

## Local Autonomy Index 2.0 and Coding Scheme

### General Coding Instructions

Start with the most recent year (2020) and work backward. Find out whether there have been reforms which change the score.

If there are no written sources available you may have to get in contact with officials or colleagues. Please, state when the score stems from such sources.

Half-scores are not permitted. Exceptions: policy scope and effective political discretion (please see coding instructions by fields of services below), organisational autonomy, and legal protection.

### Self-rule

<b>Institutional depth</b>	<i>The extent to which local government is formally autonomous and can choose the tasks they want to perform</i>	<b>0-3</b>	0 local authorities can only perform mandated tasks  1 local authorities can choose from a very narrow, predefined scope of tasks  2 local authorities can choose from a wide scope of predefined tasks  3 local authorities are free to take on any new tasks (residual competencies) not assigned to other levels of government
Additional coding instructions: The coding has to comply with the legal framework in the respective countries. This means that the coding refers to the status of local government according to the constitution and other relevant legislation. Whether a municipality is responsible for the different tasks and/or has the financial resources is not the question here. If there are deeply contradictory regulations, this should be reflected in the coding and also mentioned in the notes.			
<b>Policy scope</b>	<i>Range of functions (tasks) where local government assumes responsibility for the delivery of the services (whether it is provided by municipal personnel or through other arrangements)</i>	<b>0-4</b>	Not at all, partly, or fully responsible for:  Education (0-3)    Social assistance (0-3)    Health (0-3)  Land use (0-2)    Public transport (0-1)    Housing (0-1)  Police (0-1)    Caring functions (0-3)
Additional coding instructions: Here we want to know whether local government assumes responsibility for the delivery of these tasks and services. How much they can decide is part of the next question. Half points can be used if local government is only partly involved (i.e. additional coding instructions by fields of services below).			
<b>Effective political discretion</b>	<i>The extent to which local government can make final decisions over these functions</i>	<b>0-4</b>	No, some, or real authoritative decision-making in:  Education (0-3)    Social assistance (0-3)    Health (0-3)  Land use (0-2)    Public transport (0-1)    Housing (0-1)  Police (0-1)    Caring functions (0-3)
Additional coding instructions: Here we want to know whether municipal decision-makers are required by law to consult with, seek the permission, consent or cooperation of regional and national agencies before final			

	<p>decisions can be made or not. Half points can be used if local government can only partly decide (i.e. additional coding instructions by fields of services below).</p>		
<b>Fiscal autonomy</b>	<p><i>The extent to which local government can independently tax its population</i></p> <p>Additional coding instructions: For this dimension the level of contribution of the tax for local authorities (how much the tax actually yields) has to be clarified in the explanations.</p>	<b>0-4</b>	<p>0 local authorities do not set base and rate of any tax</p> <p>1 local authorities set base or rate of minor taxes</p> <p>2 local authorities set rate of one major tax (personal income, corporate, value added, property or sales tax) under restrictions stipulated by higher levels of government</p> <p>3 local authorities set rate of one major tax (personal income, corporate, value added, property or sales tax) with few or no restrictions</p> <p>4 local authorities set base and rate of more than one major tax (personal income, corporate, value added, property or sales tax)</p>
<b>Financial transfer system</b>	<p><i>The proportion of unconditional financial transfers to total financial transfers received by the local government</i></p>	<b>0-3</b>	<p>0 conditional transfers are dominant (unconditional = 0-40% of total transfers)</p> <p>1 there is largely a balance between conditional and unconditional financial transfers (unconditional = 40-60%)</p> <p>2 unconditional financial transfers are dominant (unconditional = 60-80%)</p> <p>3 nearly all transfers are unconditional (unconditional = 80-100%)</p>
<b>Financial self-reliance</b>	<p><i>The proportion of local government revenues derived from own/local sources (i.e. taxes, fees, charges over which local government has influence)</i></p> <p>Additional coding instructions: A shared tax collected by central government and over which local government has no influence individually (cannot e.g. set base or rate), has to be regarded as financial transfer. Please, make a note in your country report if this is the case.</p>	<b>0-3</b>	<p>0 own sources yield less than 10% of total revenues</p> <p>1 own sources yield 10-25%</p> <p>2 own sources yield 25-50%</p> <p>3 own sources yield more than 50%</p>
<b>Borrowing autonomy</b>	<p><i>The extent to which local government can borrow</i></p> <p>Additional coding instructions: When borrowing under restrictions applies (code 1 or 2), please make a note in your country report as to which restriction(s) apply:</p> <ul style="list-style-type: none"> <li>a. golden rule (e. g. no borrowing to cover current account deficits)</li> <li>b. no foreign borrowing or borrowing from the regional or central bank only</li> <li>c. no borrowing above a ceiling, absolute level of subnational indebtedness, maximum debt-service ratio for new borrowing or debt brake mechanism</li> <li>d. borrowing is limited to specific purposes</li> </ul>	<b>0-3</b>	<p>0 local authorities cannot borrow</p> <p>1 local authorities may borrow under prior authorisation by higher-level governments and with borrowing restrictions imposed by higher-level authorities</p> <p>2 local authorities may borrow without prior authorisation but with restrictions imposed by higher-level authorities</p> <p>3 local authorities may borrow without authorisation or restriction imposed by higher-level authorities</p>

