based on the polarity management [Johnson, 2014] theory of complex problem management) and is reviewed as the theoretical framework to address global governance challenges. This chapter contains the search strategy, literature synopsis, key concepts, theoretical framework,

literature synthesis, and a summary to set the stage for Chapter 3 and the planned method of research.

Literature Search Strategy

The Walden University library was the primary source for the literature review with the more basic search terms of global governance used to start the investigation. SAGE databases (SAGE Premier and Political Science Complete) were employed as the priority search engines (mostly political science related); however, more general search engine such as Google Scholar and the Internet were also used. *Global governance*, *international governmental organizations* (IGO), *non-governmental organizations* (NGO), and *Rotary International* (RI) were my key search terms. I found thousands of articles and a scholarly journal devoted to the concept of global governance; therefore, this wider search was used only at the beginning of the process. The NGO term served to reduce the number of articles to the hundreds, and the more refined search for RI reduced the number of articles to the tens.

Hundreds of global governance texts have been published since the concept (Sinclair, 2013; Weiss, 2013; Zurn, 2018) gained mainstream attention in scholarly discourse in the last 20 years; however, the last 7 years formed the primary focus of the literature review with respect to full texts and detailed scholarly publications. I reviewed the prominent scholars on global governance, including Karns and Mingst (2010), Willetts (2011), Weiss (2013), Sinclair (2013), and Zurn (2018). These scholars provided focus for the broad Internet literature investigation and the theoretical framework review addressing the areas of globalization, reactions to globalization (containment,

isolationism), realism, polycentrism, bottom-up theory, constructivism, pluralism, and the more tailored theories of polarities management (Johnson, 2014) and polarities of democracy (Benet, 2006, 2012, 2013).

Theoretical Framework

The theoretical framework for my study was the polarities of democracy (Benet, 2006, 2012, 2013) as a means of framing the complex problems associated with global governance. Polarities of democracy theory is nested within the larger phenomenon of globalization (Held & McGrew, 2014) as a foundation (tempered with containment and isolationist reactionary phenomenon) and the increasingly complex challenges faced across the planet. Because globalization is very broad, I focused on bottom-up (Samli, 2009), polycentric (Ruggie, 2014; Stephenson & Schnitzer, 2009), constructive pluralism (Willett, 2011), and policy feedback (Sabatier & Wieble, 1914) theoretical approaches to explain how NGOs and INGOs relate to the institutional gap of global governance.

Polarities of Democracy and the Development of Polarity Pairings

The general globalization theory and bottom-up and polycentric concepts helped me characterize and explain how INGOs fit within global governance; however, the primary theory I based my study on is the polarities of democracy (POD) developed by Benet (2006, 2012, 2013). POD addresses the challenges of democratic governance through the understanding of how to achieve positive democratic outcomes via a careful management of conditions along five opposed polarity pairs: freedom and authority, justice and due process, diversity and equality, participation and representation, and human rights and communal obligations (Benet, 2006, 2012, 2013). I used this theoretical

framework to analyze the data collected through interviews of key informants. I begin the

review by discussing the origins of POD: polarity management (Benet, 2006, 2012, 2013;

Johnson, 2014).

Managerial Grid and Polarity Management: The Basis for POD

Benet (2006, 2012, 2013) credited the concepts of the managerial grid (Blake &

Mouton, 1964) and polarity management (PM) developed in the 1970s by Johnson (2014)

as the basis for POD. Before Johnson's PM, Blake and Mouton (1964) advocated a

method of management based on a grid system that helped focus management of

complex work environments on a positive outcome. Benet (2006, 2012, 2013) connected

this with the PM developed by Johnson to build the concept that eventually evolved into

POD.

Just as Blake and Mouton dealt with complex managerial situations with their grid

model, Johnson claimed many of the most complex challenges exist in a polar

relationship between two competing poles. These poles might represent values such as

team versus individual (as a management challenge), or in the case of global governance,

this type of relationship could exist between nation-states and transnational organizations

(Sinclair, 2013; Weiss, 2013). The PM theory is flexible as to what two opposing poles

are chosen, however the framework is rigid with respect to the use of a polarity map

representing both positive and negative outcomes of both poles in four quadrants

(Johnson, 2014). PM does represent a mutually exclusive system where it is ideal to keep

as many of the outcomes in the two positive quadrants of the polar pairing and out of the

negative quadrants, although the more we push toward one extreme of either of the

positive poles, the more likely we are to fall back into one of the negative quadrants. This theory helps me to understand why we may be experiencing swings between positive global governance outcomes and reactionary forces, such as containment policies and isolationism. PM theory holds that leveraging between the positive and negative outcomes of both poles will result in the best outcome for managing, not solving, a complex problem.

Benet derives the POD polarity pairings based on the PM concept of leveraging between negative and positive poles with respect to critical pairings in workplace democracy and democracy in general (Benet, 2006, 2012, 2013). Benet (2006) based his pairings on ten key civic values highlighted by Butts (1980) in his work on the revival of civic learning (the Butts work was out of circulation and reprinted in 2016 by Benet, with permission). Out of the five pairings developed by Benet (see Figure 2 below), the pairing of human rights and communal obligations fits well with the case of INGOs working to address humanitarian needs on a global scale, and in turn, contributing to the changing phenomenon of global governance (Sinclair, 2013; Weiss, 2013; Willets, 2011). How this pairing (and possibly a blending with the other pairings) is influenced by the actions of INGOs is what I plan to investigate through the case of Rotary projects in my Rotary district and the interviews of key Rotarians involved in managing a subset of these international humanitarian projects.

The Polarities of Democracy Model

Freedom	⬅➡	Authority
Justice	⬅➡	Due Process
Diversity	⬅➡	Equality
Human Rights	⬅➡	Communal Obligations
Participation	⬅➡	Representation
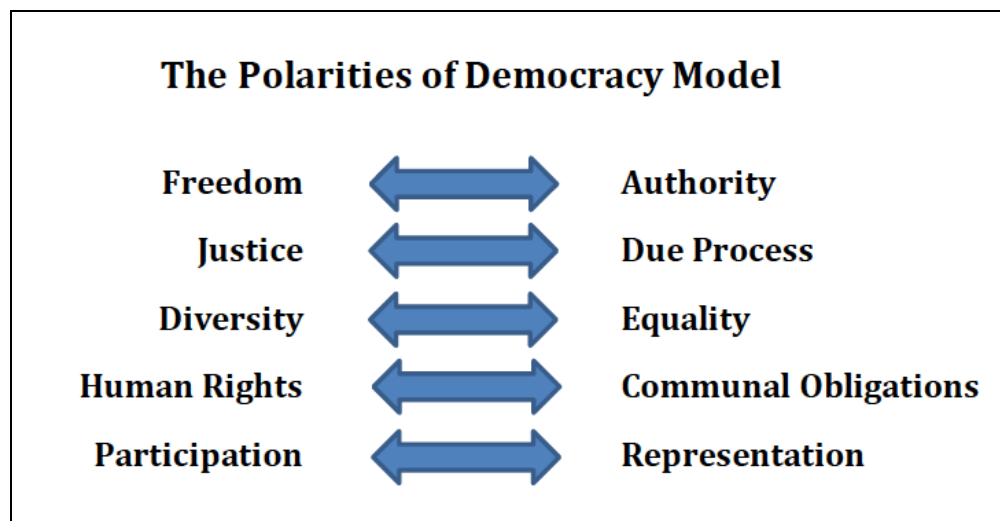
Figure 2: POD pairings.

I expect to follow in the path of other recent scholars to have used the POD theoretical framework in their own work, such as Ezeocha (2016) who investigated social change in the Niger Delta, George (2016) who reflected on enforcement of alcohol regulations through collaborative leadership in South Carolina, and more recently, Griffith (2017) who studied the social dilemma of chronic homelessness. These topics range significantly from geographic region to type of social challenge, yet the POD framework was applied to all three studies to address what Benet (2006, 2012, 2013) highlights as the three greatest challenges to human survival: environmental destruction, conflict and violence, and economic deprivation. The wicked problems I address in this chapter match well with these challenges highlighted by Benet and give me confidence the POD framework holds potential for positive social change in global governance. Therefore, PM (as theoretical concept) and POD (as theoretical framework) provide a viable theoretical lens for this exploratory research when the literature of PM and POD are closely examined.

Literature Synthesis

Research in global governance is found to be both qualitative and quantitative at this point with a concentration on the United Nations through survey and statistical analysis of existing institutions of global governance. There is a push for more interdisciplinary study and a focus on revealing and establishing the norms associated with global governance (Dingwerth & Pattberg, 2006; Hofferberth, 2015; Pegram & Acuto, 2015). Most encouraging of all is the grounded theory research being accomplished to establish global governance typology and ontology (Stout & Love, 2015). The research on how the rapidly growing numbers of INGOs fit within the concept of global governance remains an area requiring more effort by the community (Sinclair, 2013; Weiss, 2013, Zurn, 2018), although there is a growing body of scholarly work and more emphasis being placed on this topic by nation states, IGOs, universities, and INGOs themselves. One recent work by Dany (2013) investigated the roles that INGOs play in global governance by focusing on policy outcomes at the UN. This and other recent scholarly works dealing more specifically with how INGOs relate with global governance will be further outlined at the chapter's conclusion.

Key Concepts

Globalization and Reactionary Phenomenon

Current global challenges have developed over time and are tied to history in the sense we have addressed global issues before with both positive international cooperation and reactionary response. Globalization and subsequent reactionary movements counter to the phenomenon of globalization such as the recent BREXIT vote in the United

Kingdom are continuations of older struggles with transnational forces. Containment, also called containment policy, is such an example of reaction to a global challenge (at that time, it was the spread of communism and influence of the Soviet Union). Containment policy was devised by George Kennan, a prominent diplomat in the U.S. Foreign Service and presidential advisor during the Cold War period (Gaddis, 2005). Kennan dismissed a universalist approach (this approach is more in line with modern globalism) and advocated a realist approach to dealing with the direct threat posed by the Soviet Union to U.S. national interests (Mayers, 1988). Gaddis (2005) described Kennan's theory of containment as avoiding a complex solution through institutions such as the United Nations and focusing on a nation-state approach to simply counter the spread of communism through a strict adherence to national interests. This theory refuted the earlier tendency toward isolationism but did not go as far as the universalist approach to trust international governance and multi-national institutions with the national security of the United States of America.

The containment policy called for indirect counters to Soviet power to maintain the United States' vital interests, but not to directly confront the other world super power, and eventually, to expect the Soviet Union to collapse from within. This Cold War example of a more simplistic reaction to a complex problem is highlighted to demonstrate the trend of nation states toward falling back on realism and power politics when confronted with complicated challenges such as those present today. I will advocate (as supported by many scholars) this type of simplistic, realist approach is not adequate to

address the much more complex, or wicked problems (Brown et al., 2010) that humanity

faces globally.

Another key phenomenon influencing global governance, globalization, is

somewhat counter to reactionary phenomenon like containment or isolationism and

resembles more of what Kennan called universalism. There is not one theorist directly

responsible for this grand theory, since it has developed from earlier transnational areas

of study. Per Meyer (2007) globalization deals with the established belief in a global

society with focus placed on global economic exchange and cultural/institutional

awareness across boundaries of the traditional nation state. More specifically, Berger and

Huntington (2002) suggested the emergence of a global culture that is heavily influenced

by the United States and Western society but with both varied levels of acceptance and

resistance from other cultures throughout the world. Globalization is a broad, rapidly

evolving topic with strong influence over many more limited areas of social science.

Relationship Between Containment and Globalization

Containment describes a reaction to a global or international threat, whereas

globalization describes the global interaction of nations, cultures, organizations, even

individuals in a larger, global system, or even global culture and/or economy. Gaddis

(2005) discussed containment after the Cold War and stated that it "can serve as a guide

in periods, places and circumstances yet to come" (p. 380). If globalization is not

embraced, tensions can result. Berger (2002) wrote that "under certain political

conditions, it is clear, tensions between global and indigenous cultures can give rise to

what Huntington [co-editor] has called a 'clash of civilizations'" (p. 15). This clash or

resistance can result in direct response (such as Islamic extremism seen in the 911

terrorist attacks) or through more established forms of resistance, such as the exclusionist

policies practiced by the North Korean regime. Containment theory paints a picture of

how nations, movements, organizations, or even individuals respond in the face of

unwanted, threatening influences from outside.

Bottom-Up Development

Contrary to containment of isolationist reactions, social groups also respond to

outside pressures in a more positive manner. The concept and theory of bottom-up

development is discussed by scholars as a possible response to more traditional,

downward-directed development and the more imperial forms of globalization. Samli

(2009) argued the current top-down approach to global challenges is unsustainable and a

new form of social capitalism (such as programs like microfinance) are better suited to a

rapidly changing world economy. Castels (2008) supported this bottom-up approach

through a public sphere of discourse based less on power relationships. Mittleman (2002)

and later, Scholte (2012) also supported the idea of developing better collaborative

relationships between the rich, developed nations and those still developing through

increased linkages between the poor in both communities. Rotary indirectly advocates

this bottom-up approach through the decentralized model of local clubs supporting local

initiatives with support from the larger Rotary movement encompassing Rotary clubs in

nearly 200 nations and a membership of 1.2 million Rotarians (RI, 2014; RIBI, 2014).

The bottom-up approach is not always successful; however, it does represent a means to

influence and contribute into the larger arena of global governance from a grass roots

level. This approach is also a means to resist oppressive regimes or ineffective policies from higher levels of governance.

Polycentric and Regime Concepts

Linked somewhat to the bottom-up approach are polycentric and regime concepts. Polycentrism gained more prominence through research conducted by Ostrom and Ostrom (1965) through the lens of rational choice theory and helped us understand how individuals and greater society manage common resources (such as the environment or the global commons). This concept of polycentrism relates closely to the concept of regime complex as discussed by Kuyper (2013). Kuyper described the ways in which certain global challenges, such as protecting intellectual property in the age of the Internet, can be managed by concentrating on global issues in these critical regime complexes to further the entire concept of global governance. This polycentric approach (regime focus) might be described as addressing the most pressing global challenges first and using them as models to emulate in other areas of global complexity. Polycentric approaches focus effort on certain areas of promise and use them as examples for the larger community (Stephenson & Schnitzer, 2009). These concepts demonstrate a potential method of addressing our global challenges.

