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THREAT RECOGNITION AND ANALYSIS PROJECT  
SOUTHERN AFRICAN SUBSYSTEM STUDY (SASS)  
CODEBOOK (1)

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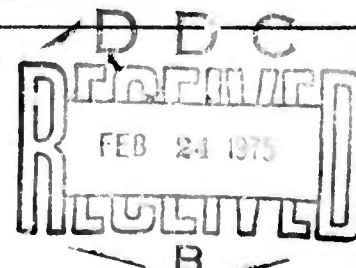
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THREAT RECOGNITION AND ANALYSIS PROJECT  
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(SASS)  
CODEBOOK (1)

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November 1974

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# INSTRUCTIONS FOR THE IDENTIFICATION AND ABSTRACTION OF EVENT INTERACTIONS

1. An event interaction is defined by SASS as: a declarative sentence about an activity undertaken by an international or transnational actor wherein it may be inferred that the actor has undertaken the activity in order to affect the behavior of the target of the event.
2. Your work therefore involves four activities:
  - a. the identification in textual materials of such events;
  - b. the abstraction of the event from the text and the recording of it in the form of a simple, declarative sentence on the code sheet;
  - c. assigning certain identification and substantive codes to the event; and
  - d. recording the source of the event on the code sheet.
3. How to identify event interactions in textual materials:
  - a. all events have at least three components: actor, action, and target.
  - b. in SASS the actor will always be one and only one of the fifty-two nation states, liberation movements, "Bantu" homelands, and international organizations listed in the instructions for coding variable No. 1 (see section 7, paragraph d). These actors are either international (states, i.G.O.'s) or transnational (Homelands, Liberation Movements) actors.
    - i. By "actors" we mean the authoritative human decision-makers--DEFACTO or DEJURE--who can commit the entity they govern or lead to international and/or transnational activity. We also mean individuals who perform tasks under the direction of such authoritative decision-makers. Because SASS is concerned only with the actors listed in the discussion of Variable No. 1, do not abstract the transnational events initiated by non-authoritative groups or individuals within the actors. Also do not abstract non-official behavior, such as vacation visits to other states.
    - ii. NOTE that frequently decision-makers are not named, but rather a collective noun like "Zambia" or "FRELIMO" is used. Under the assumption that an authoritative decision-maker did act, ABSTRACT SUCH ACTS.
  - c. The target is the immediate recipient(s) of the behavior undertaken by the actor. In SASS abstract only interactions which have as their target the entities listed in the instructions for coding Variable No. 1 (see section 7, paragraph d). Note that codes 9280 and 9999 may be targets of interaction but not actors.
    - i. The target of the action will be represented by the direct or indirect object of the sentence.

- ii. To be abstracted, the interaction must have an explicit (that is, specified) direct target.
- d. An interaction is considered to have taken place and therefore **MUST BE ABSTRACTED** if the **TWO** following conditions hold:
  - i. The actor and target are SASS subjects (see list for Variable 1) and the actor is different from the target. In other words, the interaction must be directed toward or have some intended affect upon an entity external in territory or formal allegiance to the actor. However, when the target is an I.O. (codes 2040, 2140, 4210, 4280, 4281, 4282, 9700, 9701) **DO NOT ABSTRACT** actions stating mere attendance at regularly scheduled meetings of the I.O. But do abstract interactions which describe any specific participation in such meetings as well as attendance at extraordinary meetings.
  - ii. The interaction is explicitly attributed as the result of some external source. (The following would be abstracted as an interaction: "Malawi announced it would close its borders to terrorists in response to Portuguese demands." Actor=Malawi, Target=Portugal, Action=Yield. The following is not an interaction because no direct target is evident: "The Angolan government reduced its development budget because of continued low prices of coffee on the world market.")
- e. Interactions may be either verbal statements or physical behavior. Sometimes verbal statements accompany physical behavior, thus raising the question as to whether one or two interactions should be abstracted.
  - i. Mixed verbal-physical behavior should be treated as **ONE PHYSICAL INTERACTION** if the verbal statement is an announcement or explanation of the physical behavior **AND IF** no relevant behavior of the target intervenes between them. (For example: Unless there is a comment by Malawi between the announcement of a loan by South Africa to Malawi, the interaction is the loan, **NOT THE ANNOUNCEMENT**) e.g. "Malawi spokesman said that their country would receive a \$10 million loan from the Republic of South Africa." Actor=Malawi, Target=South Africa, Action=Accept. Note that if the sentence reads, "Prime Minister Voster announced that South Africa would provide a \$10 million loan to Malawi for development projects in agriculture," the interaction would be Actor=South Africa, Target=Malawi, Action=Reward. (Note that it is quite possible that the same interaction is announced, explained, or commented upon by both parties to the interaction. In such cases **EACH** instance mentioning the action **MUST BE ABSTRACTED.**)
  - ii. Mixed verbal-physical behavior should be treated as **TWO DIFFERENT INTERACTIONS** when a relevant behavior by the target intervenes between them (For example, the

following text yields three actions: "Rhodesian authorities announced that they would close their border with Zambia. President Kaunda immediately protested this action."

1. Actor=Rhodesia, Target=Zambia, Action=Negative Intention.
2. Actor=Zambia, Target=Rhodesia, Action=Protest.
3. Actor=Rhodesia, Target=Zambia, Action=Reduce Relationship.

- f. When--consistent with rules a to e--there is a choice between one broad macro interaction and a series of more micro interactions, BE SURE TO ABSTRACT THE MICRO INTERACTIONS. (For example, the following text yields five interactions: "At the conclusion of a visit to Dar es Salaam, Presidents Kaunda and Nyerere agreed to coordinate their policies toward Southern Africa and to meet again in six months time for further discussions on this problem.")
1. Actor=Zambia, Target=Tanzania, Action=Consult-Visit (by Kaunda)
  2. Actor=Zambia, Target=Tanzania, Action=Agree (to coordinate policies)
  3. Actor=Tanzania, Target=Zambia, Action=Agree (to coordinate policies)
  4. Actor=Zambia, Target=Tanzania, Action=Agree (to meet again)
  5. Actor=Tanzania, Target=Zambia, Action=Agree (to meet again)
- g. With respect to international conferences, abstract any specific participation by the actor and abstract a general item concerning any agreement or disagreement with a final communique issued by the conference. (For example, the following text yields six interactions: "At the Kinshasa Conference of Southern African Liberation Movements representatives of FRELIMO urged PAC and ANC to form a joint command for the liberation of South Africa. This motion was approved by the Conference over the objections of both South African nationalist groups who then refused to sign the conference's final communique.")
1. Actor=FRELIMO, Target=PAC, Action=Negative Propose (joint command).
  2. Actor=FRELIMO, Target=ANC, Action=Negative Propose (joint command).
  3. Actor=PAC, Target=FRELIMO, Action=Reject (proposal).
  4. Actor=ANC, Target=FRELIMO, Action=Reject (proposal).
  5. Actor=PAC, Target=FRELIMO, Action=Accuse (disapprove communique).
  6. Actor=PAC, Target=FRELIMO, Action=Accuse (disapprove communique).
- h. An action which continues over a period of time should be abstracted only once so long as SPECIFIC expectations arising out of that action are fulfilled. The failure or change in those expectations also is abstracted once.

(For example: "Lesotho announced it will establish an embassy to the United States in Washington," is an interaction where Actor=Lesotho, Target=USA, Action=Increase Relationships (level of diplomatic relations). "Lesotho replaced its Ambassador in Washington" is not an interaction as it continues expectations generated by the previous interaction. However, "Lesotho breaks diplomatic relations with America over U.S. support for South Africa," is an interaction as it is a failure of previous expectations where Actor=Lesotho, Target=U.S.A., Action=Reduce Relationship. Finally, "A Lesotho Trade Commission has been established in New York City," is a change in expectations where Actor=Lesotho, Target=USA, Action=Increase Relationships.)

- i. Events involving rebellion, insurgency, and subversion are to be abstracted as event interactions as long as both actor and targets are SASS subjects. (For example, the following text yields two interactions, "The JOHANNESBURG STAR reports that Rhodesian army and police forces have killed 'over a dozen' ZANU and ZAPU terrorists during the past week."
  1. Actor=Rhodesia, Target=ZAPU, Action=Force
  2. Actor=Rhodesia, Target=ZANU, Action=Force (2)

#### 4. Act abstraction:

- a. Once you have identified an interaction by reading the assigned textual material it must then be abstracted and recorded on the code sheet. ALWAYS PRINT THE ACT.
- b. The most direct way to identify interactions is to seek out in the text VERBS that represent physical or verbal behavior of SASS actors. Once such verbs have been found, check the text against the preceding definition of an event interaction (sections 1 and 3, paragraphs 3a-3d) to see if the actor is a SASS subject and if the object of the action verb is also a SASS entity (see section 7, paragraph d for a list of SASS actors and targets).
- c. The interaction is to be printed on the code sheet in the form of a declarative sentence. Such sentences are in the form of:
  - i. A singular, plural, or compound subject (actors),
  - ii. ONE transitive verb that states something rather than asks a question or gives a command and that has an object (action),
  - iii. A singular, plural, or compound direct object of the verb (targets) and frequently,
  - iv. An indirect object of the verb or a prepositional phrase (issue-area).
- d. Thus, the model event interaction will take the following format:
 

"The OAU warned South Africa that the continuation of its apartheid policy was a threat to world peace."  
 SUBJECT/ACTOR= Organization of African Unity  
 VERB/ACTION= Warn

DIRECT OBJECT/TARGET= South Africa  
 PHRASE/ISSUE-AREA(S)= Apartheid, Peace.