<b>Organisational autonomy</b>	<i>The extent to which local government is free to decide about its own organisation and electoral system</i>	<b>0-4</b>	<p>Local executives and election system (0-2):</p> <p>(0-1) local executives are elected by the municipal council or directly by citizens</p> <p>(0-1) local government can decide core elements of the political system (electoral districts, number of seats, electoral system)</p> <p>Staff and local structures (0-2):</p> <p>Local authorities:</p> <table border="0"> <tr> <td>Hire their own staff (0-0.5)</td> <td>Fix the salary of their employees (0-0.5)</td> </tr> <tr> <td>Choose their organisational structure and status of staff (0-0.5)</td> <td>Establish legal entities and municipal enterprises (0-0.5)</td> </tr> </table>	Hire their own staff (0-0.5)	Fix the salary of their employees (0-0.5)	Choose their organisational structure and status of staff (0-0.5)	Establish legal entities and municipal enterprises (0-0.5)
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Choose their organisational structure and status of staff (0-0.5)	Establish legal entities and municipal enterprises (0-0.5)						
<b>Self-rule</b>		<b>0-28</b>	<p>The overall self-rule enjoyed by local government in X country (the sum of all the indicators above)</p>				

### Interactive rule

<b>Legal protection</b>	<i>Existence of constitutional or legal means to assert local autonomy</i>	<b>0-3</b>	<p>(0-1) constitutional clauses or other statutory regulations protect local self-government</p> <p>(0-1) local authorities have recourse to the judicial system through constitutional courts to settle disputes with higher authorities</p> <p>(0-1) local authorities have recourse to the judicial system through administrative courts or ordinary courts to settle disputes with higher authorities or other means that protect local autonomy exist (e.g. listing of all municipalities in the constitution or the impossibility to force them to merge)</p>
<b>Administrative supervision</b>	<i>The extent to which administrative supervision of local government is (un)obtrusive</i>	<b>0-3</b>	<p>0 administrative supervision reviews legality as well as merits/expediency of municipal decisions</p> <p>1 administrative supervision covers details of accounts and spending priorities</p> <p>2 administrative supervision only aims at ensuring compliance with law (legality of local decisions)</p> <p>3 there is very limited administrative supervision (e.g. the higher authorities cannot suspend a decision)</p>
<b>Central or regional access</b>	<i>The extent to which local authorities have channels to influence higher level governments' policy-making</i>	<b>0-3</b>	<p>(0-1) local authorities have access to higher-level decision-making through formal consultation procedures and mechanisms</p> <p>(0-1) local authorities have access to higher-level decision-making through formal representation structures</p> <p>(0-1) local authorities have access to higher-level decision-making through more informal channels (e.g. through trade unions that try to set the legislative agenda, party political networks, dual mandate holding, etc.)</p>
<b>Interactive rule</b>		<b>0-9</b>	<p>The overall interactive rule enjoyed by local government in X country (the sum of all the three indicators above)</p>
<b>LA</b>		<b>0-37</b>	<p>The combined autonomy of local authorities (the sum of all indicators)</p>

## Additional coding instructions by fields of services

Policy scope (0-4)

*Range of functions (tasks) where local government assumes responsibility for the delivery of the services (whether it is provided by municipal personnel or through other arrangements)*

You can use half of the points if local government assumes only a part of the responsibility – 0.5 in Land use and 0.25 in any other services.