Importance of Foundational Theories to Global Governance

Scholars have focused on whether globalization is driving the world toward a globally accepted culture and/or economy, as in a form of a melting pot version of the global diaspora (to coin a new term), and if so, will actors (nations, organizations, movements and individuals) resist this mono-culture, shared-economy through methods

such as containment or insurgency? Berger and Huntington (2002), after extensive international research, presented the idea of a middle ground of sorts within globalization and indicated the emerging global culture was forming a middle position between acceptance and militant resistance, between global homogeneity and parochial isolation. The developing concept of global governance may relate to how nation states are responding to the forces of globalization in this sense of middle ground.

Despite organizations such as the United Nations, global governance remains less influential when compared to the governmental power of traditional nation states over their people: Is this power relationship changing in favor of global governance? In the case of the United States and other larger world powers, global governance is likely to remain less influential, yet how is this relationship developing with respect to less powerful nations and the network of INGOs working across traditional nation-state borders? These theoretically-based questions support a need for further qualitative, explorative research into the concept of global governance (Dingworth & Pattberg, 2006).

Framing the Discussion on Global Governance and INGOs

Globalization Literature as It Relates to Global Governance

I have already discussed the phenomenon of globalization; however, it is important to review the linkages between globalization and global governance as found in the literature. There are many scholarly works concerning globalization as a growing force in the world with influence on even the most far flung outpost of humanity with rapid developments in technology, communications, exchange of ideas and products. The

negative consequences of globalization are also to be considered, such as rapid spread of disease across borders and the danger of economic crisis on interconnected markets causing global recessions. Globalization and the reactions against it form a primary driver to the concept and practice of global governance.

Nation states once ruled supreme over the lives of those within their borders, yet the forces of globalization have made this supremacy less and less complete. Weiss (2013) summed this sentiment up by stating "the erosion of the once unquestioned principle of national sovereignty is rooted in the daily manifestation of global interdependence" (p. 11). Sinclair (2013), Masciulli (2011), and Weiss (2013) agree about this basic connection between globalization and global governance. The narrative tended to be positive overall with respect to how the effects of globalization can be managed through better forms of global governance, yet Rodrick (2011) claimed the traditional nation states will remain the best actors for addressing the complications presented by globalization. Rodrick tended to focus more on economic factors; but he is not the only scholar with a less optimistic outlook on global governance and the hope presented by others. Grygiel (2016) also pointed to a resurgence of nation states and specifically points out the example of the European Union as a region where the nation state will work better than a regional body with respect to security and economic matters. Whatever the predicted fortunes are of global governance as it evolves to address the challenges of globalization, I found the literature on globalization informative and deep yet still undeveloped and forming.

The rapidly changing nature of the phenomenon has resulted in literature dedicated to what is even being called globalization theory (Held & McGrew, 2007). Globalization remains a wide topic area with emerging concepts and theoretical discussion from a wide range of scholars across the disciplines of social science, economics and with linkages to medical, environmental, and information technology among the areas touched by globalization research. I am most interested in how globalization is linked with the development of the concept of global governance. Globalization as a driver for international cooperation and the provision of needs and services to a global community provides the foundation to global policy and helps us to understand the context within which global governance functions.

There appeared to be times in history when human interactions across communities and even continents flourished, such as during the Roman Empire, Silk Road, European colonization and most particularly the sprawling British Empire (Osterhammel & Petersson, 2003). These times of increased human interaction where also tempered with reactionary times, such as the collapse of the Roman Empire, and more recently the policies of isolationism and containment with respect to the Cold War. The spread of American values and ideals is referred to as a more recent wave of globalization influence along with other competing regional, or cultural globalizations (Berger & Huntingdon, 2002). This balancing through time of more and less globalization is discussed in detail by Held and McGrew (2007) with some scholars such as Grygiel (2016) and Rodrick (2011) pointing to the more recent moves by nations to tighten their borders and back away from global trade deals as a sign that globalization is

losing influence. Despite these fluctuations, the movement toward more global

interconnectedness and increased severity of global environmental challenges continues

unabated.

This trend of globalization in the form of rapid global development, increased

technological integration, and a more interdependent global economy drove the

requirement for improved ways to manage human interactions and maintain a more

positive outlook for issues such as global security and human rights. The alternative is a

regressive state of what Hale, Held, and Young (2014) called *gridlock* and a failure of

global cooperation. This threat of continued gridlock and the complexity of globalization

made this management of global interactions (or global governance) what some would

call a wicked problem (Brown, Harris, & Russel, 2010), which may require concepts

such as polarity management (Johnson, 2014) and polarities of democracy (Benet, 2006,

2012, 2013) to help mankind develop an approach for managing the problem, if not

solving it.

Global Governance Literature in General

The topic discussed by many scholars is the current state of global governance

and what the future holds. The summary response to this topic based on my review of the

literature is that global governance remained a developmental concept outside of the

limited instances where formal institutions exist, such as the United Nations and

restricted IGOs. The future is cloudy for global governance and prospects remain

uncertain. As I have already mentioned, the general conclusion from most scholars

(George, 2007; Goldin, 2013; Kissinger, 2014; Sinclair, 2013; Weiss, 2013) is that global

governance displayed a growing need for more international cooperation amidst a host of global challenges that cross nation-state borders more profusely and more often. More specifically, Haas (2014) described an unraveling of the post-Cold War order and a weakened United States, as prime drivers of the need for more global governance, not less; he pointed out specifically that "the rise of populism amid economic stagnation and increasing inequality makes improving global governance even more challenging" (p. 71). The vote for the United Kingdom to leave the European Union as well as the election of Trump in the United States on an openly protectionist campaign platform indicated these forces against global integration emerging forcefully in both the European Union and United States.

There is reason for hope in the view of many scholars with respect to trends toward more integration across borders in certain areas or regimes, such as information technology, international trade, climate change, and global human rights. These drivers, mostly caused by reaction to world wars and globalization, have already spawned what Held (2009) and others refer to as the cosmopolitan movement. Cosmopolitanism is defined by reforming existing world order and institutions to meet the demands and challenges faced by a global community without limiting the actors to nation-states, or elites (Sinclair, 2013). The cosmopolitan theorists hold a different view to more traditional international relations schools of thought, such as realism, as well as a more change-driven view when compared to institutionalism or transnationalism which both focus more on existing structures (Sinclair, 2013). Cosmopolitan theory also fits well with social constructivist thought (Karns & Mingst, 2010) which holds the behavior of

individuals, states and other actors reflects shared beliefs, socially constructed rules and cultural practices forming norms and values (p. 50). Those subscribing to cosmopolitan and constructivist viewpoints considered global governance in this more positive light and embraced the changing world as a prime factor in why we need to adapt and upgrade our current governance model to better cope with the global challenges and demands.

The definition of global governance was discussed in many of the scholarly works (Goldin, 2013; Sinclair, 2013; Weiss, 2013; Zurn, 2018) I reviewed without a firmly accepted definition yet agreed upon among scholars. There is consensus that global governance provides a conceptual framework to help explain the ways and means by which people are working to provide governance at the global level of human interaction without there necessarily being a formal government in place. Dingwerth and Pattberg (2006) highlighted four ways in which global governance differs from traditional international relations concepts as follows: (a) by accepting more stakeholders outside of the nation-state, such as INGOs; (b) allowing for multilevel analysis of governance interplay between local, regional, and global political networks, all deeply interconnected; (c) understanding there is no simplistic formula to organize the interplay between the various forms of government at work on the planet; and, (d) finally, the acceptance of other forms of authority driving global political outcomes (p. 191). Global governance is seen by some as the means to balance the forces of globalization and gain positive control in a challenging global situation. These differences between the concept of global governance and the tenets of traditional international relations continue to drive

debate as to how important the nation state is and if it will remain the primary stakeholder in global affairs as we face globalization and hyper interconnectedness (Goldin, 2013).

I found a variation among scholars where such as Sinclair (2013) and Weiss (2013) supported the idea that global governance needs further study, while Hale, Held, and Young (2013) advocated for more cosmopolitan, constructivist approaches to help build better governance structures and institutions for the global community. Still others are working to define the key concepts of global governance in more detail and to work toward an intermediate group of theories to help bridge the current gap between the concept or phenomenon of global governance and a more complete high-level theory (Pegram & Acuto, 2015; Hofferberth, 2015; Zurn, 2018). There are scholars who argue against the cosmopolitan and institutionalist view of more global governance being inevitable and the power of the nation state being diminished (Grygiel, 2016; Rodick, 2011). These devil's advocates' disregard most of the emphasis being placed on global governance as an important factor in the determination of international relations and reinforce more traditional views of the nation state being the critical power center in global relations. Yet these voices appear to be in the minority of the scholarly debate. Cross-discipline, detailed investigation of non-government actors is encouraged, and I will cover this more focused area of INGO interactions within global governance in the next section.

INGO Literature as It Relates to Global Governance

INGOs have existed through history as groups not directly associated with formal governments that pursue certain goals; however, specific criteria have emerged in the

past half century to describe these groups. Willets (2011) agreed that they are not easily defined yet describes INGOs as organized groups not directly representing governments, not being involved in criminal activities, and not being driven by the profit-making motive (p. 31). Further to this, INGOs are simply the international version of NGOs, or NGOs that represent an issue across national borders and outside of the influence of one nation state. The distinction of INGOs being free of direct government control, as well as criminal and profit motives, is a key factor in separating these civil society groups from other organizations. This distinction is not always easy to determine in cases where a government, criminal organization, or even a corporation exercise primary control over an INGO without declaring these links in a transparent manner. If an INGO is seen to be acting directly for a government, criminal organization (such as a terrorist group), or corporation (such as tobacco producing firms), it will lose credibility and very probably even its status as a legitimate INGO. Therefore, INGOs represent a broad group of organizations, yet they are discernable from other actors in world affairs. The growing number of INGOs over the past 50 years from less than 2000 to nearly 25000 (Weiss, 2013) represented a key factor in the increased interest scholars now place on these organization and their influence on global affairs and policy.

The extent and degree of influence now imparted by INGOs on global policy debate, formulation, and implementation is currently under scholarly review with research being conducted. A group of scholars (Dany, 2013; Sinclair, 2013; Weiss, 2013) linked INGOs with increased civil society involvement in global policy debate, creation, and implementation. INGOs are also credited for their expert input on policy outcomes

and whether global policy is meeting the needs of the intended recipients (policy evaluation). Dany (2013) discussed how some INGOs work to influence global policy through external means, such as protest and obstruction. Green Peace is one example of protest and obstruction when it interferes with whaling vessels. However, Dany (2013) conducted her research on an existing global policy-making forum where INGOs influence policy from within existing international institutions, such as the United Nations. This focus on structural influence deals with the institutional and policy gaps in global governance as highlighted by Weiss (2014) and Sinclair (2013) where INGOs are filling a gap that governments are either not able, or not prepared to fill. Dany's findings pointed to existing structures within global policy-making organizations that limit INGO influence, despite some consensus and general opinion that INGO participation results in more influence. Dany (2013), Weiss (2013), and Zurn (2018) identified a need for more research to explore the institutional and policy gaps in global governance and to investigate how INGOs are working to achieve their goals with or without institutions and policy in place. This institutional gap with relation to global human rights and humanitarian support is the focus area I plan to explore with a case study of Rotary in general and my own Rotary district in England.

INGOs and the Institutional Gap: The Case of RI and Humanitarian Support

There is ample debate on how INGOs drive or simply influence global governance. Scholars such as Scholte (2012), Weiss and Thakur (2010) point out that this general influence has rapidly grown since the 1990's as more civil society influence has emanated outside of nation-states and across international borders. INGOs are considered

part of civil society and form a more organized sub-group addressing the global

governance institutional gap, as described earlier by Weiss (2013), Sinclair (2013) and

Willetts (2011). There are opportunities to study this relationship between INGOs, civil

society, and global governance with case studies such as United Nations World Summit

on the Information Society (WSIS) where Dany (2013) provided some findings on INGO

influence on structural power in global governance. Another study was conducted by

Sparks (2010), where the World Health Organization's Framework Convention on

Tobacco Control (FCTC) was selected as a case to investigate INGO influence as a gap

filler to assist with implementation, monitoring and other important functions for this

first-ever global public health treaty. As I have noted in other global governance studies,

the researchers found that INGOs did contribute effectively to the positive outcomes for

this global health treaty and recommended further exploratory research into INGO

influence and interplay with the phenomenon of global governance.

INGO and Civil Society Influence on the Institutional Gap

INGOs are flexible and perform many functions within governance structures as

well as forming coalitions of willing stakeholders to address gaps when these structures

do not exist (Willetts, 2011). Sparks' (2010) premise is that INGOs act to support global

policy mechanisms. He refined scholarly discourse of INGOs and global governance

through highlighting earlier scholarly claims by Genmill and Bamidele-Izu, (2002) that

NGOs perform more traditional policy roles through acting as information collectors,

analysts and disseminators, agenda setters, compliance monitors, advocates and delegated

local implementers, as well as by increasing their influence on international public policy

development in often new and creative ways (p. 69). How these INGOs influence global policy and outcomes remains difficult to predict with certainty, yet there is a sense among scholars such as Sparks (2010) and Dany (2013) of significant influence. INGO impact can possibly be attributed to the reaction by some nations, such as Russia and China, to ban some of these INGOs as dangerous outside actors with hidden agendas. Again, more study is advocated, and creative research encouraged to better understand this developing relationship between INGOs and global governance.