- e. To transform the identified event interaction into the S.V.O. format and to put it on the code sheet ask and answer the following questions:

i. Q. Who or What is acting?

A. The answer will give you the subject of the sentence and the actor in the interaction. Place the answer in ITEM 1, line 1 of the code sheet. N.B. Frequently the actor will act with other actors, be sure to record this as part of the subject of the sentence.

ii. Q. What did the actor do?

A. The answer will give you the verb of the sentence. Remember, there can be only ONE VERB per event interaction. Enter the complete verb in ITEM 1, line 2 on the code sheet.

iii. Q. Actor X did Y. What completes the meaning of verb Y?

A. The answer to this question will give you the direct object of the verb. For example, X announced WHAT? X gave WHAT? The direct object of the verb will tell you either the direct target of the interaction or the issue-area. Enter the direct object in ITEM 1, line 3.

iv. Q. Actor X did Y to whom or what?, or for whom or what?, or with whom or what?, or regarding, concerning, against, etc., whom or what?

A. The answer will give you the indirect object of the verb or the object of a prepositional phrase. This will frequently tell you the direct target of the event interaction or the issue-area.

f. An example:

TEXT: Addressing the Tanzanian National Assembly in Dar es Salaam, the Chief Minister of KwaZulu said his people desired total independence from South Africa."

i. Q. Who or What is acting?

A. "The Chief Minister of KwaZulu."

ii. Q. What did the Minister do?

A. "Addressed the Tanzanian National Assembly"; "said his people wanted independence...".

iii. Q. What completes the meaning of "addressed" and "said"?

A. "The TANZANIAN NATIONAL ASSEMBLY"; "that HIS PEOPLE DESIRED TOTAL INDEPENDENCE FROM SOUTH AFRICA."

iv. Q. The Chief Minister addressed what? He said X to whom?

A. "The TANZANIAN NATIONAL ASSEMBLY."  
 "to the TANZANIAN NATIONAL ASSEMBLY."

v. Three event interactions have been abstracted:

1. "The Chief Minister of KwaZulu addressed the Tanzanian National Assembly."

ACTOR=KwaZulu, TARGET=Tanzania, Action= Neutral

Comment.

2. "The Chief Minister of KwaZulu said that his people desired total independence from South Africa in a speech to the Tanzanian National Assembly."

(a) ACTOR=KwaZulu, TARGET=South Africa, ACTION=Negative Intention.

(b) ACTOR=KwaZulu, TARGET=Tanzania, ACTION=Positive Intention.

5. As the example in section 4, paragraph f of above illustrates, event interactions may have multiple subjects/actors and multiple objects/targets. In such cases, a code sheet, ITEM 1, must be completed for each possible pair of actors and targets BECAUSE EACH EVENT INTERACTION HAS ONE AND ONLY ONE ACTOR AND TARGET.

- a. Thus, the following event yields 6 event interactions and 6 code sheets must be completed, one for each unique pair of actors and targets. However, the sentence describing the event in ITEM 1 of the code sheet will be the same on each sheet. "Zambian and Tanzanian delegates to the United Nations sponsored a General Assembly Resolution condemning South African control of Namibia."
  1. ACTOR=Zambia, TARGET=UNO, ACTION=Neutral Propose.
  2. ACTOR=Tanzania, TARGET=UNO, ACTION=Neutral Propose.
  3. ACTOR=Zambia, TARGET=South Africa, ACTION=Negative Propose.
  4. ACTOR=Tanzania, TARGET=South Africa, ACTION=Negative Propose.
  5. ACTOR=Zambia, TARGET=Namibia, ACTION=Positive Propose.
  6. ACTOR=Tanzania, TARGET=Namibia, ACTION=Positive Propose.
- b. A simple rule to determine the number of code sheets to prepare is to count the number of SASS actors and targets EXPLICITLY MENTIONED in the event and multiply to get the product. Here actors are 2(Zambia and Tanzania) and targets are 3(UNO, South Africa, Namibia) giving  $2 \times 3 = 6$  code sheets. Note again that each code sheet will have the identical event printed in ITEM 1 and that only when the actors and targets are coded will the events be distinguishable.

6. Be sure to reread the abstracted event interaction now printed on the top three lines of the code sheet under ITEM 1 to check that it is a complete, meaningful sentence. If it is, you may now proceed to describing the interaction, which means coding it along a number of dimensions or variables.

## INSTRUCTIONS FOR THE CODING OF EVENT INTERACTIONS

## 7. Variable 1, Columns 1-4

## ACTOR IDENTIFICATION NUMBER

- a. The subject of the sentence, line 1, ITEM 1, must be one of the SASS actors given in the following list. Place on the code sheet the correct four digit (4) code number for the actor represented by the subject.
- b. Put the code number on the code sheet in a RIGHT JUSTIFIED manner and do this for all subsequent variables.
- c. In cases where there is a compound subject giving two or more actors acting jointly, there should be a separate code sheet for each actor and each target. Therefore, only one actor code is ever entered for variable 1 on the code sheet.
- d. SASS Actors and Targets are:

## CODE NUMBER

## DESCRIPTION

## I. CORE STATES

|      |                                                                                                                                            |
|------|--------------------------------------------------------------------------------------------------------------------------------------------|
| 5400 | ANGOLA, Colonial Government of, (i.e., Portuguese authorities in Angola and any government/administration formed after April 1974)         |
| 5410 | MOZAMBIQUE, Colonial Government of, (i.e., Portuguese authorities in Mozambique and any government/administration formed after April 1974) |
| 5520 | RHODESIA (Zimbabwe), Government of                                                                                                         |
| 5530 | MALAWI (Nyasaland), Government of                                                                                                          |
| 5600 | REPUBLIC OF SOUTH AFRICA (Anzania), Government of                                                                                          |
| 5650 | NAMIBIA (South West Africa), South African administration of                                                                               |
| 5700 | LESOTHO (Basutoland), Government of                                                                                                        |
| 5710 | BOTSWANA (Bechuanaland), Government of                                                                                                     |
| 5720 | SWAZILAND, Government of                                                                                                                   |

## II. LIBERATION MOVEMENTS

|      |                                                                                                                                                                                                                                                                   |
|------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 5401 | MPLA Movimento Popular de Libertacao de Angola (Popular Movement for the Liberation of Angola)                                                                                                                                                                    |
| 5402 | UNITA Uniao Nacional para l'Independencia Total de Angola (National Union for the Total Independence of Angola)                                                                                                                                                   |
| 5403 | GRAE/FLNA Governo Revolucionario de Angola no Exilio/Frente Nacional de Libertacao de Angola (The Revolutionary Government of Angola in Exile/The National Liberation Front of Angola)<br>Also: UPA Uniao das Populacoes de Angola (Union of Angolan Populations) |
| 5411 | COREMO Revolutionary Committee of Mozambique)                                                                                                                                                                                                                     |
| 5412 | FRELIMO Frente de Libertacao de Mocambique                                                                                                                                                                                                                        |

5413 (Front for the Liberation of Mozambique)  
 5521 MOLIMO (Movement for the Liberation of Mozambique)  
 5522 ZANU (Zimbabwe African Nationalist Union)  
 5523 ZAPU (Zimbabwe African People's Union)  
 5524 FROLIZI (Front for the Liberation of Zimbabwe)  
 5524 United Nationalist Movement in Rhodesia (Zimbabwe)  
 after November 1974  
 5601 ANC (African National Congress)  
 5602 PAC (Pan-Africanist Congress)  
 5651 SWANU (South West African National Union)  
 5652 SWAPO (South West African People's Organization)

### III. "BANTU" HOMELANDS IN SOUTH AFRICA

5603 BOPHUTHA TSWANA, Government of  
 5604 Ciskei, Government of  
 5605 GAZANKULU, Government of  
 5606 KWAZULU, Government of  
 5607 LEBOWA, Government of  
 5608 TRANSKEI, Government of  
 5609 VHAVENDA, Government of

### IV. PERIPHERAL POWERS

4900 ZAIRE (Congo, Kinshasa), Government of  
 5100 TANZANIA, The United Republic, Government of  
 5510 ZAMBIA (Northern Rhodesia), Government of  
 5800 MALAGASY REPUBLIC (Madagascar), Government of  
 5900 MAURITIUS, Government of

#### A. INTRUSIVE POWERS

0020 UNITED STATES OF AMERICA, Government of  
 1400 BRAZIL, Government of  
 2000 UNITED KINGDOM, Government of  
 2100 NETHERLANDS, Government of  
 2200 FRANCE, Government of  
 2350 PORTUGAL, Government of  
 2550 WEST GERMANY (G.F.R.), Government of  
 3650 U.S.S.R., Government of  
 7100 PEOPLE'S REPUBLIC OF CHINA, Government of  
 7400 JAPAN, Government of

#### B. ORGANIZATIONS

2040 NATO (North Atlantic Treaty Organization)  
 2140 EC (The European Community, EEC, The Common  
 Market)  
 4210 CUSA (Customs Union of Southern Africa)  
 4280 OAU (Organization of African Unity) including  
 all Commissions, Committees of the OAU except  
 codes 4281 and 4282.  
 4281 OAU AFRICAN LIBERATION COMMITTEE

- 4282 OAU COMMITTEE OF FIVE ON RHODESIA
- 9700 UNO (United Nations Organization) including all  
branches, suborganizations and committees  
except code 9701
- 9701 UNITED NATIONS COUNCIL ON NAMIBIA

#### VI. OTHER CATEGORIES (as targets of action only)

- 9280 SOUTHERN AFRICA as a region without reference  
to a more specific target
- 9999 UNSPECIFIED OR UNCLEAR TARGET

#### 8. Variable 2, Columns 5-10

##### DATE OF EVENT

- a. Code the date of the event as follows:

Yr/Mo/Dy/

Year 73-74 and so on

Month 01 to 12

Day 01 to 31 or 99 if unknown

Thus, an event interaction reported to have occurred  
on July 14, 1974 would be coded:

740714

and right justified on the code sheet.