Fields	Services	Codes
<b>Education (0-3)</b>	Pre-school (age 1-6)	For each of the services: +0.5 point if local government assumes full responsibility for infra-structure and/or the delivery of services + 0.5 point if local government assumes full responsibility for personnel, including staffing and salaries
	Primary school (age 6-15)	
	Secondary school (age 15-18)	
<b>Social assistance (0-3)</b>	Economic assistance (distress relief)	For each of the services: +0.5 point if local government assumes full for the organisation and/or delivery of services +0.5 point if local government assumes full responsibility for personnel, including staffing and salaries
	Work training/rehabilitation	
	Integration of refugees	
<b>Health (0-3)</b>	Primary health	For each of the services: +0.5 point if local government assumes full responsibility for infra-structure and/or the delivery of services +0.5 point if local government assumes full responsibility for personnel, including staffing and salaries
	Hospitals	
	Dental services	
<b>Land use (0-2)</b>	Building permits	+ 1 point if local government assumes full responsibility for administering building permits + 1 point if local government assumes full responsibility for administering zoning
	Zoning	
<b>Public transport (0-1)</b>	Bus transport services	+ 0.5 point if local government assumes full responsibility for bus transport services + 0.5 point if local government assumes full responsibility for railway transport services
	Railway transport services	
<b>Housing (0-1)</b>	Housing and town development	+ 0.5 point if local government assumes full responsibility for housing and town development + 0.5 point if local government assumes full responsibility for social housing
	Social housing	
<b>Police (0-1)</b>	Public Order	+ 0.5 point if local government assumes full responsibility for public order + 0.5 point if local government assumes full responsibility for traffic police
	Traffic police	
<b>Caring functions (0-3)</b>	General caring services	For each of the services: +0.5 point if local government assumes full responsibility for infra-structure and/or the availability of the service +0.5 point if local government assumes full responsibility for personnel, including staffing and salaries
	Services for special groups	
	Child protection	

## Effective political discretion (0-4)

*The extent to which local government can make final decisions over these functions*

Fields	Services	Codes
<b>Education (0-3)</b>	Pre-school (age 1-6)	For each of the services: 0 if local government has no authoritative decision-making 0.5 if local government has some authoritative decision-making 1 if local government has real authoritative decision-making
	Primary school (age 6-15)	
	Secondary school (age 15-18)	
<b>Social assistance (0-3)</b>	Economic assistance (distress relief)	For each of the services: 0 if local government has no authoritative decision-making 0.5 if local government has some authoritative decision-making 1 if local government has real authoritative decision-making
	Work training/rehabilitation	
	Integration of refugees	
<b>Health (0-3)</b>	Primary health	For each of the services: 0 if local government has no authoritative decision-making 0.5 if local government has some authoritative decision-making 1 if local government has real authoritative decision-making
	Hospitals	
	Dental services	
<b>Land use (0-2)</b>	Building permits	For each of the services: 0 if local government has no authoritative decision-making 0.5 if local government has some authoritative decision-making 1 if local government has real authoritative decision-making
	Zoning	
<b>Public transport (0-1)</b>	Bus transport services	For each of the services: 0 if local government has no authoritative decision-making 0.25 if local government has some authoritative decision-making 0.5 if local government has real authoritative decision-making
	Railway transport services	
<b>Housing (0-1)</b>	Housing and town development	For each of the services: 0 if local government has no authoritative decision-making 0.25 if local government has some authoritative decision-making 0.5 if local government has real authoritative decision-making
	Social housing	
<b>Police (0-1)</b>	Public Order	For each of the services: 0 if local government has no authoritative decision-making 0.25 if local government has some authoritative decision-making 0.5 if local government has real authoritative decision-making
	Traffic police	
<b>Caring functions (0-3)</b>	General caring services	For each of the services: 0 if local government has no authoritative decision-making 0.5 if local government has some authoritative decision-making 1 if local government has real authoritative decision-making
	Services for special groups	
	Child protection	