Some of this type of creative research into INGO relationships to global governance have taken place and are in work. This growing collection of research supports the premise of a much more complicated and intricate relationship between INGO and the workings of global policy and outcomes. Scholars such as Karns and Mingst (2010), Clark (2013), Contu and Girei (2013), Cooper and Pouliot (2015) and Crack (2013) all looked more deeply into this relationship and interplay with focus on INGO networks, federations, transparency, learning, and the dynamic nature of INGOs in conjunction with the phenomenon of global governance. Karns and Mingst (2010) discussed the notion of a global society and whether individuals now consider themselves more to be citizens of the world or are do they still consider themselves members of their nation only, or possibly a combination of both. These studies do not answer this question completely, yet instead present the important and sometimes competing levels of local, national, regional, and finally, global, when public policy is under consideration. Overall, the body of literature is growing, yet many gaps remain, particularly the knowledge gap concerning how and why, with specificity, INGOs are helping to fill the shortage of

global governance institutions. The primary research method I encountered in this review of INGO literature was qualitative with the extensive use of case studies.

The Case of Rotary to Explore Global Governance

As discussed in the prior section, a lot of study has been conducted with respect to existing IGO such as the UN (the Dany WSIS study), World Health Organization, and the International Monetary Fund, however, the area of study more focused on INGOs is less documented (Weiss, 2013). This is not surprising, since INGOs have not existed in such large numbers until more recently, and the influence they are having on global policy issues remains a work in progress. Since there is a lot of open ground to explore with respect to INGOs, a promising area to help narrow this scope is the often-cited institutional gap and struggle between existing structures (nation states) and developing structures (INGOs) with respect to global governance (Goldin, 2013; Sinclair, 2013; Weiss, 2013; Zurn, 2018). To narrow this even further, the humanitarian and global human rights area of global governance (some scholars, such as Kuyper (2013) refer to these areas as a regime) is yet another limitation of scope to help set aside a more assessable sample for study. Within the humanitarian and human rights area, or regime, many INGOs provide goods and services, which can arguably fill the global governance institutional gap (Sinclair, 2013; Weiss, 2013; Willetts, 2011). Rotary, however, holds a special place as the largest service organization in the world. This presents a critical case as both a long-standing and globally diverse INGO for exploratory study into the concept of global governance.

Conclusion

The simplistic definition of global governance is of governance at the global level without formal government. This is a general description used to satisfy the rapidly developing concept of global governance sometimes considered a floating signifier since it is used to cover such a large and diverse area of policy studies. I favor a more precise definition as provided by Willetts (2011) stating "global governance consists of policymaking and policy implementation in global political systems, through the collaboration of governments with actors from civil society and the private sector" (p. 148). This description is more inclusive and includes civil society and the private sector as separate entities with direct impact in global power transactions. The influence of private-sector multinational corporations and globalization is studied extensively through the discipline of economics, yet civil society and the increased influence of INGOs on global governance remains more conceptual. How and why these civil society agents are acting to fill institutional gaps in global governance is gaining in importance as the numbers of INGOs continue to increase. This knowledge gap has been addressed from a structural perspective in some areas such as global information society norms (Dany, 2014), yet more is needed. This area of research is where my qualitative study will concentrate. I will expand on the specific research plan in the next chapter and provide details on how exactly I plan to use the POD, based on PM (Benet, 2006, 2012, 2013; Johnson, 2014) as the lens for my exploratory research into the critical case of Rotary.

Summary

In summary, I have reviewed the concept of global governance as it fits within and is driven by the larger phenomenon of globalization. Although global governance institutions and practices have been in place for some time (consider the formation of the UN), the actual term of global governance has not been with us for more than 20 years or so and remains a rapidly developing area of study within many scholarly disciplines, to include public administration, political science, international relations, and economics. The imperative of global challenges, or wicked problems, has made the need for some form of global governance more pressing, despite recent trends toward populism and the rebuilding of national borders. Global governance is not the solution to all these challenges, yet global cooperation, and the growing influence of non-state actors, such as INGOs are expected to continue to address institutional gaps in the need for global goods and services. Global governance theory is lacking except in possible adaptations of polycentric, regime, or bottom-up theories, however, theoretical frameworks such as PM and POD present a possible lens through which to view this developing idea of global governance. To better understand this developing concept, the critical case of the INGO, Rotary, and more specifically, the international project experts found within my own Rotary district in England, were interviewed and data explored through a qualitative study to be outlined in detail in the next chapter.

Chapter 3: Research Method

The cross-border and planet-wide challenges, or wicked problems (ie., global warming, international terrorism, mass migration), facing humanity stress current forms of governance, and nation states and existing international governance frameworks are falling short in solving these complex issues (Brown et al., 2010; Held et al., 2013; Sinclair, 2013; Weiss, 2013). Global governance is understood to be a valid phenomenon by most scholars in the field of international relations and political science, but how and to what degree this phenomenon will develop in years to come is unclear. I explored this phenomenon by focusing on a limited yet important area of global governance expansion in which INGOs are doing more and more to provide the goods and services people need across the globe. INGOs are also working to influence government policy at the local, regional, and global level. A shortage in global institutions to address these challenges has resulted in what some scholars refer to as the institutional gap of global governance (Goldin, 2013; Sinclair, 2013; Weiss, 2013). Actors such as INGOs are addressing some of this need (Dany, 2013; Willetts, 2011). How and why INGOs work to fill this gap required further research as the global community continues to address cross-border challenges.

The purpose of this qualitative study was to explore and understand the institutional gap in global governance through the perceptions of members of an INGO, specifically Rotary and the Rotarians of District 1070 in the United Kingdom. Rotary represents a selective case, which is large enough to have true global reach in its international form (1.2 million members in nearly all nations), yet small enough in its

local club structure (30 members in an average club) to link closely to small communities with limited resources. The local to global and federated/consensual nature of Rotary (RI, 2014; RIBI, 2014) provided an informative exemplar of INGO interaction with the larger phenomenon of global governance. I chose the Rotary district encompassing my club to benefit from my familiarity with this administrative area, and I selected Rotarians with extensive international project experience to better understand the amount and type of interaction they have had with issues related to global governance. I also used the polarities of democracy framework to help understand how INGOs manage wicked problems they encounter as they carry out their mission.

Preview

This chapter includes the method of research for this study. I also provide the rationale behind choosing a qualitative, exploratory method with a selective case, and review the central concepts related to global governance. The research questions are presented with discussion as to why they were chosen. I also describe the qualitative research tradition through a critical case of Rotary and explain my role as an observer participant in the study. Potential bias, conflicts, and ethical issues are reviewed along with specifics on the research design, instrumentation, population, sampling size, and selection criteria. I also discuss data analysis procedures and my decision to use a software analysis tool (NVivo) to assist my analysis of the interview data. Finally, I address the issues of trustworthiness, transferability, dependability, and confirmability.

Research Design, Rationale and Research Questions

The dynamic nature of the global governance phenomenon presents an interesting dilemma for any researcher. There are formal policy and program evaluations conducted by governments and research organizations such as the UN, which allow a more inductive, positivist, quantitative review. However, the developing nature of the larger phenomenon with drivers such as globalization lends itself to a deductive, postpositivist, qualitative investigation using research methods described by Creswell (2009) and McNabb (2008). The phenomenon must first be understood and placed within a conceptual framework before the quantitative approach is appropriate (Creswell, 2009). Researchers need to understand the how and why before they can effectively determine the what. Scholars remain optimistic that global governance study will result in a more concrete theoretical baseline (Hale et al., 2013; Weiss & Thakur, 2010; Zurn, 2018) as researchers from various disciplines such as economics, international relations, and information technology begin to refine the how and why. A qualitative inquiry was appropriate at this stage of global governance research (see Sinclair, 2013; Weiss, 2013).

My decision to use an exploratory, qualitative method was based on the review of literature concerning global governance and on research methods texts. I decided to conduct a critical case study of Rotary International because I had deep access to this INGO. Rotary is the largest service organization in the world and has existed for over 100 years. This was long enough to encapsulate nearly all the modern INGOs as well as the recent exponential growth in these types of organizations (Willets, 2011). The research questions that guided this study were the following:

Central research question: How might INGOs such as Rotary more efficiently address the institutional gap in global governance, particularly with respect to addressing wicked problems?

Subquestion 1: Why do INGO members such as Rotarians contribute to the provision of public goods and services at the global level?

Subquestion 2: How do members at the local level view their contribution to the provision of public goods and services at the global level?

Subquestion 3: How do Rotarians perceive their efforts with respect to addressing the institutional gap in global governance?

Subquestion 4: How might the polarities of democracy framework assist INGOs in addressing the wicked problems associated with global governance?

These research questions were designed to support an exploratory investigation of the global governance phenomenon in its current and emerging forms. I explored global governance by capturing expert testimony of INGO actors involved in the provision of goods and services at the global level. Findings may provide a better understanding of how and why civil society organizations like INGOs contribute to global solutions and the formation of a future global governance regime. Findings are discussed in detail in Chapters 4 and 5.

Central Concepts and Phenomenon

The primary concept addressed in this study was the idea that humanity can best face global challenges through cooperation across national borders as a global community. This phenomenon is called global governance and has attracted the attention

of scholars over the past 20 years. Sinclair (2013) and Weiss (2013) pointed to the increased need for effective management of global challenges such as climate change, mass migration, and international terrorism through new and improved policy in the area of global governance.

Weiss (2013) indicated that there are gaps in global governance, particularly in international or global institutions designed to address global challenges. This institutional gap is felt in humanitarian support and is addressed to a degree by a growing number of civil society organizations such as INGOs like Rotary (Dany, 2013; Ruhlman, 2015). The theoretical concept of PM (Johnson, 2014) and the theoretical framework of POD (Benet, 2006, 2012, 2013) provided a lens for exploring global governance and the institutional gap.

Global challenges, global governance, and the institutional gap are driven by the phenomenon of globalization (Goldin, 2013; Hale et al., 2013; Sinclair, 2013; Weiss, 2013). The increasing pace of globalization has driven the debate on better forms of global governance to address institutional gaps in the provision of global goods and services. The globalization phenomenon is part of an emerging world order that is very different from previous world orders. Therefore, the study of global governance and how INGOs may or may not be addressing the institutional gap was necessary.

Research Tradition and Rationale

The research tradition to best address the emergent and exploratory nature of global governance and its drivers was the qualitative method. The postpositivist and constructivist frameworks described by Creswell (2009, 2013) fit well with the emerging

phenomenon of global governance and its primary driver, globalization. The global scope

warranted a case study approach of interviewing experts and analyzing data artifacts (see

Patton, 2002, 2015). Global governance is currently too varied and vague to favor the

more precise tradition of positivist, quantitative study. There may come a time when the

concept is more aligned with quantitative or mixed-methods research; however, more

refinement must occur first. A qualitative approach was appropriate for exploring why

and how INGOs influence global governance, and how and why they potentially provide

social relief and justice in humanitarian endeavors.

Role of the Researcher

I chose the role of observer-participant in this study to better understand the

concept of global governance as an active member of an INGO, Rotary International. My

status as a Rotarian in good standing and chair of the district international committee

provided me with a deeper understanding than I could have attained as an outside

observer. The access to key experts in INGO international projects offered a deep pool of

hands-on project managers and critical case samples I could easily access with my

limited resources. The complex nature of INGOs and how they approach international

assistance efforts indicated a hands-on approach was needed to access the deeper, richer

qualitative data needed to provide a better understanding of the why and how of global

governance.

Potential Conflicts, Bias, or Ethical Issues

As a Rotarian, I had the potential conflict of researching my own organization,

which also presented a danger of personal bias. Personal bias, as described by Miles,

Huberman and Saldana (2014) presents the potential that the researcher will let their own agenda or internal conflict skew their interpretation of the data. Although I am a member of Rotary International, I have only been so for 8 years. In the time before this, I was a member of the United States Air Force (now a retired Lieutenant Colonel), a federal civil servant in the Defense Intelligence Agency, along with working in many other varied organizations. As a long-serving member of the U.S. intelligence community (28 years in total) I have been formally instructed in the methods of strategic analysis and critical thinking. All these experiences and the associated training provided me a backdrop to support a mindset of more balanced, objective assessment, and less of subjective review. Seeing the contrary view and playing devil's advocate came naturally to me from the nature of my career and life experience so far.

Additionally, the research training and instruction received in my post-graduate courses have provided me with the tools to avoid bias through methods such as member checking, looking for representativeness, using triangulation of various data analysis methods such as hand coding and software analysis tools (Miles, Huberman & Saldana, 2014). I used these methods to guard against my potential bias. The access afforded to Rotary and deeper understanding my membership afforded, provided a positive aspect to why I chose my own organization for the critical case I studied.

Finally, there is one potential ethical issue I needed to clarify to those reading my study results. The majority, if not all, of the participants in my study are over the age of 65. This is largely due to the aging demographic of Rotary, and for that matter, many other civic organizations. In the case of my international committee, the experts

interviewed have amassed a lifetime of deep and intuitive understanding of international projects designed primarily to help those less fortunate in the world. These experts, although older, remain highly active and mentally acute. Most have held respected corporate, civic, and scholarly positions, if not still in those capacities. Therefore, I was clear about this potential ethical issue of a vulnerable population and made sure I adhered to all necessary guidelines as described to me through the Institutional Review Board. I had all medical precautions in place prior to collecting data through the interview process.

Method of Research

The nature of this study is qualitative. I used an exploratory design by employing naturalistic inquiry within a case study approach and practiced selective and/or purposive sampling to recruit interview participants (Creswell, 2009, 2013; Patton, 2002).

Population, Criterion, and Sampling Strategy (Saturation and Sample Size)

My data consisted of a primary data source taken from the perceptions of INGO members, in this case Rotarians from my local Rotary district in the United Kingdom. I used qualitative data analysis software to assist in identification of prominent themes, and then I analyzed the data and presented the findings (see Chapters 4 and 5).

I kept my interview protocol somewhat open-ended to allow for adjustments to data collection as I progressed through the interviews and qualitative software analysis. Maxwell (2013) and Miles, Huberman and Saldana (2014) discussed how structured studies tend to be more manageable for novice researchers; however unstructured studies (hence my open-ended approach) can increase the quality of data collected due to the

ability of the researcher to respond to situations as they develop. Sampling does not follow this same distinction and depends more on careful planning by the researcher to find the right sample, not the largest, or even the more random (as in quantitative sampling).