- b. There are two types of event interactions: (i) acts  
whose exact date is known. Code them as described  
in section 8, paragraph a above. Where the date of  
the event is not contained in the text, use the date  
of the original radio account or if it is from a news-  
paper source, assume the act occurred the day prior  
to publication unless the text indicates otherwise.  
(ii) For events whose exact date of occurrence is  
not known, code year and month as above and day as  
99. If year or month are not known, do not code the  
interaction.
- c. The beginning date of the SASS study is January 1, 1973.  
Therefore code no events prior to 730101 or 730199.

#### 9. Variable 3, Columns 11-12

##### SEQUENCE NUMBER

- a. The first event abstracted and coded for EACH ACTOR  
and EACH TARGET on EACH DAY is coded 01. The next  
act 02 and so on up to 79.
- b. If an event has a 99 code for day, indicating that  
the day of the event is unknown, code sequence number  
80 to 99 for EACH ACTOR AND TARGET for EACH MONTH.

#### 10. Variable 4, Columns 13-16

##### TARGET IDENTIFICATION NUMBER

- a. The object of the sentence, line 3, ITEM 1, must con-  
tain one of the SASS targets given in the list, section  
7, paragraph d. The object may contain other targets  
as well, just as it may contain actors in addition to

at least one SASS actor, but these are not to be coded as targets or actors. Place on the code sheet in a right justified manner the correct four digit (4) code number for the target represented by the object.

- b. Note that codes 9280 "Southern Africa" and 9999 "Unspecified or Unclear Target" may be targets to be coded for variable 4, but they may not be actors.
- c. In cases where there is an event containing two or more legitimate SASS targets, there should be a separate code sheet for each target and each actor. Therefore, only one target code is ever entered for variable 4 on the code sheet.

11. In coding variables 1 to 4 in columns 1-16 you have created a unique identification number of 16 digits for each separate act. That is, whereas it is possible to have an actor interact with a target several times on the same day or during the same month (day of event unknown), the sequence numbers, variable 3, will be different for each event, thus ensuring a unique I.D. for each event. Obviously, in other cases the actor, target, date or a combination of these will be different for each event.

12. Selected examples of how variables 1 to 4 are to be coded in order to create unique I.D. numbers

- a. "Tanzania breaks diplomatic relations with the United States" (Date: June 22, 1974)
  - (1) 5110740622010020 (Tanzania-->USA)
- b. President Nyerere confers with Presidents Kaunda and Mobutu in Lusaka, Zambia." (Date: June 22, 1974)
  - (2) 5100740622015510 (Tanzania-->Zambia)
  - (3) 5100740622014900 (Tanzania-->Zaire)
  - (4) 5510740622015100 (Zambia-->Tanzania)
  - (5) 5510740622014900 (Zambia-->Zaire)
  - (6) 4900740622015100 (Zaire-->Tanzania)
  - (7) 4900740622015510 (Zaire-->Zambia)
- c. "In a joint communique, Presidents Mobutu, Kaunda, and Nyerere condemned U.S. support of South Africa" (Date: June 22, 1974)
  - (8) 5100740622020020 (Tanzania-->USA) see #1
  - (9) 5100740622015600 (Tanzania-->RSA)
  - (10) 5510740622010020 (Zambia-->USA)
  - (11) 5510740622015600 (Zambia-->RSA)
  - (12) 4900740622010020 (Zaire-->USA)
  - (13) 4900740622015600 (Zaire-->RSA)
- d. "At a press conference in Lusaka, President Nyerere declared U.S. support of South Africa was an affront to black men everywhere." (Date: June 22, 1974).
  - (14) 5510740622030020 (Tanzania-->USA) see #1,8
  - (15) 5510760622025600 (Tanzania-->RSA) see #9
- e. "At a Press Conference in Dar es Salaam, a government spokesman said that a Tanzanian trade mission was en route to Peking." (Date: December 1, 1973)
  - (16) 5510731299017100 (Tanzania-->China)

- f. "At a Press Conference in Dar es Salaam, a government spokesman said that Tanzania would sign this month a cultural exchange agreement with the People's Republic of China." (Date: December 1, 1973)

(17) 5510731299027100 (Tanzania-->China) see #16

13. Variable 5, Columns 20-23

EVENT ACTION CATEGORY

- a. The event interaction listed in ITEM 1 of the code sheet can be considered as a unit-of-analysis--something we wish to describe, explain, and predict. We describe event interactions by coding variables 1 to 19. First of all we wish to describe the event as a whole unit. We do this by asking ourselves: "What type of action is this?" The answer to this question is one and only one of the 40 coding categories listed in the following chart (Page 14). Thus, to code variable 5 one selects the four digit code number from the chart which best describes the event as a whole. WRITE THIS FOUR DIGIT CODE NUMBER IN THE SPACE PROVIDED ON THE CODE SHEET FOR VARIABLE 5. The process of doing this is complex, but can be broken down into a series of simple questions and answers as follows:
- b. First, examine the chart "Categories of Actions between Actors." (3) Note that it is organized into two rows--conflict and cooperation--and 4 columns--verbal evaluation, verbal desire, verbal intent, and non-verbal deeds. This system gives eight boxes or cells in the chart numbered 1 to 8. Odd numbered cells 1, 3, 5, 7, are conflictful and even numbered cells are cooperative 2, 4, 6, 8. Cells 1 to 6 describe verbal behavior and cells 7 and 8 describe physical actions or deeds. THE FIRST PROBLEM YOU MUST SOLVE, THEN, IS TO WHAT CELL DOES YOUR ACT BELONG.
- c. Read the act carefully and ask:
  - (1) Is the action engaged in verbal behavior or physical behavior? Verbal behavior involves the use of words in the form of statements, declarations, press releases, communiques, speeches, discussions, negotiations, diplomatic notes, agreements and other forms of verbal activity. Verbal behavior is thus something SAID or WRITTEN by the actor. Physical behavior involves deeds other than saying or writing something. In international affairs this may be giving or receiving aid, paying official visits, closing borders, dropping bombs, and so on. In general, if the actor's behavior involves doing something in addition to saying or writing, it is a physical behavior and if it is only a spoken or written statement, it is verbal behavior.
  - When you have answered this question you will know that your act belongs in either cells 1 to 6 (verbal behavior) or cells 7 to 8 (physical behavior). IF IT IS VERBAL PROCEED TO d. IF IT IS PHYSICAL, PROCEED TO e.
- d. Verbal behavior can be further classified into three sub-categories: (1) the actor's stated EVALUATION or PER-

## CATEGORIES OF ACTION BETWEEN ACTORS

| V E R B A L ("words")                                              |                                                                                                                                                                                                                                         |                                                                                                                                                                                                                                                                                                                                 | N O N - V E R B A L ("deeds")                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
|--------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Actor's Evaluation, Perception of Past or Current Action by Target | Actor's Desire for Future Action by Target                                                                                                                                                                                              | Actor's Intent Regarding Own Possible Future Action Vis-a-Vis Target                                                                                                                                                                                                                                                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| CONFLICT                                                           | (1)<br>1140 DENY (deny accusation, attributed action, or policy)<br><br>1120 ACCUSE (charge, criticize, blame, disapprove, denounce, denigrate)<br><br>1020 NEGATIVE COMMENT (comment on situation, explain policy undesired by target) | (3)<br>3150 DEMAND (order, command, insist, demand compliance)<br><br>3130 PROTEST (make formal or informal complaint)<br><br>3100 NEGATIVE PROPOSE (offer proposal, urge, suggest action, policy undesired by target)<br><br>3090 NEGATIVE REQUEST (appeal, ask for information, aid, action in context undesirable to target) | (5)<br>5170 THREATEN (threaten to take future action undesired by target, with or without specific negative sanctions: a contingency: "If... then statement")<br>5160 WARN (warn of a future situation or action undesired by target. Warn against action by target undesired by actor)<br>5110 REJECT (turn down proposal, protest, demand, threat; refuse, oppose, harden position)<br>5020 NEGATIVE INTENTION (explain future policy undesired by target)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
|                                                                    | (2)<br>2020 POSITIVE COMMENT (comment on situation, explain policy desired by target)<br><br>2040 APPROVE (praise, hail, applaud, support, thank)                                                                                       | (4)<br>4090 POSITIVE REQUEST (appeal, ask for action, aid, information, policy in context desirable to target)<br><br>4100 POSITIVE PROPOSE (offer proposal, urge, suggest action, policy desired by target)<br>4250 NEGOTIATE (participate in substantive talks, negotiations on specific issue or interest area)              | (6)<br>6020 POSITIVE INTENTION (explain future policy desired by target)<br>6100 OFFER (offer to take future action desired by target)<br>6050 PROMISE (assure of future action desired by target)<br>6080 AGREE (accept proposal, agree to meet or negotiate, agree to future action, substantive agreement)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
|                                                                    | 9020 NEUTRAL COMMENT                                                                                                                                                                                                                    | 9090 NEUTRAL REQUEST<br>9100 NEUTRAL PROPOSE                                                                                                                                                                                                                                                                                    | 9020 NEUTRAL INTENTION                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| NEUTRAL                                                            |                                                                                                                                                                                                                                         |                                                                                                                                                                                                                                                                                                                                 | (8)<br>8010 YIELD (surrender, submit, retreat, evacuate)<br>8030 CONSULT-VISIT (make official visits, participate in a meeting involving foreign travel for at least one participant, consult) with some foreign official at home or abroad)<br>8060 GRANT (end negative sanctions, end conflictful action, end threat of conflict action; express regret, apologize; give invitation, asylum, privilege, diplomatic recognition, release, return persons, property)<br>8070 REWARD (give economic, technical, military aid)<br>8260 REDUCE MILITARY CAPABILITY (reduce military spending, troop levels, reduce readiness for military action)<br>8270 CARRY OUT AGREEMENT (implementation by actor of a previous agreement, e.g., a diplomatic, economic, cultural or military agreement. Host conferences)<br>8290 INCREASE RELATIONSHIP (increase economic, diplomatic relations)<br>8300 ACCEPT (accept or receive official visits, economic, financial, cultural, military aid or support) |

CEPTION of past or current action by the target (e.g., disapproval or approval), (2) the actor's stated DESIRE for future action by the target (e.g., demands, proposals), and (3) the actor's stated INTENT regarding ITS OWN POSSIBLE FUTURE ACTION vis-a-vis the target (e.g., threats, promises). These three verbal subcategories generally represent three increasing levels of commitment to deeds or the probability that the actor's words will be followed by related deeds (e.g., that a verbal threat will be carried out). Thus, read the act carefully and ask:

- (2) What is the level of commitment or apparent probability that this statement will be followed by physical action by the actor? In cells 1 and 2 the actor's EVALUATION or PERCEPTION suggests that explicit reference to future deeds is minimal. In cells 3 and 4 the actor's DESIRE indicates that future deeds are suggested or implied. In cells 5 and 6 the actor's INTENTION indicates that the likelihood of future deeds is explicit.

The answers to questions 1 and 2 have permitted you to place the act you are coding in four columns:

Verbal evaluation and perception, cells 1 and 2.

Verbal desire, cells 3 and 4.

Verbal intent, cells 5 and 6.

Physical behavior, cells 7 and 8.

- e. You must now determine the row to which your act belongs based on the distinction between conflict and cooperation. Most actions between actors can readily be classified as either conflict or cooperation. A few kinds of actions (e.g., requests by one nation for information from or action by another nation) are relatively neutral, involving verbal behavior neither strongly conflictive nor cooperative in nature. In practice, however, it is usually possible to classify such actions as conflict or cooperation according to whether the actions seem generally hostile or friendly in nature, and whether they seem generally desirable or undesirable to the target. Thus, ask and answer the following question:

- (3) Is the actor engaged in conflictful or cooperative behavior? If the actor directs an action at a target that action is considered to be conflictful if it seems UNDESIRABLE to the target, if it involves interests of the actor and target that are INCOMPATIBLE, or if it involves or suggests a NEGATIVE SANCTION by which existing valued factors (resources, capabilities) may be destroyed through interaction (e.g., through the use of military force). If an actor directs an action at a target, or if two or more parties take joint action, that action is considered to be cooperation if it seems DESIRABLE to the target or to the parties, if it involves COMPATIBLE interests of the participants, or if it involves a POSITIVE SANCTION by which new valued factors may be created

through interaction (e.g., the increase of trade through a trade treaty).

The answers to questions 1, 2, and 3 have permitted you to place the act you are coding into one and only one of the eight cells of the matrix:

- Cell 1, Conflictful verbal evaluation or perception,
- Cell 2, Cooperative verbal evaluation or perception,
- Cell 3, Conflictful verbal desire,
- Cell 4, Cooperative verbal desire,
- Cell 5, Conflictful verbal intent,
- Cell 6, Cooperative verbal intent,
- Cell 7, Conflictful physical deeds,
- Cell 8, Cooperative physical deeds.

- f. As you can see from the chart each cell contains from 2 to 8 actual coding categories. To complete coding item 3 you must ask and answer one more question:

(4) Which category in the cell best describes the behavior of the actor?

Each action category is defined in parenthesis in the chart. Depending on the cell you are working in, READ OVER THE MEANING OF EACH CATEGORY, ANSWER QUESTION 4, AND PLACE THE CORRECT CODE NUMBER IN VARIABLE 5 ON YOUR CODE SHEET. Be sure to right justify.

- g. Note, this classification scheme is exhaustive and exclusive, every possible event interaction can be coded into one and only one category of action. If you have difficulty finding a good descriptive term in your cell, begin again with questions 1 thru 4 as YOU MAY BE IN THE WRONG CELL. Remember that you are coding the action of one and only one actor toward one and only one target. So, in coding variable 5 be sure to be clear in your own mind who the actor is in this instance (see variable 1) and who the target is (see variable 4). For example:

"Lesotho backed, at the 16th meeting of the OAU Council of Ministers, a Botswana demand that the OAU Council of Ministers should adopt a resolution concerning Namibia."

This interaction has multiple targets so there will be three code sheets, one for each target. They should each be coded as follows:

Lesotho-->Botswana 2040 APPROVE  
 Lesotho-->OAU 9100 NEUTRAL PROPOSE  
 Lesotho-->Namibia 9020 NEUTRAL COMMENT

Thus, "Lesotho backed Botswana" gives 2040 APPROVE. That "Lesotho backed a Botswana demand for a resolution" is equal to Lesotho asking for a resolution from the Council of Ministers itself, for Lesotho has a desire for future action of the Council, which gives 9100 NEUTRAL PROPOSE. That "Lesotho backed a Botswana demand for a resolution concerning Namibia" is itself a comment on Namibia by Lesotho, giving 9020 NEUTRAL COMMENT. Note, you are coding Lesotho's actions toward each target, not Botswana's.

- h. As the previous example illustrates there may be in-

stances where the coder cannot distinguish between conflictful and cooperative action. The above act does not tell us how the OAU Council of Ministers felt about the Botswana demand, nor does the act tell us how Namibia felt about the Council passing a resolution about Namibia. We do know from the act that these are instances of PROPOSE and COMMENT. In such instances we determine the correct column and preface the category with a 9 code number.

Thus, when you as a coder cannot distinguish between

- i. 1020 NEGATIVE COMMENT and 2020 POSITIVE COMMENT,  
code 9020 NEUTRAL COMMENT
- ii. 3100 NEGATIVE PROPOSE and 4100 POSITIVE PROPOSE,  
code 9100 NEUTRAL PROPOSE
- iii. 3090 NEGATIVE REQUEST and 4090 POSITIVE REQUEST,  
code 9090 NEUTRAL REQUEST
- iv. 5020 NEGATIVE INTENTION and 6020 POSITIVE INTENTION,  
code 9020 NEUTRAL INTENTION

Note, the coding decision is made ONLY on the basis of information contained in the abstracted event. The coder is to suppress personal knowledge about the event or the actors involved and code only what is given. Code the entire act, i.e., DO NOT GIVE UNDUE WEIGHT TO THE ACT VERB.

- i. CODING NEGOTIATION. As indicated on the chart, the event of negotiation itself (4250, NEGOTIATE) is considered to be cooperation between parties. What occurs DURING negotiation, however, may be coded either as cooperation (e.g., softening of negotiating position, offers, constructive proposals, compromise, partial agreement) or conflict (e.g., hardening negotiating position, disagreement, rejection or a party's position, accusations, demands, threats).

CODING VISITS AND MEETINGS. If an actor leader makes an official visit to another actor, or if leaders from two or more actors hold a meeting involving foreign travel for at least one participant, such action is coded as non-verbal 8030 CONSULT-VISIT. If, during such a visit or meeting, substantive negotiations are held on a particular issue, such action is coded as verbal 4250 NEGOTIATE for each party involved.

CODING FORMAL AGREEMENTS AND TREATIES. When an actor signs a treaty or agreement or otherwise commits himself in writing to an agreement of some sort, this is coded verbal 6080 AGREE. Behavior which is the consequence of a prior agreement is coded 8270 CARRY OUT AGREEMENT.