Types of Qualitative Sampling

The general term qualitative researchers, such as Patton, like to use to describe this method is purposeful (or purposive) sampling or "selecting information-rich cases to study, cases that by their nature and substance will illuminate the inquiry being investigated" (p. 264). These keystone cases hold the best chance of understanding a phenomenon deeply; therefore, the researcher's valuable time and resources are best concentrated on these selected samples.

I focused on Rotarians from the larger district to which my Rotary club belongs. A better explanation of just how this case falls within the larger RI case is needed. Therefore, Rotary covers the entire planet and has thousands of clubs under a lose form of federal administration. Narrowing this focus more, Rotary is divided into world regions, then some national groups, then Rotary zones and districts, and finally the smallest unit within Rotary is the individual club. Clubs vary in size from less than 10 individuals to some with hundreds of members. Rotary has members in over 200 nations with Rotarians numbering over one million (nearing 1.2 million to be more precise) and an annual budget over a billion dollars when all the foundational charity accounts are considered (RI, 2017; RIBI, 2017). The organization was founded in 1905, making it one of the oldest INGOs in existence and a key architect of many of the current IGO, such as

the UN and its sister organizations. Rotary presents a special INGO case (possibly even a critical case) which spans the globe, yet has its key building block, the Rotary club, at the most local of levels.

Rotary supports global humanitarian causes and human rights as a matter of its core principles. Just one example of this would be the nearly 30-year effort to eradicate polio globally with linkages to governments (Pakistan, Nigeria, and others), IGOs (such as the World Health Organization and UN International Children's Emergency Fund), private benefactors (such as the Bill Gate's Foundation), and private sector contributors (various multinational corporations). The End Polio Now campaign is close to success as fewer and fewer cases of the debilitating disease are reported each year and nearly a 99 percent decrease has been achieved from the 350,000 cases reported in the 1980s (Hewko, 2013). This area of the humanitarian and human rights regime provides a glimpse into the global governance institutional gap, and Rotary, to include my local district and club, participates actively in this effort.

Sampling Method and Sample Size

Determining if my method of sampling is best for my study depends on how well I executed the data collection through a narrowing strategy. Miles, Huberman and Saldana (2014) suggested a type of working from the outside inward to scope the phenomenon and decide what the core sample group or grouping is. Beyond this narrowing strategy, there really are no best sampling methods other than trying to match the method with the research question being investigated. My Rotary club falls within

Rotary in Great Britain and Ireland (RIBI) District 1070, with nearly 100 clubs and more

nearly 2,500 Rotarians.

This district in the middle region of England is very active in global health and

humanitarian efforts through the established international committee, which I was a

member of and chaired. The committee coordinates and supports District 1070 and our

various club international efforts through humanitarian projects in every continent except

Antarctica. These projects and the Rotarians who manage them present the special, nested

case (Patton, 2015) through which I explored the past, current and evolving relationship

between INGOs and the global governance institutional gap. The within-case method

with Rotary as the critical (or special) case matched well with the research questions

since Rotary is one of the smaller subsets of cases representing truly global INGOs.

Rotary is also one of an even smaller set of cases that is long-lived, geographically and

culturally diverse, and focused heavily on humanitarian institutional gaps where it is

formally pledged to support global human rights.

The number of cases (or people) to include in a sample size depends on what

research question you are trying to answer; however, Miles, Huberman and Saldana

(2014) indicated at least five richly researched cases for a multi-case study is usually

appropriate. I interviewed twelve international project experts for this study and gained

rich data while reaching saturation.

Sampling Strategy

I decided the best strategy was a purposeful sample of experts who make up the

international committee of my Rotary district in England. Since a Rotarian represents the

smallest and most local piece of Rotary, sampling them fit well with the key rule of case

studies, to collect at the lowest level unit of analysis available (Patton, 2015, p. 536). The

individuals I interviewed were that lowest level unit and had deep experience with the

international assistance programs our district manages on behalf of Rotary. They drew on

this experience to provide their views of how these international efforts contribute to or

influence the concept of global governance. I successfully interviewed seven key experts

I had planned to talk to, yet I added five additional experts to be confident I reached

saturation of themes and gained meaningful insights into the research questions. I

expected this number of experts for my sample size would provide enough detail and

depth to derive some useful findings from my study.

Instrumentation

I used an open-ended questionnaire as my primary research instrument. This

questionnaire guided my interviews and helped me avoid deviating substantially from the

pre-coordinated questions. I established a formal protocol for all my interviews and

adhered to this carefully. However, I permitted those being interviewed to expound on

their responses and to add further content they felt was beneficial to the subject being

discussed. I used a list of probing questions and phrases as well to keep the interview

moving in a positive direction. Issues such as content validity were taken very seriously,

therefore, I recorded all my interviews (on two devices) and preserved them for purpose

of peer review and member checking. A software analysis tool (NVivo) was used to

organize and structure the data to allow for coding and analysis.

Research Plan

My research plan included the important considerations of recruitment, participation and basic guidelines for how I would collect the data. Recruitment was not expected to be difficult for my research, since I planned to interview Rotarians in my Rotary District. As mentioned above, they all lived within a relatively close geographic area. Rotarians also tend to be very open and giving of their free time. They are often busy and professional people, so I flexed my interviews to meet their availability. Rotarians are also generally keen to support positive social change, since this is the bedrock of the Rotary mission (RI, 2017; RIBI; 2017). I identified seven international experts (defined below) to interview, so I only needed to ask if they would participate. If any of these seven did not wish to support my study, I had alternate experts in mind (within the Rotary district) and could expand this pool as needed. This is not a finite group, so I had a degree of flexibility in my recruitment plan. Recruitment proved to be as uneventful as I expected and is discussed in detail in Chapter 4.

The definition of an expert in this study refers to Rotarians with deep and extensive experience in planning, supporting, and in some cases, directing international projects. Rotary International has a category of international project experts called Cadre (RI, 2017), which number only in the hundreds throughout the entirety of Rotary International. In my district, I only know of five such individuals, and four happen to be on or have been on the district international committee. A Cadre member must have evaluated or overseen at least five international projects and have proven experience in humanitarian efforts throughout their lifetimes. I consider Cadre members to fit the

definition of expert for my study. The other members of my committee, as well as some

Rotarians in the district at large, are also highly experienced with international projects,

yet they have either not applied to become a member of Cadre, or they have less than the

number of five projects in their international project experience. These Rotarians,

although not Cadre, were also considered to be experts for the purposes of my study

based on their many years of work with international projects. Since I have been a

Rotarian for over eight years and have worked closely with the international projects

team for three years, I did not require a complicated process to identify these experts. All

those members of the international committee are considered experts by my study

definition, and the Rotarians at large with this type of experience, are easily identified via

our committee database of experts and through the district directory (published every

year). I provided the interview candidates I identified with a recruitment letter. They were

all provided the opportunity to decline or accept participation at this point.

When I needed more interview candidates, I recruited them via the letter and

distributed this letter via e-mail. I had the option of calling or mailing the letter to those

who might not prefer e-mail, yet all were happy to use e-mail in the end. I had these

alternate methods in place if I did not receive a response within five days to my initial e-

mail. Since my Rotary district has a well-maintained directory for members, I did not

expect any difficulty in contacting my prospective interview candidates.

Once I recruited all the international experts for my interview phase of the

research plan, I did my best to complete the interviews in a one-month period. I allowed

for longer if needed, as I expected some of my interview candidates to be unavailable at

times with family and work commitments. This proved to be the case (discussed in

Chapter 4). In general, I adjusted my own schedule to fit theirs and to travelled to their

homes or another neutral location where we were both comfortable and undisturbed

during the interview. As I collected the interviews, I began the data analysis by putting

together a case record for each interview to include a transcript, any related

documentation, and initial thoughts from my own perspective as the researcher. As I was

an observer-participant in the sense of being a fellow Rotarian who also works with

international projects, I included my perceptions and thoughts in the case record.

The interview protocol I used is found at Appendix B and expands on the research

questions I hoped to address with the data captured. There were nine questions with at

least one question each aligned with the research questions I was investigating. I made

these questions available to the person to be interviewed in advance of the interview, so

they had time to think about their responses if preferred. The final item of the interview

was intended to collect the researcher's perceptions after the person being interviewed

has departed. A research journal was also kept. Since nearly all the Rotarians I expect to

interview were older than 65, I had emergency medical contacts available (English

National Health Service) and was prepared to call for assistance if needed (as part of my

interview protocol).

The basic guidelines for my interviews were to keep them to roughly one hour in

length, use of audio recording devices, and to follow my interview questionnaire with

extra time allowed for the respondent to expound as desired. Since the majority, if not all

of those interviewed were over 65, I had the necessary emergency contact numbers and

procedures ready for any health requirements that might have occurred while I was

present. I also provided the transcript back to those interviewed within two weeks (more

quickly when possible) to check my accuracy and to be certain they were satisfied with

how I captured their response. I allowed another month or two for data analysis, once I

concluded the interview phase. This allowed roughly three to four months for data

collection and analysis.

In addition to the interview data, I planned to review secondary data including

district 1070 committee meeting minutes, material available on the committee web pages,

and a database of district international projects collected and validated by Dr. Mike

Kingdon, a member of the committee. I decided through further analysis that these

sources of data were not relevant for the research questions I hoped to answer and were

not used. This decision is discussed in detail in Chapter 4.

<div align="center">**Data Analysis**</div>

My basic data analysis plan was to conduct interviews with the Rotarians

experienced in international projects, take extra care to accurately record exactly what

they state, then review certain key documents from RI and the RIBI District 1070

International Committee (committee minutes from quarterly meetings and committee

web pages). Finally, I planned to include the existing database collected by the prior

chairman of my RI international projects committee, Mike Kingdon, PhD. Dr. Kingdon

who had given me permission to use his database as supplemental data for my qualitative

inquiry. However, as I mentioned above, the secondary data was not used, and the

decision was made to use only the interview data (discussed further in Chapter 4).

Once I gained access to, or collected the data, I hand coded the data initially to refine my understanding of the meaning of the data in general. This stage of the analysis fits what Patton (2015) described as bracketing and thematic analysis. I wanted to see if any themes emerged from this initial data analysis to fit with a polycentric and/or bottom-up governance theoretical lens and more specifically, the PM theoretical concept (Johnson, 2014) and POD (Benet, 2006, 2012, 2013) theoretical framework. I conducted (structured) the interviews with the intention of drawing out the positive or negative aspects, if they existed, of the polarity pair from the POD theoretical framework upon which I was concentrating (human rights and communal obligations). This initial bracketing helped me to structure the data analysis within a more formal system-driven stage of analysis.

The system-driven stage involved the use of a software analysis tool (NVivo) to find deeper meaning across my data (interviews). I used this software analysis tool to help me handle the large volume of data I collected and to provide tracking methods and visualization tools to help manipulate and form the themes which emerged from my research. Software analysis tools (NVivo) allow bulk data import to form what the software identifies as internals; yet, data sources which are not importable will be identified as externals (Bazeley & Jackson, 2013). I was confident the majority, if not all the data I planned to collect, would fall into the internals category for the software analysis tool (NVivo). This distinction was important since internals data is much easier to manipulate and process for theme generation. Software analysis tools have an established method of taking the process of coding and allowing the researcher to

document all steps as well as record decisions made along the way. This detailed record keeping assists with the important aspects of credibility and trustworthiness.

Credibility and Trustworthiness

Credibility concerns the belief that your findings are true, or accurate according to established science and the foundational understanding we hold on common areas of knowledge (Maxwell, 2013). Trustworthiness relates closely to credibility and indicates not only if findings perceived to be true, but if they can also be depended upon based on subjective review by experts in that area of study (peer review). Once a researcher has achieved certifications in academia, such as gaining a doctorate or being recognized as an expert in an area, this also increases credibility and trustworthiness in the eyes of those judging if they have confidence in a study. The goal in achieving strong credibility and trustworthiness was to reduce the influence of bias on my findings. Due to the global scope and relatively young nature of my topic of global governance the criticality of transparent and accurate findings was even more important to gain the trust of those reviewing my findings. I incorporated several measures to decrease personal bias and increase the level of credibility and trustworthiness.

The primary means I employed to achieve this goal was through triangulation or checking my data and findings from as many perspectives as possible. Triangulation simply refers to using as many sources of data as possible to try and increase credibility and trustworthiness in the results (Miles, Huberman & Saldana, 2014). Patton (2015) listed four kinds of qualitative triangulation as interviews with observations, interviews with documents, observations with documents, and interviews from multiple sources with

the observations of varied events and documents. Since I planned to conduct interviews with Rotary international project experts, review existing documents from the committee and Rotary, and review an existing projects database, I intended to touch on all aspects of all four of these triangulation methods. I was not able to reach this level of triangulation in the end due to the documents and database proving to not to be relevant to the research questions. Therefore, the use of member checking of the data collected, peer review from experts in my area of research, and the use of software analysis tools (NVivo) was my primary means for overall transparency and accuracy to help me achieve a high level of credibility and trustworthiness. Once this area of credibility and trustworthiness is adequately supported, I was concerned with how well the findings might be generalized to explain or fit with other cases or larger contexts. This aspect concerned the ability to transfer the findings, or in other words, the transferability of the results.

Transferability

The extent to which the findings from this study would transfer depends on how well the themes I derived from the data addressed other areas and situations. The goal of the research was to derive themes from the qualitative data which could then be generalized through the lens of the conceptual framework and possibly be applied to a larger case then Rotary District 1070 in the United Kingdom. The chances of this being possible were higher than might be expected since the concept of global governance is, by its very nature, a global theme already. This meant the context of the data being collected was already focused on a global perspective. Creswell (2013) indicated the potential for transferability of findings depends heavily on the thickness, or richness, of

the data collected and subsequently the amount of linkages and similarities found between one case and others. Therefore, if I attempted to derive clear, transparent, and well-defined themes from the multi-faceted data I collected on this topic of a global nature, it stood to reason there would be connections to other cases with similar characteristics. I was not confident of transferability outside of the area of INGOs, yet I was somewhat hopeful the findings would transfer to other INGOs involved in efforts that could be characterized as supporting global governance. If my method of data collection and analysis proved dependable enough, there would be a way for other researcher to test the transferability aspect of my findings by conducting the same research method and data collection/analysis process with other INGO cases. If the findings were transferable, are they also dependable? Would the findings hold up in the many variations and complex constructions we see in modern human interaction and most particularly at the global level of governance? These all remain very good questions to be explored.