CODING INFORMAL AGREEMENT. Agreement/Disagreement with communiques, the decisions of a meeting, etc. are coded as verbal 2040 APPROVE, or verbal 1120 DISAPPROVE.

j. Carefully check your coding decision for variable 5 as it is the most important coding category in this study and an accurate coding decision will increase the ease with which you are able to code subsequent variables.

k. Additional guidelines and specific case rules

-ATTENDANCE at ordinary OAU Council of Ministers meetings and UN General Assembly meetings are not events and are not to be coded; however, participation at these meetings or on special committees of these organizations is to be coded.

-INACTION is not an event, e.g., having "no comment" on a matter. However not attending a meeting which the actor would normally attend is a non-verbal event 7180 BOYCOTT. Being elected, appointed, or given awards is also not an event and should not be coded.

-DIPLOMATIC RECOGNITION, DIPLOMATIC RELATIONS. Granting diplomatic recognition is coded non-verbal 8060 GRANT. The establishment of diplomatic relations, including the appointment of a diplomat and the reception of diplomatic credentials is coded non-verbal 8270 CARRY OUT AGREEMENT. Increasing the level of diplomatic relations is coded non-verbal 8290 INCREASE RELATIONSHIP. Presenting diplomatic credentials in non-verbal 8030 CONSULT-VISIT. Receiving diplomatic recognition is coded non-verbal 8300 ACCEPT.

-JOINING AN ORGANIZATION, RATIFICATION of a charter are coded non-verbal 8290 INCREASE RELATIONSHIP.

-HOSTING a meeting is coded non-verbal 8270 CARRY OUT AGREEMENT. This takes the place of the ordinary 8030 CONSULT-VISIT; do not duplicate the act. This usually occurs with respect to International Governmental Organizations. Where only a few actors are present code act as 8030 even though your actor may be the "host".

-EXPRESSIONS OF "HOPE". Code as verbal, (POSITIVE, NEGATIVE, or, NEUTRAL) PROPOSE 4100, 3100, 9100.

-COMMUNIQUEES. Frequently, communiques are issued at the end of meetings, especially those involving a very few heads of state. Frequently these communiques have no target other than the states issuing them and report either the topics discussed at the meeting or the extent of their "agreement" on matters (specified or unspecified). Such events are coded verbal 2020 POSITIVE COMMENT, or 2040 APPROVE where other actor is the target. Where these communiques report that

a specific agreement has been reached, code verbal 6080 AGREE.

-ANNOUNCEMENTS. Where the abstracted event is an announcement that an act has occurred, code the act which is being announced, not the announcement of it. Where the abstracted event is an announcement of a future act, code the act as verbal 6020 or 5020, POSITIVE or NEGATIVE INTENTION.

-PROTESTS AND REQUESTS. Where actor is protesting to one actor (usually an IGO) about the behavior of another actor, code the act toward the IGO as verbal 9090 NEUTRAL REQUEST.

14. Variable 6, Columns 24-29

ACTION INTENSITY SCALE VALUE (4)

- a. On the basis of the event action category assigned when coding the previous variable, assign one and only one of the following values to the event on the code sheet:

| VALUE | DESCRIPTION                       |
|-------|-----------------------------------|
| 21.79 | Accept 8300                       |
| 21.79 | Increase Relationship 8290        |
| 21.79 | Carry Out Agreement 8270          |
| 11.41 | Reward 8070                       |
| 9.30  | Negotiate 4250                    |
| 8.59  | Consult-Visit 8030                |
| 7.73  | Agree 6080                        |
| 6.95  | Positive Propose 4100             |
| 6.59  | Offer 6100                        |
| 6.34  | Grant 8060                        |
| 6.30  | Approve 2040                      |
| 1.54  | Positive Request 4090             |
| 1.04  | Promise 6050                      |
| .52   | Yield 3010                        |
| .52   | Reduce Military Capability 8260   |
| .01   | Positive Comment 2020             |
| .01   | Positive Intention 6020           |
| -1.15 | Reduce Relationship 7190          |
| -2.78 | Negative Comment 1020             |
| -2.78 | Negative Propose 3100             |
| -2.78 | Negative Request 3090             |
| -2.78 | Warn 5160                         |
| -2.78 | Negative Intention 5020           |
| -2.78 | Increase Military Capability 7230 |
| -3.26 | Demonstrate 7180                  |
| -3.26 | Aid Opponent 7240                 |
| -3.48 | Deny 1140                         |
| -3.92 | Protest 3130                      |
| -7.05 | Accuse 1120                       |

|        |               |
|--------|---------------|
| -8.32  | Reject 5110   |
| -9.34  | Expell 7200   |
| -10.05 | Demand 3150   |
| -11.30 | Threaten 5170 |
| -11.75 | Subvert 7280  |
| -12.50 | Seize 7210    |
| -16.78 | Force 7220    |

999999 Neutral Comment 9020, Neutral Request 9090  
Neutral Propose 9100, Neutral Intention 9020

15. Variable 7, Columns 30-33

ISSUE-AREA CATEGORY (FIRST).

- a. For the purposes of SASS, an issue is defined as an EVENT-INTERACTION between two or more identifiable ACTORS over PROCEDURAL OR SUBTANTIVE MATTERS relating to the distribution of VALUES in terms of positions or resources.
- b. EVENT-INTERACTIONS are defined in section 1. ACTORS AND TARGETS are defined in section 3, paragraphs b and c.
- c. Therefore, in SASS, ISSUE-AREAS are those VALUES over which states interact and the SUBSTANTIVE AND PROCEDURAL MATTERS through which actors attempt to secure those values.
- d. In most cases, the direct and/or indirect object of the sentence (event-interaction) found on line 3, ITEM 1, will indicate some VALUE or SUBSTANTIVE OR PRODECURAL MATTER that relates to the interaction. That is to say, event-interactions are thought to be undertaken to control the behavior of the target with respect to some value or substantive or procedural matter of JOINT Interest to actor and target. To code the issue-area one must first determine the value cluster in question and second, the substantive or procedural matter that is an EMPIRICAL MANIFESTATION of the value.
- e. Most event-interactions will relate to ONE OR MORE of the following five core values:

| CODE      | DESCRIPTION                                                                                                                                                                             |
|-----------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1000-1999 | SECURITY: Interactions that involve a threat to or protection of the survival and well-being of actors and/or targets AND the means by which this threat or protection is accomplished. |
| 2000-2999 | TERRITORY: Interactions that involve a threat to or protection of actor and/or target control over, use of, or access to earth-space, including land, air, sea, and ocean floor.        |
| 3000-3999 | STATUS: Interactions that involve a threat to or protection of the condition of actors and/or targets in their external                                                                 |

- relations with each other and in their autonomy or dependence.
- 4000-4999 HUMAN RESOURCES: Interactions that involve a threat to or protection of the well-being, improvement, or life-chances of human beings, individually or in groups that are PART OF actors and/or targets (compare to security which refers to the survival or well-being of actors and/or targets as entities.)
- 5000-5999 NONHUMAN RESOURCES: Interactions that involve a threat to or protection of the allocation of financial and physical goods and services to actors and/or targets and to PARTS OF actors and/or targets.
- 9999 Interactions which contain no information about the VALUES concerning which actor and target have interacted.
- f. Each event-interaction may concern a number of such values. These may number three or more, or none because of lack of information. Carefully examine the interaction and determine how many values are concerned and which type of values are evident.
- i. In SASS, we will code up to three issue-areas per interaction. If no values are evident, code variables 7 to 9 as 9999. If two issue areas are evident, code variable 9 as 9999, If only one value is evident, code variables 8 and 9 as 9999. IF VARIABLES 7 TO 9 ARE CODED AS 9999, PROCEED TO SECTION 18. If at least variable 7 is NOT coded 9999, proceed to paragraph g.
- g. For variables 7-9, at least one of these and as many as all three are not coded 9999. This means that you have decided that for each non-9999 case, one of the values described in section 15, paragraph e applies. For each case not coded 9999 assign a digit 1-5 that characterizes the value at issue in the appropriate place on the code sheet.
- h. For each variable 7-9 not coded 9999, but coded 1, 2, 3, 4, or 5, you must now determine the last three digits that best describe the substantive or procedural matter that is an empirical manifestation of the value at issue. WITHIN EACH VALUE CONCERN select the ISSUE-AREA that best describes the event interaction from the following list of codes and place it on the code sheet in the appropriate variable-line. Note: you may have to make just one decision, or as many as three depending upon how many values are explicitly mentioned in the event-interaction (ITEM 1, line 3) (5).
- i. Note that if there is not an already designated 4