Dependability

The extent to which my findings from this research are considered valid, true, and ultimately transferable, will support how dependable the findings are in the face of change and a very uncertain world. The best way I can see to address the issue of dependability is to assess how durable the themes I find emerging from the data are in a global and dynamic context. Patton (2015) pointed out that rigor in the qualitative research process is not meant only to describe the actual process of the research, but also how the researcher reviews and looks at the data using mental tools such as critical,

inferential, and practical thinking. The saying that there is no constant, except change, makes the aspect of dependability in research very difficult to achieve, yet we must do our best to accomplish this important aspect if we want our findings to be considered trustworthy and credible. In the context of my study on global governance, I focused on if the emerging themes seemed timeless, or perishable. Did these themes move toward a potential theory of governance that might prove dependable in differing contexts and with changing variables? The very nature of global governance leads me to suggest a single theory will not be easy to find and that the reliance on a more flexible framework such as POD is a more likely to help understand global governance and the wicked problems humanity faces.

Confirmability

The final criteria of trustworthiness concerns confirmability, or the ability to judge the accuracy of the internal conclusions and analysis I make as the researcher. Others should be able to duplicate my process and find similar results if I expect my study to be judged as a confirmable effort. As an observer-participant within my study, I needed to provide detailed notes and process descriptions for other researchers to access. I included appendices with this level of detail so the steps I took during the data collection and subsequent analysis were as clear and transparent as possible. I also executed peer review and member checking (Patton, 2015) as I processed the data to be as certain as I could of the veracity of my conclusions. If my findings are to be truly assessed and trustworthiness judged, other researchers will need this level of access to my research and the process I used.

Conclusion

This study provided a qualitative, explorative review of the concept of global governance within the context of globalization and other related theory. Rotary International, and particularly the international committee of District 1070 of RIBI, formed the critical case for this study and provided a rich pool of international project experts for interviews. The theoretical concept of PM (Johnson, 2014) and POD theoretical framework (Benet, 2006, 2012, 2013) were employed as a lens to understand how RI international efforts might influence the complex concept of global governance by offering a model to manage, not solve, intractable global challenges. Limitations of my membership within rotary were managed carefully to alleviate potential bias and accentuate the advantages presented by deep access to the experts and inner workings of Rotary, a well-established and respected INGO. The findings of this study may provide improved insight into how global governance policy will develop and possibly provide a view on how to encourage positive outcomes through polarities management and polarities of democracy approaches.

Summary

In summary, I outlined my plan for this qualitative, exploratory study of the concept of global governance. The concept is global in context, which required me to find a critical case, such as the world-wide INGOs, Rotary, which covers the planet, yet has nested cases, Rotary clubs, which were small enough for me to realistically explore this developing idea of global governance. I interviewed the international project experts within my own Rotary district of central England. I paid close attention to issues of

trustworthiness, through member checking, peer review, and a methodical data collection

process (for better reliability). I expected to find themes and to view these through the

lens of the PM theoretical concept and POD theoretical framework for a more practical

approach to global governance, if such a conclusion was forthcoming.

Chapter 4: Results

The purpose of this qualitative study was to explore global governance through a focus on how and why INGOs such as Rotary International might more efficiently address the institutional gap in global governance (see Sinclair, 2013; Weiss, 2013; Zurn, 2018), particularly with respect to addressing wicked problems (Brown et al., 2010). The perceptions of international project experts found within Rotary International provided the data to better understand the motivations of INGOs in filling these gaps. Data were analyzed to identify themes related to this undertaking by INGOs and to explore whether they might be managed more efficiently using theoretical frameworks such as Benet's polarities of democracy (POD) as a policy analysis tool. In this chapter I present the themes identified from analysis of the perceptions of veteran international project experts.

Preview

This chapter includes a review of the setting in which I collected the data for the study. I present the number and demographics of the respondents, as well as data collection details such as type, frequency, and duration of data collection. In addition, I describe the methods used to record the data and any deviations from the research plan discussed in Chapter 3. Data analysis is also discussed with specific reference to the inductive methods used to move from initial precodes to final categories and larger themes. Discrepant cases are highlighted, and evidence of trustworthiness is discussed with respect to credibility, transferability, and confirmability. Results are discussed by theme with reference to the original research questions. The chapter concludes with a summary of the main points and an introduction to Chapter 5.

Setting

Eight of the 12 international project experts interviewed were members of a Rotary district international service team, which has a low annual turnover rate. One participant was a member of the team in previous years and another had resigned from the team; however, all those interviewed are Rotarians in good standing with extensive experience in managing or supporting international projects throughout the world. The international service team represents one of the largest Rotary districts in England with nearly 2,500 Rotarians (RIBI, 2018). Those interviewed who were not on the international service team had current and direct international project involvement, and two were district governors of the district, the top leadership position in this group of volunteers. One participant was about to become a district governor on July 1, 2018. There were no special circumstances during the period of the interviews from January 8 until March 29, 1918, and all members agreed to be interviewed within a few days of receiving my request. Rotary is a voluntary organization; therefore, there were no budgetary concerns or other stressful factors apparent at the times of the interviews.

Demographics

The 12 interview respondents were over the age of 60. Demographic information such as age, race, and gender was not considered relevant to answering the research questions but was of potential interest to assessing relative experience. Most of those interviewed no longer work and would classify themselves as retired. Two were women, which indicated that the gender mix was roughly representative of many Rotary clubs. Those interviewed lived throughout the English East Midlands, primarily in the counties

of Cambridgeshire, Bedfordshire, Northamptonshire, Leicestershire, Lincolnshire, and Nottinghamshire.

Data Collection

Data for this study came from interviews with international project experts. Although I had planned to examine official meeting minutes from the international service team and documents from an existing database of district international projects, these data were not considered necessary after I conducted the interviews. Upon closer investigation, the secondary data (documents and database) were not tied directly enough to the research questions to be relevant. Therefore, only interview data were used in this study. The location, frequency, and duration of the data collection for all 12 interviews conducted using an interview protocol instrument (Appendix C) are described in the Table 1.

Table 1

Interview Details

Interview	Date	Time of day	Location	Duration (h/m/s)
1	08-Jan-18	19:18	Respondent's home	0:45:10
2	15-Jan-18	11:52	Respondent's home	0:57:09
3	07-Feb-18	18:14	Public place	0:17:02
4	14-Feb-18	16:12	Researcher's home	1:09:14
5	20-Feb-18	16:25	Public place	0:42:23
6	26-Feb-18	16:38	Public place	0:19:08
7	05-Mar-18	16:35	Respondent's home	0:21:10
8	06-Mar-18	17:28	Respondent's home	0:08:55
9	09-Mar-18	16:16	Respondent's home	0:29:15
10	22-Mar-18	17:38	Respondent's home	0:13:02
11	28-Mar-18	16:21	Respondent's home	0:19:22
12	29-Mar-18	16:57	Public place	0:23:39

Twelve international project experts were invited to participate, and all agreed. The data collection lasted 3 months and took place at either the respondent's home, my home, or in an agreed upon public place. The longest interview was over an hour and the shortest was under 10 minutes. Six hours and 5 minutes of total interview time was recorded with the average interview time being 30 minutes. The transcription resulted in 45,000 words captured for qualitative analysis.

The data were recorded using two voice recorders: a Professional brand digital voice recorder and an iPad Mini with voice recording software. Two recording devices were used to avoid mishap and the potential for one recorder not functioning properly or me making a mistake in recording. There were two interviews where one or the other recorder did not function correctly and failed to record the interview; however, because two devices were used, the interview was successfully captured. The interview

respondents were informed of the intent to digitally record their response in the letter of consent and prior to the interview. All 12 respondents agreed to be recorded.

The only variation in data collection from the proposed plan was the decision not to include the meeting minute documents or documents from the database of international projects. The interviews were conducted as planned and recordings were transcribed within a few days, although some transcriptions took several weeks due to other professional commitments. The only unusual circumstances encountered during the data collection took place during the actual interviews. In one interview, an unexpected digital advertisement started several times during the interview as part of the voice recording software. This was corrected during the interview within minutes, and the respondent was able to complete the interview without complaint or further interruption. In another interview, the respondent's child returned from school and interrupted the interview for 5 minutes; however, this interview was completed. Finally, there was crowd noise in two of the interviews, which took place in public locations; however, this was the preferred location of both respondents and did not prevent the interviews from being successfully completed and transcribed.

Data Analysis

The data analysis included researcher notes taken during and after the interviews, journal entry and review, transcripts of recorded interviews, hand coding of the final transcripts, and NVivo nodal analysis. Based on the literature review, a precode list was developed to guide the initial data analysis. This precode list comprised the following codes: global cooperation, global network of experts, global leadership, global

improvement, global governance resistance, bottom-up development, local knowledge and simplicity, diversity in rotary, international development, gap filling, inspirational ideas, policy guide, conceptual framework, theoretical framework, balance in democratic polarities, further refinement, and ethical development. These precodes were used to guide the initial hand coding of the transcripts and guided the descriptive method of coding used initially.

Saldana (2016) indicated the descriptive method can be used as an initial coding method for qualitative research; however, more refined methods are recommended, such as NVivo, for secondary and later stages. The initial descriptive method resulted in over 30 codes, which were reduced in a second round of NVivo coding to 26 codes. These codes represent a combination of descriptive and NVivo codes and were further categorized by green, yellow, and blue colors to reflect alignment with the research questions, although these colors are not shown on this chart as actual colors, they are written next to the code they represented in the analysis

Green represented codes aligned with general perceptions of INGO (RQ1 and RQ2), in this case Rotary, and with the concept of global governance (category General in Table 2 below). Blue aligned with the RQ3 more directly related to global governance (category GG below). Yellow aligned with RQ4 concerning the perceptions of how the polarities of democracy (POD) theoretical framework might relate to Rotary and global governance (category POD below). This secondary use of color coding provided a clearer path to categorize the codes and extract the four themes that emerged. Table 2 illustrates

how these color codes were used, as well as the 26 codes derived from the descriptive
and NVivo hand coding methods.

Table 2

Hand Coding Results and Code Categorization by RQ

Code (highest frequency at top)	Category	RQ linkage
Global enhancement	General (green)	RQ 1 and 2
Global cooperation	GG (blue)	RQ 3
Bottom-up focus	General (green)	RQ 1 and 2
Global reach	General (green)	RQ 1 and 2
POD Balance	POD (yellow)	RQ 4
Communication is vital	General (green)	RQ 1 and 2
Expert volunteers	General (green)	RQ 1 and 2
POD as a policy guide	POD (yellow)	RQ 4
Gap filler	General (green)	RQ 1 and 2
Rotary and GG are linked	GG (blue)	RQ 3
GG is a concept	GG (blue)	RQ 3
POD HC (humanitariana/community oblig.)	POD (yellow)	RQ 4
Inspirational leadership	General (green)	RQ 1 and 2
Rotary ethics (four-way test)	General (green)	RQ 1 and 2
Sustainability is critical	General (green)	RQ 1 and 2
Simplicity is best	General (green)	RQ 1 and 2
POD DE (diversity and equality)	POD (yellow)	RQ 4
Rotary is diverse	General (green)	RQ 1 and 2
GG avoidance	GG (blue)	RQ 3
POD PR (participation and representation)	POD (yellow)	RQ 4
POD FA (freedom and authority)	POD (yellow)	RQ 4
POD JD (justice and due process)	POD (yellow)	RQ 4
GG to address wicked problems	GG (blue)	RQ 3
GG is rational	GG (blue)	RQ 3
Failire to learn from mistakes	General (green)	RQ 1 and 2
POD unclear	POD (yellow)	RQ 4

These secondary codes were refined further based on the mixed analysis of
descriptive and in vivo coding where key perceptions of the respondents were grouped
into four themes, which mapped back to the research questions. The transcripts were then

uploaded to NVivo and nodal analysis was conducted on the 26 codes with respect to

their linkages to the categories and themes developed during hand coding. NVivo

provided the analytical power to pull out word counts and see how the codes, categories

and themes interrelated. The resulting themes and more detail on the NVivo analysis will

be discussed in the next section.

Codes, Categories and Themes

The codes and categories have already been partially discussed in the prior

section. Their development emerged primarily from careful review of the final interview

transcripts with stress placed upon respondent's addressing the research question and the

sub-questions. For example, when the respondent indicated INGOs (Rotary in particular)

do fill an institutional gap left by others (primarily governments), I attributed this

perception to the code of *gap filler*, which was one of only three codes highlighted by all

twelve respondents. When the respondents referred to the reason for filling these

international gaps was to improve the plight of those in need, the code *global*

enhancement was deemed an adequate reference for these types of perceptions. The code

global reach was used as the key term to address respondent perceptions of Rotary (and

INGO) volunteers having an expansive influence reaching across many time zones and

national borders. These codes were initially more descriptive and were slowly adapted to

in vivo coding and allowed to display more value driven response from the respondents.

The themes emerged from the general perceptions found in the groups of codes

with affinity to the research questions. For instance, the theme of *global activism* grew

from several codes related to the sub-research questions on how and why INGOs (Rotary

in this case) fill the institutional gap in global governance. One of the respondents used the actual term *activism* in the interview and this term fit well for the overall theme. The theme of *POD as global governance policy guide* was formed from the responses to the sub-research question concerning the POD theoretical framework and summarized the codes where respondent's indicated POD had potential as a policy guide for INGO project management and global governance initiatives. The theme of *global governance remains conceptual* resulted from the coded responses showing uncertainty about what exactly global governance means and what it will become in the future, despite indicating a general support of the concept of global cooperation. The fourth, and final theme resulted from the coded responses stressing the bottom-up method of development and keeping projects locally based and as simple as possible as the most effective means of encouraging positive social change and good global governance. This was a strong response throughout all the interviews and formed easily from several codes to become the theme *effective global governance starts locally and simply*. The details and linkages between these codes and the eventual themes is displayed in Table 3 below.

Table 3

Linkages From Codes Through Categories to General Themes

Code	Category	Themes
Global enhancement	General	Global activism
Global cooperation	GG	Global activism
Bottom-up focus	General	Effective GG starts locally and simply
Global reach	General	Global activism
POD Balance	POD	POD as GG policy guide
Communication is vital	General	Global activism
Expert volunteers	General	Global activism
POD as a policy guide	POD	POD as GG policy guide
Gap filler	General	Global activism
Rotary and GG are linked	GG	Effective GG starts locally and simply
GG is a concept	GG	GG remains conceptual
POD HC (humanitarian/community oblig.)	POD	POD as GG policy guide
Inspirational leadership	General	Global activism
Rotary ethics (four-way test)	General	Effective GG starts locally and simply
Sustainability is critical	General	Effective GG starts locally and simply
Simplicity is best	General	Effective GG starts locally and simply
POD DE (diversity and equality)	POD	POD as GG policy guide
Rotary is diverse	General	Global activism
GG avoidance	GG	GG remains conceptual
POD PR (participation and representation)	POD	POD as GG policy guide
POD FA (freedom and authority)	POD	POD as GG policy guide
POD JD (justice and due process)	POD	POD as GG policy guide
GG to address wicked problems	GG	Global activism
GG is rational	GG	GG remains conceptual
Failire to learn from mistakes	General	Effective GG starts locally and simply
POD unclear	POD	GG remains conceptual

These themes are visualized through the NVivo nodal analysis and resulting

charts. Figure 3 below shows the four themes and which of the 26 codes link to them. All

the themes relate well with the overall research question and more specifically with the

four sub-questions. The theme of global activism links with research sub-question one

(RQ1); the theme of effective global governance starts locally and simply links with

RQ2; the theme of global governance remains conceptual links with RQ3; and the theme

of POD as global governance policy guide links with RQ4. Due to the length of POD

codes represented in figure 3, some were shortened in this graphic, so POD DE refers to

the paring of diversity and equality, POD FA to freedom and authority, POD HC to

human rights and communal obligations, POD JD to justice and due process, and finally,

POD PR to participation and representation.
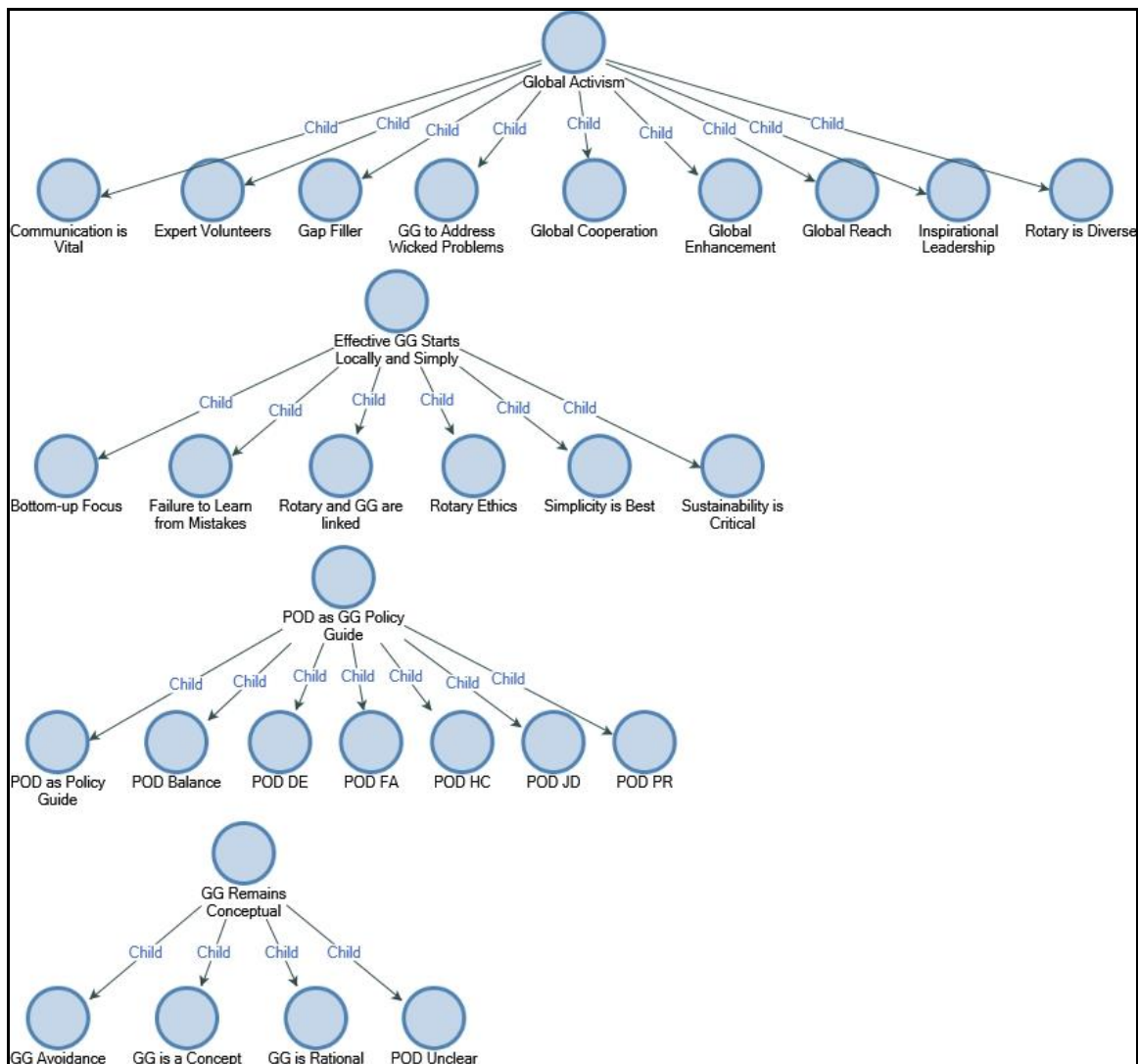
Figure 3. NVivo nodal analysis and resulting themes with related codes.

Discrepant Cases

There were three discrepant cases in all the interviews where the respondents firmly advocated avoiding more cooperation at the global level and did not support the concept of global governance. They voiced this opinion due to their belief that more interaction at the global level was likely to impede the efficiency of Rotary (or INGO) work and outcomes. These three respondents did assist with reaching saturation with

respect to other codes, categories and themes, such as Rotarians filling global institutional

gaps and potentially benefiting from a policy guidance tool such as POD. However, their

divergence with respect to embracing global governance was a marked departure from

the other nine interviews, and the global governance avoidance belief was the only

substantial, divergent perception from the interviews in total.

Evidence of Trustworthiness

The research plan and analytical process were designed to provide as much

trustworthiness as possible under the circumstances of limited time and resources. The

global nature of the concepts and theories being explored also make rigorous exploration

more problematic, yet the case study design does allow for this inductive approach, even

for a concept with a global and developmental nature such as global governance. The

specific measures taken are now discussed with respect to credibility, transferability,

dependability, and confirmability.

Credibility

The research plan called for the use of other forms of data to allow more

triangulation between the interviews, some formal documents, and an existing

international project database. Although this was the intent, resource limitations of the

researcher and further evaluation of the secondary sources resulted in the decision to only

use interviews for the data analysis in this study. The secondary data sources proved to be

less relevant (as discussed) than expected as the Rotary international service committee

meeting minutes were more task oriented, not policy focused. The international projects

database proved to be under review within Rotary with respect to its release to the public

and was not complete with respect to all the efforts currently underway. Therefore, both these secondary sources were not deemed relevant or credible for this study. Instead, emphasis was placed on the interviews and the number was increased from seven to twelve respondents. This provided more depth and assured saturation was achieved.

Since interviews were the sole source of data, credibility rested heavily upon member checking the results. The member-checking process occurred in keeping with the research plan. When a transcript was completed, the final file was e-mailed to the respondent with the repeated instructions found in the member-check form to review their response (although not required) and reply with any changes. All twelve respondents received their transcripts via e-mail. Only one respondent chose to make minor corrections, which were more to clarify than change their original response significantly. The member-checking details are provided here in Table 3.

Table 4

Member-Checking Results

Interview	Date	Member-check Sent	Modification
1	08-Jan-18	10-Feb-18	No
2	15-Jan-18	19-Feb-18	No
3	07-Feb-18	17-Feb-18	No
4	14-Feb-18	28-May-18	No
5	20-Feb-18	04-Mar-18	No
6	26-Feb-18	07-Apr-18	No
7	05-Mar-18	15-Apr-18	No
8	06-Mar-18	08-Apr-18	No
9	09-Mar-18	22-May-18	Yes
10	22-Mar-18	17-Apr-18	No
11	28-Mar-18	29-Apr-18	No
12	29-Mar-18	03-Jun-18	No

Transferability

The understanding that transferability for this study could be high is not born out

following the analysis due to the small sample size. More study of INGO critical cases

would need to be accomplished before an accurate level of transferability can be

assessed. The positive response to the POD theoretical framework indicates there could

be an element of transferability with respect to theory. Since global governance is by its

very nature, a global concept, the case-to-case transferability is also highly possible

within the INGO community, specifically with respect to the four themes, yet further

research would need to be conducted to explore this possibility. Transferability from the

Rotary experts to other INGO populations of experts is less clear and could well not be

possible. The culture of Rotary, and even of this district within Rotary poses doubts as to

the potential for these themes to transfer easily to another population of international

project experts, however, there is a possibility this could be achieved with further

research.

Dependability

The discussion on dependability from chapter three focused on the durability of

the themes, which emerge from the data analysis and whether other researchers would be

able to reach these or similar themes from subsequent research or even a repeat of this

study. Although I have not used the secondary data sources as originally expected, the

primary interviews are easily replicated, and the data collection instrument is relatively

open to modification for use in other cases with similar characteristics to the one found in

this study. Therefore, other researchers should be able to emulate this research plan

without much difficulty, even as a sole researcher with few financial resources. The one

key issue that could adversely influence dependability is the situation in this study where

I was an internal researcher with excellent access to the pool of interviewed experts. Most

INGO are open organizations and have transparent ethos, so this is not a show-stopping

issue for repeat of this research, however, this is something to be considered.

Confirmability

As an observer-participant researcher, I promised to document my data collection

and analysis with notes and a research journal to provide a more confirmable process for

those who might want to follow this research or assess veracity. I also documented the

analysis process with Excel spreadsheets and the NVivo research database, which

resulted from the final data analysis. All these files are potentially available to those who

require further review of the process and methods used in this study. The member-checking process and university peer review provided another layer of rigor to assist in confirming these results; however, there does remain a level of subjectivity with respect to the interpretation of the data and the development of the emerging themes. This is undeniable, yet the path taken to these conclusions is well documented and will be made available to those requiring further evidence of the findings.

Results

The themes discussed earlier link to the general research question and the four research sub-questions (RQ 1-4). Figure 4 below provides a visualization of these four themes based on the frequency of responses coded and grouped under them. The specific codes are also represented to clearly display the strength of response linked to each code. This detailed coding process was conducted first by hand and later within NVivo to allow better accuracy and data manipulation. The visualization is one example of the various presentations possible once the transcripts are coded inside the software package.
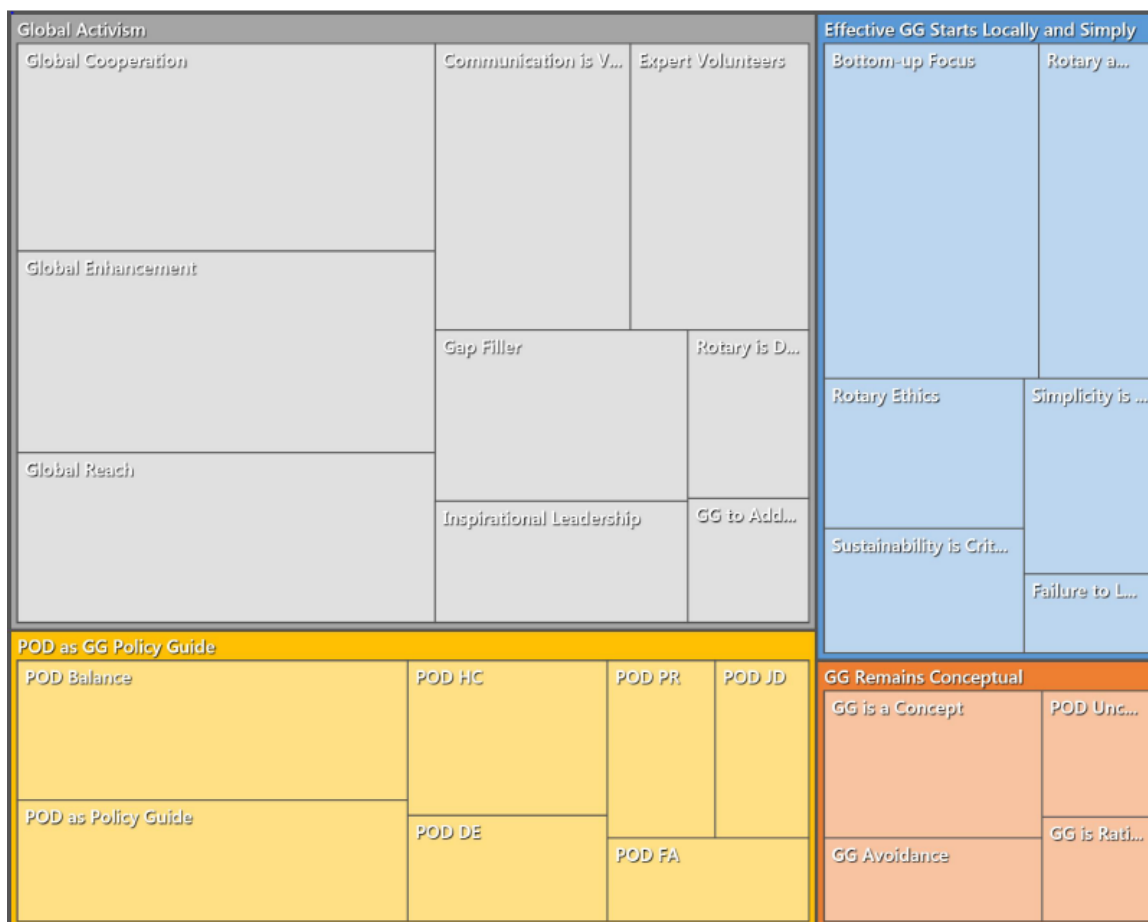
Figure 4. Visualization of frequency of coded interview response within each theme.