## SECURITY (1000-1999)

|                                   | Nuclear Weapons/<br>Nuclear Capability<br>(1100-1199) | Conventional<br>Military<br>Activity<br>and/or Weapons<br>(1200-1299) | Guerrilla/<br>Liberation/<br>Counter-<br>Insurgency<br>Activity or<br>Weapons<br>(1300-1399) | Espionage<br>(1400-1499) | Revolution/<br>Intervention<br>(1500-1599) | Peace/<br>Unity/<br>Detente/<br>Tensions<br>(1600-1699) | Other<br>(1700-1799) |
|-----------------------------------|-------------------------------------------------------|-----------------------------------------------------------------------|----------------------------------------------------------------------------------------------|--------------------------|--------------------------------------------|---------------------------------------------------------|----------------------|
| 1. Combat use of troops           |                                                       |                                                                       |                                                                                              |                          |                                            |                                                         |                      |
| bases or arms.....                | 1101                                                  | 1201                                                                  | 1301                                                                                         | 1401                     |                                            |                                                         |                      |
| 2. Military aid.....              | 1102                                                  | 1202                                                                  | 1302                                                                                         | 1402                     |                                            |                                                         |                      |
| 3. Military sales, purchase       |                                                       |                                                                       |                                                                                              |                          |                                            |                                                         |                      |
| of.....                           | 1103                                                  | 1203                                                                  | 1303                                                                                         | 1403                     |                                            |                                                         |                      |
| 4. Expenditures for.....          | 1104                                                  | 1204                                                                  | 1304                                                                                         | 1404                     | 1504                                       |                                                         |                      |
| 5. Loan of equipment.....         | 1105                                                  | 1205                                                                  | 1305                                                                                         |                          |                                            |                                                         |                      |
| 6. Training, maneuvers.....       | 1106                                                  | 1206                                                                  | 1306                                                                                         | 1406                     |                                            |                                                         |                      |
| 7. Testing.....                   | 1107                                                  | 1207                                                                  | 1307                                                                                         |                          |                                            |                                                         |                      |
| 8. Arms control,                  |                                                       |                                                                       |                                                                                              |                          |                                            |                                                         |                      |
| limitations of.....               | 1108                                                  | 1208                                                                  | 1308                                                                                         | 1408                     | 1508                                       |                                                         |                      |
| 9. Limitations on delivery        |                                                       |                                                                       |                                                                                              |                          |                                            |                                                         |                      |
| systems.....                      | 1109                                                  |                                                                       |                                                                                              |                          |                                            |                                                         |                      |
| 10. Non-proliferation treaty..... | 1110                                                  |                                                                       |                                                                                              |                          |                                            | 1610                                                    |                      |
| 11. Force cuts.....               | 1111                                                  | 1211                                                                  | 1311                                                                                         |                          |                                            |                                                         |                      |
| 12. Arms races.....               | 1112                                                  | 1212                                                                  |                                                                                              |                          |                                            |                                                         |                      |
| 13. Espionage concerning.....     | 1113                                                  | 1213                                                                  | 1313                                                                                         | 1413                     |                                            |                                                         |                      |
| 14. Terrorism, torture,           |                                                       |                                                                       |                                                                                              |                          |                                            |                                                         |                      |
| kidnapping.....                   |                                                       |                                                                       | 1314                                                                                         | 1414                     | 1514                                       |                                                         |                      |
| 15. Revolution.....               |                                                       |                                                                       | 1315                                                                                         |                          | 1515                                       |                                                         |                      |
| 16. Intervention, invasion,       |                                                       |                                                                       |                                                                                              |                          |                                            |                                                         |                      |
| use of.....                       | 1116                                                  | 1216                                                                  | 1316                                                                                         |                          | 1516                                       |                                                         |                      |
| 17. Subversion.....               |                                                       |                                                                       |                                                                                              | 1417                     | 1517                                       |                                                         |                      |
| 18. Peace proposals,              |                                                       |                                                                       |                                                                                              |                          |                                            |                                                         |                      |
| negotiations.....                 | 1118                                                  | 1218                                                                  | 1318                                                                                         |                          |                                            | 1618                                                    |                      |
| 19. Attempts at unity             |                                                       |                                                                       |                                                                                              |                          |                                            |                                                         |                      |
| or detente.....                   |                                                       |                                                                       |                                                                                              |                          |                                            | 1619                                                    |                      |
| 20. General tensions              |                                                       |                                                                       |                                                                                              |                          |                                            |                                                         |                      |
| regarding.....                    | 1120                                                  | 1220                                                                  | 1320                                                                                         | 1420                     | 1520                                       | 1620                                                    |                      |
| 21. Balance of tensions,          |                                                       |                                                                       |                                                                                              |                          |                                            |                                                         |                      |
| power regarding.....              | 1121                                                  | 1221                                                                  |                                                                                              |                          |                                            | 1621                                                    |                      |
| 22. Use of IGO's regarding.....   | 1122                                                  | 1222                                                                  | 1322                                                                                         | 1422                     |                                            | 1622                                                    |                      |
| 23. Alliances regarding.....      | 1123                                                  | 1223                                                                  |                                                                                              |                          | 1523                                       |                                                         | 1723                 |
| 24. NATO regarding.....           | 1124                                                  |                                                                       |                                                                                              |                          |                                            |                                                         | 1724                 |
| 25. Prisoners of War.....         |                                                       |                                                                       | 1325                                                                                         |                          |                                            |                                                         | 1725                 |
| 26. Defense personnel,            |                                                       |                                                                       |                                                                                              |                          |                                            |                                                         |                      |
| visits and relations.....         |                                                       |                                                                       |                                                                                              |                          |                                            |                                                         | 1726                 |
| 27. Not otherwise specified.....  | 1199                                                  | 1299                                                                  | 1399                                                                                         | 1499                     | 1599                                       | 1699                                                    | 1799                 |

## TERRITORY (2000-2999)

|                                                     | Air Space<br>and Airflight<br>(2100-2199) | Land Rights<br>(2200-2299) | Water and<br>Seabed Rights<br>(2300-2399) | Other Territorial<br>Rights<br>(2400-2499) |
|-----------------------------------------------------|-------------------------------------------|----------------------------|-------------------------------------------|--------------------------------------------|
| 1. Air space and overflight.....                    | 2101.....                                 |                            |                                           |                                            |
| 2. Land rights.....                                 |                                           | 2202.....                  |                                           |                                            |
| 3. Border issues, disputes.....                     |                                           | 2203.....                  |                                           |                                            |
| 4. Water rights.....                                |                                           |                            | 2304.....                                 |                                            |
| 5. Territorial limit at sea.....                    |                                           |                            | 2305.....                                 |                                            |
| 6. Fishing rights, river, lake, sea.....            |                                           |                            | 2306.....                                 |                                            |
| 7. Control of or access to common<br>waterways..... |                                           |                            | 2307.....                                 |                                            |
| 8. Seabed rights (other than 9).....                |                                           |                            | 2308.....                                 |                                            |
| 9. Oil rights of seabed.....                        |                                           |                            | 2309.....                                 |                                            |
| 10. Not otherwise specified.....                    | 2199.....                                 | 2299.....                  | 2399.....                                 | 2499.....                                  |

## STATUS (3000-3999)

|                                                                                                                                          | Diplomatic Status<br>Support or<br>Opposition<br>(3100-3199) | Use of IGO's<br>(3200-3299) | Ideology/Autonomy<br>Dependency<br>(3300-3399) | Other Status Issues<br>(3400-3499) |
|------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------|-----------------------------|------------------------------------------------|------------------------------------|
| 1. Status of representatives, diplomatic<br>credentials, diplomatic immunity.....                                                        | 3101.....                                                    | 3201.....                   |                                                |                                    |
| 2. Diplomatic or official visits (with no<br>specific purpose, if purpose is specified,<br>code under appropriate issue area).....       | 3102.....                                                    |                             |                                                |                                    |
| 3. Diplomatic recognition, establishment of<br>diplomatic relations.....                                                                 | 3103.....                                                    |                             |                                                |                                    |
| 4. Friendly or good relations, cooperation,<br>support for another government.....                                                       | 3104.....                                                    | 3204.....                   |                                                |                                    |
| 5. Opposition to another government,<br>including sanctions.....                                                                         | 3105.....                                                    | 3205.....                   |                                                |                                    |
| 6. Agreements, treaties, conventions (with<br>no specific purpose, if purpose is<br>specified code under appropriate issue<br>area)..... | 3106.....                                                    | 3206.....                   |                                                |                                    |
| 7. Use of OAU.....                                                                                                                       |                                                              | 3207.....                   |                                                |                                    |
| 8. Use of Inter African IGO other than OAU.....                                                                                          |                                                              | 3208.....                   |                                                |                                    |
| 9. Use of UN or associated agency.....                                                                                                   |                                                              | 3209.....                   |                                                |                                    |
| 10. Use of other IGO or more than one type<br>of IGO.....                                                                                |                                                              | 3210.....                   |                                                |                                    |
| 11. Independence.....                                                                                                                    |                                                              |                             | 3311.....                                      |                                    |
| 12. Sovereignty, autonomy, non-intervention.....                                                                                         |                                                              |                             | 3312.....                                      |                                    |
| 13. Dependency, external pressures,<br>economic aggression.....                                                                          |                                                              |                             | 3313.....                                      |                                    |
| 14. Ideology and Ideological justification.....                                                                                          |                                                              |                             | 3314.....                                      |                                    |
| 15. Political asylum.....                                                                                                                |                                                              |                             | 3315.....                                      |                                    |
| 16. Political unification.....                                                                                                           |                                                              |                             |                                                | 3416.....                          |
| 17. International law.....                                                                                                               |                                                              |                             |                                                | 3417.....                          |
| 18. Not otherwise specified.....                                                                                                         | 3199.....                                                    | 3299.....                   | 3399.....                                      | 3499.....                          |