The global activism theme marked in gray (upper left quadrant) is linked to RQ1 and deals with the motivations behind the *why* INGOs such as Rotary fill global governance gaps. Codes such as global cooperation, global reach, global enhancement, expert volunteers, inspirational leadership and global governance to address wicked problems falls under this theme. Respondent 9 stated, "Rotarians are people who have developed extensive experience, knowledge and skills of a range of global contexts… who are also aware of the gaps of policymakers and which standard forms of governance in society are unable to deal with or leave out simply because of the nation states they are

part of." This was a strong response and was coded as gap filler among nineteen other similar responses in the total body of interviews. The term *activism* formed into the theme name based on the many responses of how Rotarians do things in the world and get out there to fill gaps without much direction from governments or formal institutions. The further need for this activism was highlighted by Respondent 9 when he stated, "One of the things that Rotary needs is activism. I think that is one of the things that would make Rotary more relative in social terms to the rest of our society." He was speaking of the aging demographic presently found in many Rotary clubs and how more, not less activism was required. This response was coded under inspiration leadership, as were twelve other similar responses. Overall, this theme, which covers RQ1, had the most coded responses of all with over one hundred fifty annotations through both hand coding and NVivo analysis. The theme emerged easily with substantial support from all twelve respondents (see Appendix E for detailed coding results).

The effective global governance starts locally and simply theme in blue (upper right quadrant) is linked to RQ2 and the *how* for which INGO like Rotary fill these gaps. Codes such as bottom-up, simplicity, sustainability, ethical practice and learning from mistakes make up the codes within this theme and help answer or address RQ2. The concept or theory of bottom-up management and development was a very strong coded item throughout all the interviews with nearly thirty annotations taken. Respondent 1 highlighted this by stating, "The bottom-up system…the Rotary club system, the districts organize and structure things, but the instructions go up, not down. Well, they go up more than they come down." This code was also highlighted in how development and support

work best in a bottom-up approach with local, sustainable, and simple solutions working

best. Respondent 3 stressed simplicity in the design of projects and the design of the

emergency shelters he represents. He stated, "If you make the equipment simple, people

will use it. And this new one [emergency shelter] is so simple it is unbelievable."

Respondent 2 stressed the importance of providing a lasting service and stated, "Yes,

sustainment is vital for every Rotarian project." Respondent 2 also discussed local

oversight by warning how powerful individuals can negatively influence projects "Unless

it [the project] is overseen by the local Rotary group. If it is overseen by someone like

Rotary, they will go out and ask to be shown how the money is being spent, how it is

being distributed." Ethical practice was a medium strength code with twelve instances

recorded. Respondent 1 dealt with ethics by stating, "One of the things that is part of

Rotary is what is called the four rules [Rotary ethics]. Is it the truth? Is it fair to all

concerned? Will it build goodwill and better friendships? Will it be beneficial to all

concerned?" These coded responses emerged into the theme that effective global

governance starts local and simply with a total of nearly eighty annotations recorded

during analysis.

The global governance remains conceptual theme in orange (lower right quadrant)

is linked to RQ3 and addresses the relevance of global governance to INGOs and Rotary.

The four codes linked to this theme were the lowest frequency of all the themes and

registered some respondent confusion and even avoidance with respect to the concept of

global governance. The codes of global governance avoidance, global governance is a

concept and POD is unclear highlight this lack of understanding and even lack of

enthusiasm for the concept of global governance among some respondents. However, there were perceptions registered under the code of global governance being rational, showing support as well. Respondent 5 advocated for Rotary involvement in global governance and stated, "So, I suppose, in summarizing, global governance should have a big contribution from key voluntary organizations. I regard Rotary as one of them, and Rotary can demonstrate how it has worked in that way across the world." This text was coded under global cooperation, yet it also pointed to Rotary and global governance being important to each other. Since there were only three respondents who advocated avoidance, most of the responses did support global governance as a rational concept, such as respondent 1, who stated "I will start with the word global governance. Right, I am entirely sure it is a rational process." The theme overall was represented by just over twenty coded responses, so this was the lowest frequency of the four themes.

The POD as a GG policy guide theme is represented by yellow (lower left quadrant) and dealt with the use of POD as a theoretical framework and policy tool to help INGO such as Rotary manage global governance more efficiently. This theme is called POD as GG policy guide and related to RQ4. Despite four respondents being unclear on POD in general, most respondents indicated support for POD as a potential policy tool to assist with global governance. The codes of POD balance and POD as a policy guide received over 20 coded responses each. Respondent 1 talked about the POD balance by stating, "I think Rotary is an amazing organization to talk to people about the balance between those two [POD pairing]. Yes, individuals have human rights and community obligations. You might say they only have human rights because they fulfill

their community obligations." This respondent went further to state, "One thing that has not come out in this set of questions is the balance between Rotary communities which are sometimes international yet are also at times local." The specific POD pairs did not receive as much support; however, they were deemed to be of potential use in helping to balance challenging and opposed issues and to achieve more positive outcomes. Respondent 2 provides a good example of the general response on POD pairings by stating "I think the communal obligations and human rights pairing we have discussed. I think Rotary has a very big part to play in that one. The justice and due process, I do not quite understand the two polarities of that because they seem to me to be almost the same." More refinement of the POD theoretical model was suggested by most respondents, however, they also felt there was value in the model toward policy guidance for Rotary and potentially other INGOs.

Respondent 4 acknowledged the value of the POD model: "I would certainly associate these polarities with some of the Rotary projects we have been doing." The use of POD as a potential policy guide is highlighted by Respondent 5 in the statement, "I think it is a model [POD]. It can be used. I think it needs developing in line with what I was saying in the previous question [talked about using POD as a sort of checklist]. I think you can bring any model to the table and that will never be perfect, but you need to work on it." The respondents generally liked the idea of a policy guide to assist Rotary with its efforts, despite that model being under development. This POD as a policy guide theme had the second most codes annotated of all four themes yet was the hardest theme to predict based on the preparatory research.

Conclusion

The results of the data analysis did address the primary research question and the themes help to address the specific research sub-questions in more detail. All respondents felt Rotary and INGOs in general address gaps in global governance and provided the best qualities for doing this more effectively and efficiently. Bottom-up, locally driven, simple and sustainable development is highlighted as the best way for Rotary and INGO to maintain and improve efficiency in positive social outcomes for international projects. Global governance was not well understood by all the respondents, and even those with a good understanding felt it was still conceptual in nature, yet rational. They did feel POD has potential for use as a policy tool to assist INGO such as Rotary in managing wicked problems and balancing opposing issues for a more positive social change outcome; however, the POD theoretical framework needs further refinement to be of use in more practical applications, such as the management of ongoing international projects and project portfolios.

Summary

These results are positive overall with respect to how INGO such as Rotary perceive their impact on filling gaps and impacting global governance in a productive way. The respondents do indicate improvement can always be achieved and recommended further development of the POD theoretical framework as a potential policy management tool for INGOs and Rotary efforts, particularly at the international and global level of execution. Chapter 5 will outline the final conclusions to this study and recommend areas for further exploration and scholarly study.

Chapter 5: Discussion, Conclusions, and Recommendations

I conducted 12 interviews to explore how and why INGOs fill the institutional

gap in global governance (see Goldin, 2013; Sinclair, 2013; Weiss, 2013; Zurn, 2018). I

used Benet's (2006, 2012, 2013) theoretical framework, the polarities of democracy

(POD), to examine INGO efforts in the context of the emerging global governance

concept and wicked problems (see Brown et al., 2010). The purpose of this qualitative

case study was to better understand the growing contribution of INGOs such as Rotary

International (RI) in the context of global governance, and to explore the potential for a

broad theoretical framework such as POD to facilitate better management of INGO

efforts at local, regional, and global levels. Because global governance is a new concept

(roughly 20 years old), the literature indicated a need to guide this emerging phenomenon

from the theoretical to the practical for what could be immediate application by INGO in

planning and executing their day-to-day efforts across the globe. Four themes emerged

and will be discussed in more detail later in this chapter; however, two major findings

from this study were noted. The first is that global governance is currently viewed as a

concept by INGO practitioners, and is seen as positive and promising with further

refinement. The second finding is the theoretical framework POD is welcome at the

INGO practitioner level to guide efforts with respect to complex global challenges, yet

this framework is also in need of further refinement to be of direct utility in their efforts.

Interpretation of the Findings

The data analysis resulted in four emergent themes. The research question of why

INGOs address the global governance institutional gap (Goldin, 2013; Sinclair, 2013;

Weiss, 2013; Zurn, 2018) resulted in a simple theme of global activism based on special

characteristics of global INGO like RI such as global reach and expert, diverse members.

The research question of how INGOs actively fill the gap was answered in the theme of

global governance needing to start locally and simply, which links strongly to bottom-up

theories of development. Both these themes confirm and amplify the growing trend of

INGOs as increasingly active partners in global governance (see Dany, 2013; Willetts,

2011) and more recent scholarly discourse (see Ruhlman, 2015; Zurn, 2018). The

question of how global governance was viewed by the INGO international project was

answered in a theme that global governance is still conceptual (not yet an accepted

framework) yet is considered very promising. This confirms the understanding described

by Sinclair (2013) and Weiss (2013) and more recently Zurn (2018). Finally, the question

of how POD was considered with respect to global governance was answered in the

theme of POD as a potential policy guide; however, participants wanted more work to be

done to transform POD into a practical global governance policy analysis guide. The

most prevalent words spoken in the interviews are shown in Figure 5 with words such as

balance, local and model standing out in my analysis.

Figure 5. NVivo word cloud showing the most common interview words by frequency.

Findings Analysis as to Why INGO Fill Global Governance Gaps

All interview respondents indicated INGO (such as RI) fill the global governance institutional gap because they think it is the right thing to do and they want to help their fellow human beings locally as well as internationally. The coded interview responses were refined into the overall them of global activism with key codes falling underneath, such as global enhancement, expert volunteers, and diversity. Rotarians and many INGOs do not have to be asked to "fill the need;" they simply "get on with things and do it." There was not much time wasted in the interviews with reasons why governments fail to live up to the needs of their people and more time was spent on why Rotarians fill the need. The respondents reported that because there is suffering and RI can assist, they felt a moral obligation to do so. It is that simple to those interviewed for this research. This strong theme of global activism matches well with the literature concerning the rapid

expansion of INGOs over the past 50 years and continued growth projections (Karns & Mingst, 2010; Willets, 2010) with more interaction at the UN and in global governance overall. This theme describes an enthusiastic outlook and desire to help.

Findings Analysis for How INGO fill Global Governance Gaps

The respondents had slightly different opinions on how RI fills the global governance institutional gap, yet a general theme of effective global governance starting locally and simply emerged. This theme was underpinned by codes such as global reach, bottom-up focus, communication is vital, inspirational leadership, simplicity is best, sustainability is critical, and Rotary ethics, which were all coded out of the views of a majority of those interviewed. The literature did not have as much detail in this area of investigation, so these results may assist with filling in this procedural aspect of INGO methods used to accomplish their work. The bottom-up theory (see Samli, 2009) appears to be at work in the analyses of the Rotarians interviewed as they stressed the importance of working at the local level first before trying to scale up to a regional or global context. This response was one of the strongest, with all both one of the 12 respondents having at least one coded item for this bottom-up approach to humanitarian development. Simple, sustainable projects with heavy local participation were the coded response items driving the overall theme of effective global governance starting locally and simply.

Findings Analysis Within the Key Concept of Global Governance

The literature indicated that global governance remains a concept, and the response from those interviewed supported this conclusion. The theme of global governance remaining conceptual was based on coded responses such as global

governance is a concept, global governance avoidance, and global governance is rational. This was the least coded theme of all four and indicated the uncertainty of what global governance means, as the literature would suggest (see Goldin, 2013; Sinclair, 2013; Weiss, 2013; Zurn, 2018). Four respondents felt global governance was a thing to be avoided if Rotary was to accomplish its goals more effectively. On the other hand, five respondents indicated that global governance was rational as they understood the concept. This mixed response resulted in the theme that global governance remains conceptual. Further, this theme helps confirm that practitioners are still unsure of what global governance will bring to their work in the future, yet they remain somewhat positive that global governance is beneficial overall (over half of those interviewed).

Findings Analysis Within the Theoretical Framework of POD

The most exiting result of the research is the theme of POD being a possible global governance policy guide, or at least showing potential. Benet (2006, 2012, 2013) indicated that there are practical applications for this theoretical framework in many governance contexts; therefore, the finding from the current study is not a surprise. This theme was founded on the coded responses for POD as a policy guide, POD balance, and separate responses to the individual POD policy pairs. However, a positive response by the respondents was noted with eight out of 12 coded as supporting POD as a policy guide and 10 coded as a response to support trying to achieve a balance in the POD polarity pairs. Three respondents reported that they felt POD was unclear. They did not discount the theory completely; rather, they indicated that they did not understand it well enough. This theme supports the finding of POD showing promise as a potential policy

guide and as a tool for INGO international project managers, such as those interviewed, in their social change work at global, regional, and local levels. Most respondents felt the POD model would be most helpful at the global levels of INGO management, and would also be useful for those working locally (particularly the POD balance concept with the pairings).