## HUMAN RESOURCES (4000-4999)

|                                                 | Travel/Tourism/Culture/<br>Education<br>(4100-4199) | Information/<br>Communication<br>(4200-4299) | Human Rights/<br>Human Problems<br>(4300-4399) | Religion/Moral<br>Standards<br>(4400-4499) |
|-------------------------------------------------|-----------------------------------------------------|----------------------------------------------|------------------------------------------------|--------------------------------------------|
| 1. Travel and tourism.....                      | 4101                                                |                                              |                                                |                                            |
| 2. Culture.....                                 | 4102                                                |                                              |                                                |                                            |
| 3. Education.....                               | 4103                                                | 4203                                         |                                                |                                            |
| 4. Student and Youth Exchange.....              | 4104                                                |                                              |                                                |                                            |
| 5. Sports.....                                  | 4105                                                |                                              | 4305                                           |                                            |
| 6. Information, news.....                       |                                                     | 4206                                         |                                                |                                            |
| 7. News media personnel.....                    |                                                     | 4207                                         |                                                |                                            |
| 8. Scientific knowledge.....                    |                                                     | 4208                                         |                                                |                                            |
| 9. Scientific research and<br>exploration.....  |                                                     | 4209                                         |                                                |                                            |
| 10. General communication.....                  |                                                     | 4210                                         |                                                |                                            |
| 11. Hijacking.....                              |                                                     |                                              | 4311                                           |                                            |
| 12. Drug control.....                           |                                                     |                                              | 4312                                           |                                            |
| 13. Refugees.....                               | 4113                                                |                                              | 4313                                           |                                            |
| 14. Immigrants and emigrants.....               | 4114                                                |                                              | 4314                                           |                                            |
| 15. Extradition.....                            |                                                     |                                              | 4315                                           |                                            |
| 16. Expulsion, seizure, arrest,<br>killing..... |                                                     |                                              | 4316                                           |                                            |
| 17. Population.....                             |                                                     |                                              | 4317                                           |                                            |
| 18. Human rights, civil rights.....             |                                                     |                                              | 4318                                           |                                            |
| 19. Health, welfare.....                        |                                                     |                                              | 4319                                           |                                            |
| 20. Religion.....                               |                                                     |                                              |                                                | 4420                                       |
| 21. Moral standards, ethics.....                |                                                     |                                              |                                                | 4421                                       |
| 22. Not otherwise specified.....                | 4199                                                | 4299                                         | 4399                                           | 4499                                       |

## NONHUMAN RESOURCES (5000-5999)

|                                                         | Trade<br>(5100-5199) | Investment<br>(5200-5299) | International<br>Financial Relations<br>(5300-5399) | Foreign Aid<br>(5400-5499) | Technology/<br>Environment/<br>Transportation/<br>(5500-5599) | Integration<br>Development<br>(5600-5699) |
|---------------------------------------------------------|----------------------|---------------------------|-----------------------------------------------------|----------------------------|---------------------------------------------------------------|-------------------------------------------|
| 1. Manufactured or semi-manufactured goods.....         | 5101                 | 5201                      |                                                     | 5401                       |                                                               |                                           |
| 2. Minerals, raw materials (not food or oil).....       | 5102                 | 5202                      |                                                     | 5402                       |                                                               |                                           |
| 3. Petroleum & petrol products.....                     | 5103                 | 5203                      | 5303                                                | 5403                       | 5503                                                          |                                           |
| 4. Energy products not #2 or 3.....                     | 5104                 | 5204                      | 5304                                                | 5404                       |                                                               |                                           |
| 5. Foodstuffs, raw and processed.....                   | 5105                 | 5205                      |                                                     | 5405                       |                                                               |                                           |
| 6. Public services, public utilities.....               |                      | 5206                      |                                                     | 5406                       |                                                               |                                           |
| 7. Public works, infrastructure construction.....       |                      | 5207                      |                                                     | 5407                       |                                                               |                                           |
| 8. Joint work on construction projects.....             |                      | 5208                      |                                                     | 5408                       |                                                               |                                           |
| 9. Technology, technical cooperation or assistance..... |                      | 5209                      |                                                     | 5409                       | 5509                                                          |                                           |
| 10. Debt and refinancing.....                           |                      |                           | 5310                                                | 5410                       |                                                               |                                           |
| 11. Balance of payments.....                            |                      |                           | 5311                                                |                            |                                                               |                                           |
| 12. Exchange rates.....                                 |                      |                           | 5312                                                |                            |                                                               |                                           |
| 13. General loans.....                                  |                      |                           |                                                     | 5413                       |                                                               |                                           |
| 14. General grants.....                                 |                      |                           |                                                     | 5414                       |                                                               |                                           |
| 15. Emergency or humanitarian relief.....               |                      |                           |                                                     | 5415                       |                                                               |                                           |
| 16. Climatic factors, drought.....                      |                      |                           |                                                     |                            | 5516                                                          |                                           |
| 17. Environmental quality, pollution.....               |                      |                           |                                                     |                            | 5517                                                          |                                           |
| 18. Transportation.....                                 |                      |                           |                                                     |                            | 5518                                                          |                                           |
| 19. Economic integration.....                           |                      |                           |                                                     |                            |                                                               | 5619                                      |
| 20. Economic development.....                           |                      |                           |                                                     |                            |                                                               | 5620                                      |
| 21. Not otherwise specified.....                        | 5199                 | 5299                      | 5399                                                | 5499                       | 5599                                                          | 5699                                      |

digit issue-area code on the code sheet, one may be easily created. For example, the event interaction "South Africa grants a loan of \$10,000,000 to Malawi to cover a deficit in Malawi's balance of payments" concerns non-human resources (5000-5999), so the digit "5" is placed on the code sheet for variable 7. (As the event concerns only one issue area, variables 8 and 9 are both coded 9999). This issue area involves foreign aid with respect to balance of payments. The foreign aid column has a "4" code, so now the code sheet reads "54". However there is no code for balance of payments in the foreign aid column. But balance of payment issues are coded "11" so this is put down on the code sheet for variable 7 giving a new issue area code "5411" representing the nonhuman resource issue-area of foreign aid for balance of payments purposes. In general, new issue-area codes can be created by combining the first two digits of the column and the last two digits from the row.

16. Variable 8, Columns 34-37

ISSUE-AREA CATEGORY (SECOND).

- a. If variable 8 has been coded 9999, proceed to section 18.
- b. If variable 8 has been coded 1, 2, 3, 4, or 5, indicating that this event has two issue-area components, code the issue-area following the instructions of section 15, paragraphs h and i.

17. Variable 9, Columns 38-41

ISSUE-AREA CATEGORY (THIRD).

- a. If variable 9 has been coded 9999, proceed to section 18.
- b. If variable 9 has been coded 1, 2, 3, 4, or 5, indicating that this event has three issue-area components, code the issue-area following the instructions of section 15, paragraphs h and i.

18. Variable 10, Columns 42-43.

DYAD DESCRIPTION

Examine the character of the actor and target of the action and code variable 10 on the code sheet according to the following scheme:

| CODE # | DESCRIPTION                             |
|--------|-----------------------------------------|
| 01     | Core State Actor to Core State Target   |
| 02     | Core State Actor to Liberation Movement |
| 03     | Core State Actor to Homeland Target     |
| 04     | Core State Actor to Peripheral Power    |
| 05     | Core State Actor to Intrusive Power     |

- 06 Core State Actor to Intrusive Organization
- 11 Liberation Movement Actor to Core State Target
- 12 Liberation Movement Actor to Liberation Movement Target
- 13 Liberation Movement Actor to Homeland Target
- 14 Liberation Movement Actor to Peripheral Power
- 15 Liberation Movement Actor to Intrusive Power
- 16 Liberation Movement Actor to Intrusive Organization
- 21 Homeland Actor to Core State Target
- 22 Homeland Actor to Core Liberation Movement
- 23 Homeland Actor to Core Homeland Target
- 24 Homeland Actor to Core Peripheral Power
- 25 Homeland Actor to Core Intrusive Power
- 26 Homeland Actor to Core Intrusive Organization
- 31 Peripheral Power Actor to Core State Target
- 32 Peripheral Power Actor to Liberation Movement
- 33 Peripheral Power Actor to Homeland Target
- 34 Peripheral Power Actor to Peripheral Power
- 35 Peripheral Power Actor to Intrusive Power
- 36 Peripheral Power Actor to Intrusive Organization
- 41 Intrusive Power Actor to Core State Target
- 42 Intrusive Power Actor to Core Liberation Movement
- 43 Intrusive Power Actor to Homeland Target
- 44 Intrusive Power Actor to Peripheral Power
- 45 Intrusive Power Actor to Intrusive Power
- 46 Intrusive Power Actor to Intrusive Organization
- 51 Intrusive Organization Actor to Core State Target
- 52 Intrusive Organization Actor to Liberation Movement
- 53 Intrusive Organization Actor to Homeland Target
- 54 Intrusive Organization Actor to Peripheral Power
- 55 Intrusive Organization Actor to Intrusive Power
- 56 Intrusive Organization Actor to Intrusive Organization
- 98 Other type of dyad
- 99 Unspecified or unclear dyad.

19. Variable 11, Column 44

CHANGE-CONTINUE SCALE.

- a. Determine which one of the following five descriptions best describes the event. When you have done this, circle the appropriate number in variable 11 on the code sheet.
- b. Change/Continue Scale Ranks
  - (1) Substantial Change (Act demonstrates that actor has acted in order to provoke the target to significantly change long established policies,

structures, or behavior or strongly held values and interests.)