Limitations of the Study

The limitations to this study included my status as a member of RI and my association with those interviewed. This was a concern, yet the direct access to these international project experts and cultural familiarity as a fellow Rotarian had a positive side as well. The proximity allowed for easy access to rich data in this critical case. The relationship between me and those interviewed was professional (fellow Rotarians), but not personal. The open and transparent nature of the Rotary International INGO also mitigated this concern of researcher bias by presenting the opportunity for another researcher to follow up on this process and conduct the same study without difficulty.

The original plan to collect and analyze documents from the Rotary district international committee and to use an original database of projects created by the committee was not executed. The documents in question were too task specific to provide rich data on a topic as broad and complex as global governance, and the database was not complete enough to provide an accurate data sample. Therefore, triangulation with these other data sources was not possible. Member checking was used to ensure the accuracy of the data collected; however, time restraints prevented me from allowing the interview respondents the opportunity to review the summary findings.

The other limitation addressed in Chapter 1 dealt with the very broad and complex nature of global governance and how difficult it would be for a single researcher with limited resources to capture meaningful data on the concept. This limitation proved somewhat accurate in the case of transferability, yet by concentrating on the specific critical case used, I was able to capture rich data to address the broad and complex nature of global governance and provide key themes for further research. Transferring these findings to other INGOs is not possible until similar research is done across a larger sample of INGOs. The possibility of these themes proving to be more general and universal in nature is strong based on the literature reviewed (see Goldin, 2013; Sinclair, 2013; Weiss, 2013; Zurn, 2018), yet further studies are needed to validate this prediction.

Recommendations

The limitations mentioned above do not restrict further explorative research, which is highly recommended to understand if the themes and findings from this research apply to other INGO cases in other places and times. For example, do INGOs based in other than western countries display the same beliefs and interview response as noted with RI in a western nation, like England? If so, why is this the case? If not, why is this not the case? At what point can we begin to say the themes are transferable from case-to-case, or even from sample-to-population? The answer to these and other related research questions are only discovered through further research.

The positive response from those interviewed with respect to POD as a policy tool or guidebook is encouraging and points to developing the POD from a theoretical framework to a more practical tool for those INGOs in the field. The request by these

international project experts for a POD playbook is a development they would employ right away if given the chance, according to some of the respondents. More research to try and generalize these findings and further development of POD for more practical application are the key recommendations from this study.

Implications

Social Change

Discussed in Chapter 1, the positive social change implications of this research are centered on helping those involved in the global governance community, to include INGOs, find a more visible path toward effective and efficient action in relieving human and animal suffering as well as supporting positive outcomes with respect to global challenges, or the so-called, wicked problems (Brown et al., 2010). The findings of INGO (RI in this case) willingness to support global governance if cooperation is productive (through global activism), and the belief that a theoretical framework such as POD is a potential global governance policy guide, all point to a movement which promises positive social change. Will this optimistic outlook bear fruit, this remains unclear; however, ideas are powerful, and the thrust of the INGO experts interviewed in this research is toward filling requirement gaps in global governance and using theoretical tools, such as POD to guide their efforts along the way.

Conceptual and Theoretical

Global governance remains a conceptual framework at this time, however, research such as this study, is intended to understand this concept as it slowly takes shape into a new form of governance executed primarily at the global level. Theoretical

frameworks exist in close cooperation with global governance; yet understanding their exact relationships and how they might be more practically applied, like POD to assist INGO activists, remains complicated and unclear. The need for more research of a qualitative, explorative nature is apparent, yet there will also be a need for mixed method and quantitative research as the more inductive results of the exploratory research require a deductive approach to nail down certain phenomena. Moving POD from a theoretical framework to also have use at the practical level of social change is a top priority in my own future as a scholar and hopefully for many others who will add to the store of knowledge in this emerging area of global governance.

Recommendation for Practice

The global challenges faced by humanity are not decreasing and only show signs of becoming more intractable; therefore, a better understanding of global governance and how we might cooperate more effectively at the global level (not to discount the regional and local levels) is driving the need for research such as this. Explorative research must quickly evolve into structured, mixed-method and quantitative research to test the new global governance policy tools, such as POD, and how they are helping (or not helping) to achieve better results with respect to managing global challenges. As sea waters rise, mass-migrations flows increase, pandemics take root, and fiscal downturns become more contagious across global financial markets, the INGO community will be hard pressed to respond quickly enough and with enough impact to fill the growing governance gaps. Global cooperation and cross-disciplinary solutions (Brown et al., 2010) will no longer be options, but will likely become imperative. Finding common ground between INGOs,

Multi-national Corporations, International Governmental Organizations, and nation states is more critical and themes such as those, which emerged from my research should be applied toward finding this common ground.

In the meantime, theoretical frameworks, such as POD, can be applied as soon as possible to practical situations where those providing global goods and services need guidance and proven tools to navigate this increasingly complex world of global governance and cross-border interaction. A POD playbook of sorts and liaisons between the world of theory to the world of the practitioner are needed according to the findings in this research and the literature reviewed, highlighting new terms such as *effective altruism* (Economist, 2018), which attempts to marry scientific rigor to philanthropic efforts. More study is required, and theoretical frameworks translated into practical tools are needed at the level of the practitioner, now, not tomorrow.

Summary

The research resulted in four major themes emerging from the interview supported by over twenty codes. The research questions were aligned well with the four themes of global activism; effective global governance starts locally and simply; global governance remains conceptual; and POD as a global governance policy guide. These four themes resulted in the two major findings, the first of which is global governance remaining conceptual to the RI (INGO) international project experts, although they did see RI involvement with global governance as somewhat inevitable and somewhat positive. The second finding is that the respondents feel POD is a potential policy tool for

global governance; however, it requires further development to be useful to the

practitioners working on the ground to address the institutional gap in global governance.

Conclusion

This research went some distance toward a better understanding of the

motivations behind why INGO strive to fill the institutional gap left by governments

(both national and international). The findings also provide encouragement to the

voluntary sector for having good values in the quest to fulfill as much global need as

possible in places where little to no support exists. Although some of the respondents did

not fully understand the concept of global governance, they did see positive impact in

global cooperation and realized RI could often get much more done if it worked

alongside other organizations with similar developmental goals. Finally, a broad policy

tool, such as POD, is seen to have potential for a further refinement into a policy guide or

tool for the practitioners out there executing the INGO mission. More interaction and

cooperation is what is recommended at the global level and the use of POD to support

more efficient and positive social change actions is also a goal based on the results from

this study.

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Appendix A: Rotary Background and Causes

Rotary: Who We Are

Rotary is a global network of 1.2 million neighbors, friends, leaders, and problem-solvers who come together to make positive, lasting change in communities at home and abroad. Solving real problems takes real commitment and vision. For more than 110 years, Rotary members have used their passion, energy, and intelligence to act on sustainable projects. From literacy and peace to water and health, we are always working to better our world, and we stay committed to the end.

Our motto: Service Above Self

For more than 110 years, our guiding principles have been the foundation of our values: service, fellowship, diversity, integrity, and leadership.

What we do

Rotary members believe that we have a shared responsibility to take action on our world's most persistent issues. Our 35,000+ clubs work together to:

- Promote peace
- Fight disease
- Provide clean water, sanitation, and hygiene
- Save mothers and children
- Support education
- Grow local economies

Appendix B: Interview Protocols

Interview Protocol:

Time of Interview:

Date:

Place:

Interviewee:

Position of Interviewee:

(Briefly describe the project)

Questions:

1. What is your position or role within Rotary International, and do you work with international projects?

2. Do you feel Rotary contributes to global humanitarian needs/requirements by filling gaps not covered by other organizations or governments, and if so, why does Rotary do this (in your view)?

3. How does Rotary fill these global goods and services gaps (in your view)?

4. Do you think Rotary, and possibly other international nongovernmental organizations (INGO), should or could better manage their contributions to global humanitarian support to gain efficiencies or improve results? How so or why not?

5. What is your understanding of the term *global governance* and does Rotary have a role to play in this larger orchestration of global efforts addressing complex global challenges, also called wicked problems?

6. Do you feel INGO such as Rotary, should do more, less or about the same to coordinate with the larger global governance community, such as individual nations, local communities, the United Nations, private initiatives, and other positive social change agents working at the global level?

7. What is your vision for how Rotary should better coordinate with global actors to effect positive social change and improve the success of global governance efforts?

8. I am now showing you a framework called the Polarities of Democracy with five guiding polarity pairs that represent important concepts we might leverage to achieve positive social change (a laminated sheet with the pairings will be shown as represented below).

The Polarities of Democracy Model

Freedom ⟷ Authority
Justice ⟷ Due Process
Diversity ⟷ Equality
Human Rights ⟷ Communal Obligations
Participation ⟷ Representation
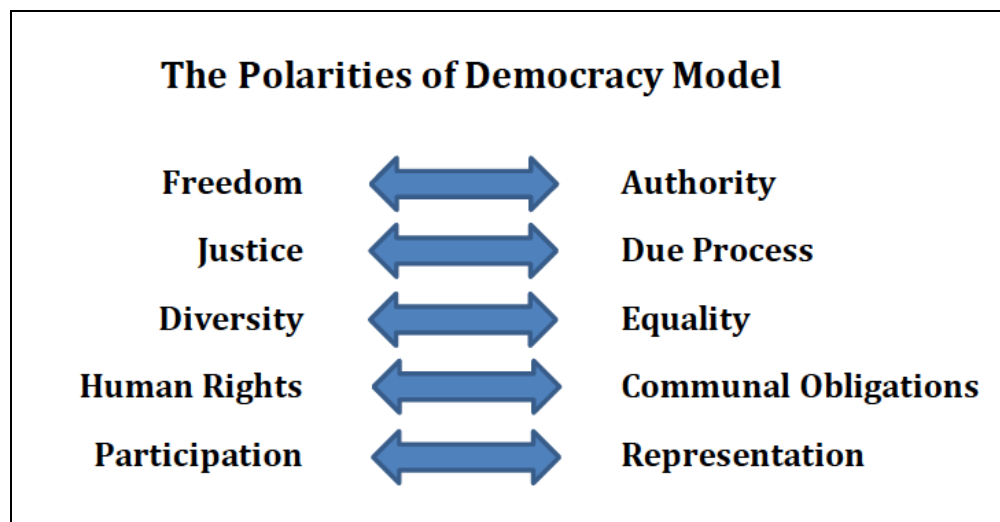
Do you associate any of these pairings with the efforts of Rotary? If so, which ones and why? If not, which ones and why?

9. Due to the concentration of Rotary international projects on humanitarian efforts, I have focused the remaining questions on the polarity pairing of human rights and communal obligations to investigate positive and negative aspects of this polarity pairing. Therefore, do you perceive Rotary international projects as having a positive influence on human rights and communal obligations? If so, in what way do you think this is happening?

10. How do you think Rotary projects can avoid the more negative side of both human rights and communal obligations, such as empowering the individual so much as to potentially pull them away from their community, and/or, where strong community-focused projects might threaten individual rights and limit independence? What are your thoughts on this balance between human rights and community obligations?

11. Finally, do you think Rotary's outcomes might be improved or benefit in some way from trying to understand and balance these polarity pairs with respect to the overall lines of effort for the larger organization and how Rotary works to address global challenges?

12. Are there any outstanding points you would like to cover or any additional thoughts you wish to record into this study?

What is the researcher's perception of this interview (to be completed by the researcher immediately following the interview)?

Appendix C: Contact Summary Sheet

Contact Summary Sheet

Contact type:

Site:

Contact date:

Today's date:

1. Major themes

2. Summarization of acquired information.

3. Additional context.

4. Follow-up.

Appendix D: Detailed Hand-Coding Results

Detailed Hand-Coding Results

CODE	CATEGORY	1	2	3	4	5	6	7	8	9	10	11	12	TOTALS	THEMES
Global enhancement	General	7	4	2	1	3	2	4	1	4		3	1	32	Global activism
Global cooperation	GG	4	6	5	5	3	2	1		4		1	1	32	Global activism
Bottom-up focus	General	3	3		1	4	5	5	2	1	1	2	1	28	Effective GG starts locally and simply
Global reach	General	4	3		6	2	1	1	4	4		1	1	27	Global activism
POD Balance	POD	4	2	2	2			3	2	3	3	1	1	23	POD as GG policy guide
Communication is vital	General	1	3		1	3	5	4	2	1			2	22	Global activism
Expert volunteers	General	3	2		2	1	2	1	1	4	1	1	2	20	Global activism
POD as a policy guide	POD	1	5		2	5	2	3				1	1	20	POD as GG policy guide
Gap filler	General	3	1	2	3	1	1	1	1	3	1	1	1	19	Global activism
Rotary and GG are linked	GG		2	1	2	3	1			5		1		15	Effective GG starts locally and simply
GG is a concept	GG	3	2	1		2	3		1			1	1	14	GG remains conceptual
POD HC (humanitariana/community oblig.)	POD	2	2	1	1	1	1	1	1	1	1	1		13	POD as GG policy guide
Inspirational leadership	General				2	4				3		1	2	12	Global activism
Rotary ethics (four-way test)	General	1		1		2	1		2	2		2	1	12	Effective GG starts locally and simply
Sustainability is critical	General	1	5		1					1		1	1	10	Effective GG starts locally and simply
Simplicity is best	General	1		1		2	1	3	1		1			10	Effective GG starts locally and simply
POD DE (diversity and equality)	POD	1	1		1	1	1	1		1	1	1		9	POD as GG policy guide
Rotary is diverse	General	3	2		1		1			1				8	Global activism
GG avoidance	GG	3						1	3		1			8	GG remains conceptual
POD PR (participation and representation)	POD				1	1	1	1	1	1	1	1		8	POD as GG policy guide
POD FA (freedom and authority)	POD	1	2	1				1		1				7	POD as GG policy guide
POD JD (justice and due process)	POD	1		1	1	1	1		1	1				7	POD as GG policy guide
GG to address wicked problems	GG		1	1	1	1	1			1				6	Global activism
GG is rational	GG	1			1	1	1			1				5	GG remains conceptual
Failire to learn from mistakes	General	1					3							4	Effective GG starts locally and simply
POD unclear	POD					2	1			1				4	GG remains conceptual
	TOTALS	49	46	19	36	43	34	34	23	44	11	20	16	375	