- (2) Change (Act shows that actor has acted in order to get the target to change its behavior or beliefs, but these are not particularly important behaviors or beliefs or only a small change is desired by the actor of the target.)
- (3) Indifference (Actor displays no particular concern with whether or not the actor continues or changes its structures, behavior or attitudes.)  
Use for unclear situations also.
- (4) Continue (Act demonstrates that actor has acted in order to reinforce or support in a limited fashion what the target presently believes or is presently doing.)
- (5) Status Quo/"Standpatism" (Act shows that the actor expects the target to PERSIST in its behavior or beliefs despite substantial opposition. The target and/or actor are willing to expend substantial resources to persist with long established policies, structures or behavior or strongly held values and interests.)

c. Pay particular attention to the verb when you make your decision.

-simple attendance at meetings is coded "4".

## 20. Variable 12, Column 45

### MULTILATUAL-UNILATERAL SCALE

- a. Determine which one of the following two descriptions best describes the event. When you have done this, circle the appropriate number in Variable 12 on the code sheet.
- b. Multilateral/Unilateral Scale Categories.
  - (1) The actor acted with another state, group, region or organization of states in order to affect the behavior, structure or attitudes of the target.  
Note that the other state, group, region, or organization of states which is the "joint" actor is itself a target of the act.
  - (2) The actor acted alone.  
-attendance at meetings and conferences;  
agreement and disagreement with resolutions and communiques; and acts where the joint actor is the target are all coded "2", unilateral.
- c. Pay particular attention to the subject when you make your decision.

## 21. Variable 13, Column 46

### ISOLATIONIST-INTERNATIONALIST SCALE

- a. Determine which one of the following five descriptions best describes the event. When you have done this,

circle the appropriate number in Variable 13 on the code sheet.

b. Isolationist/Internationalist Scale Ranks.

- (1) Withdrawal (By stated desire or action the act demonstrates the actor's intention to eliminate withdraw from, or cut-off relationships of any sort with the target.)
- (2) Reduction (By stated desire or action the act demonstrates the actor's intention or willingness to reduce diplomatic, economic, political, technological, etc., interaction with the target.)
- (3) Neutral (Actor displays no particular concern with increasing or decreasing its relationships with the target.) Also includes unclear situation.
- (4) Increase (By stated desire or action, the act demonstrates the actor's desire or willingness to increase diplomatic, economic, political, technological, etc., interaction with the target.)
- (5) Absorb/Integrate (By stated desire or action the act demonstrates actor's intention to amplify its relations with the target in such a fashion as to absorb the target within the actor's own system or to integrate with the target to create a new economic, political, social or cultural system.)
  - Attendance at conferences or meetings; making or receiving officials visits are all coded "4".
  - Joining international governmental organizations is coded "5".

c. Pay particular attention to the verb in making your decision.

22. Variable 14, Columns 64-65

ABSTRACTOR ID #

- a. Once you begin abstracting events you will receive a two digit code number varying from 01 to 99. This will be your unique identification number. Be sure to enter it on the space for variable 14 on the code sheet.

23. Variable 15, Columns 66-67

CODER ID#

- a. Once you begin coding events you will receive a two digit code number varying from 01 to 99. This will be your unique code number. Be sure to enter it on the space for variable 15 on the code sheet.

24. Variable 16, Columns 68-69

EVENT SOURCE

- a. Place on the code sheet the correct two (2) digit code for the source from which you abstracted and coded the event as follows:
  - 01 Africa Research Bulletin (Political Series)
  - 02 Africa Research Bulletin (Economic Series)

- 03 Africa Diary
- 04 African Recorder
- 05 Chronologie Politique Africaine
- 06 New York Times Index
- 07 Facts on File
- 08 Keesing's Contemporary Archives
- 09 Deadline Data on World Affairs
- 10 Annual Register of World Events

25. Variable 17, Columns 70-75

DATE OF SOURCE

- a. Code the date of source as follows:  
Year 72-75 and so on  
Month 01-12  
Day 01-31
- b. If the source is a daily or fortnightly publication code all six (6) digits. For example, New York Times Index of June 15, 1974= 740615.
- c. If the source is an annual publication code all six digits as follows:  
Annual Register, 1973= 730000.

26. Variable 18, Columns 76-79

SOURCE PAGE

- a. Code exact page number where the event is found in the source in a right hand justified manner. For example, page 11= 0011, page 1091= 1091.  
If text from which act is abstracted covers two pages code first page.

27. Variable 19, Column 80

This is keypunched "1" to indicate that the card belongs to the descriptive deck.

YOU HAVE NOW COMPLETED THE CODING-DESCRIPTION OF THE EVENT INTERACTION LISTED AT THE TOP OF THE CODE SHEET. CHECK THE CODE SHEET TO MAKE SURE THAT YOU HAVE CODED EVERY VARIABLE. GO ON TO THE NEXT ACT AND REPEAT THE CYCLE.

THREAT RECOGNITION AND ANALYSIS PROJECT  
SOUTHERN AFRICAN SUBSYSTEM STUDY (SASS)  
EVENT INTERACTION CODE SHEET

ITEM 1. PRINT the event in S-V-O form:

1. \_\_\_\_\_  
Subject(s)

2. \_\_\_\_\_  
Verb

3. \_\_\_\_\_  
Object(s)

\*\*\*\*\*

**ITEM 2.**

| Variable #                     | Column # |
|--------------------------------|----------|
| 1. Actor Identification Number | 1 - 4    |

2. Date of Event Year-Month-Day\_\_\_\_\_5-10

3. Sequence Number 11-12

4. Target Identification Number 13-16

**5. Event Action Category** **20-23**

6. Action Intensity Scale Value\_\_\_\_\_24-29

7. Issue-Area Category (first)\_\_\_\_\_30-33

8. Issue-Area Category (second) 34-37

9. Issue-Area Category (third) 38-41

10. Dyad Description \_\_\_\_\_ 42-43

|            |   |   |   |   |   |          |    |
|------------|---|---|---|---|---|----------|----|
| 11. Change | 1 | 2 | 3 | 4 | 5 | Continue | 44 |
|------------|---|---|---|---|---|----------|----|

|                  |   |   |            |    |
|------------------|---|---|------------|----|
| 12. Multilateral | 1 | 2 | Unilateral | 45 |
|------------------|---|---|------------|----|

13. Isolationist    1    2    3    4    5    Internationalist    46

14. Abstractor I.D. # 64-65

15. Coder I.D. # 66-67

16. Source 68-69

17. Date of Source Year-Month-Day 70-75

18. Page \_\_\_\_\_ 76-79

19. 1 80

## -NOTES

1. This CODEBOOK is substantially based upon P.J. McGowan "A Manual and Codebook for the Identification, Abstraction, and Coding of Foreign Policy Acts," Syracuse: AFRICA Project Research Report No. 1, August, 1972, 56pp.
2. Instructions up to this point are modified from: S.A. Salmore and C.F. Hermann, "Foreign Policy as a Dependant Variable in the U.S. and U.S.S.R.," New Brunswick: Douglass College Department of Political Science, 1969, Appendix.
3. These action categories are based upon the world Event/interaction Survey (WEIS) categories developed by Professor Charles A. McClelland and associates at the University of Southern California as modified by Dr. Walter Carson and the investigators in the CREON and AFRICA projects.  
 For WEIS see: B. Fitzsimmons, ET AL. "World Event/interaction Survey Handbook and Codebook," Los Angeles: University of Southern California, WEIS Project, mimeo, 1969; and, Ronald D. Sherwin, WEIS PROJECT FINAL REPORT, Los Angeles: University of Southern California, School of International Relations, August, 1973.  
 For CORSON see: W. H. Corson, "Measuring Conflict and Cooperation Intensity in East-West Relations: A Manual and Codebook, Third Draft," Ann Arbor: Institute for Social Research, mimeo, January, 1970.  
 For CREON see: Charles F. Hermann, ET AL., CREON: A FOREIGN EVENTS DATA SET. Sage Professional Papers in International Studies, vol. 2, series no.02-024. Beverly Hills and London: Sage Publications.  
 For AFRICA see: footnote 1.
4. These scale values were developed by Calhoun and applied to our action categories by Boyd.  
 For Calhoun, see: Herbert L. Calhoun, "The Measurement and Scaling of Event Data Using the Semantic Differential", Paper presented to the 25th Annual Meeting of the Western Political Science Association, Albuquerque, New Mexico, April 7-10, 1971, mimeo, 42pp, and  
 \_\_\_\_\_, "Exploratory Applications to Scaled Event Data," Paper presented at the Annual Meeting of the International Studies Association, Dallas, Texas, March 15-17, 1972, ditto, 35pp.  
 For Boyd see: J. Barron Boyd, "The Pattern of Regional Foreign Policy Interactions in Southern Africa: 1970-1972," Paper presented to the Annual Meeting of the Southern Political Science Association, New Orleans, Louisiana, November 7-9, 1974 and personal communication to the author of October 16, 1974.

5. These issue-area codes have been modified from Eugene B. Wittkopf's "Issues and Issue-Area in Latin American Foreign Policy," A paper presented to the 15th Annual Convention of the International Studies Association, St. Louis, Mo., March 20-23, 1974 (Gainesville, Florida: U. of Florida Department of Political Science LATINS Research Report No. 2).