

Local Autonomy Index and Coding Scheme

General Coding Instructions

Start with the most recent year (2014) 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 where the total has to be divided by three.

Self-rule Index

Institutional depth	<i>The extent to which local government is formally autonomous and can choose the tasks they want to perform</i>	0-3	<p>0 local authorities can only perform mandated tasks</p> <p>1 local authorities can choose from a very narrow, predefined scope of tasks</p> <p>2 local authorities are explicitly autonomous and can choose from a wide scope of predefined tasks</p> <p>3 local authorities are free to take on any new tasks (residual competencies) not assigned to other levels of government</p>																		
Policy scope	<i>The range of functions (tasks) for which local government is effectively responsible</i>	0-4	<p>Not at all; partly; fully responsible:</p> <table border="0"> <tr> <td>Education</td> <td>(0-2)</td> <td>Social assistance</td> <td>(0-2)</td> <td>Health</td> <td>(0-2)</td> </tr> <tr> <td>Land-use</td> <td>(0-2)</td> <td>Public transport</td> <td>(0-1)</td> <td>Housing</td> <td>(0-1)</td> </tr> <tr> <td>Police</td> <td>(0-1)</td> <td>Caring functions</td> <td>(0-1)</td> <td></td> <td></td> </tr> </table>	Education	(0-2)	Social assistance	(0-2)	Health	(0-2)	Land-use	(0-2)	Public transport	(0-1)	Housing	(0-1)	Police	(0-1)	Caring functions	(0-1)		
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Effective political discretion	<i>The extent to which local government has real influence over these functions</i>	0-4	<p>No, some, or real authoritative decision-making in:</p> <table border="0"> <tr> <td>Education</td> <td>(0-2)</td> <td>Social assistance</td> <td>(0-2)</td> <td>Health</td> <td>(0-2)</td> </tr> <tr> <td>Land-use</td> <td>(0-2)</td> <td>Public transport</td> <td>(0-1)</td> <td>Housing</td> <td>(0-1)</td> </tr> <tr> <td>Police</td> <td>(0-1)</td> <td>Caring functions</td> <td>(0-1)</td> <td></td> <td></td> </tr> </table>	Education	(0-2)	Social assistance	(0-2)	Health	(0-2)	Land-use	(0-2)	Public transport	(0-1)	Housing	(0-1)	Police	(0-1)	Caring functions	(0-1)		
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Fiscal autonomy	<i>The extent to which local government can independently tax its population</i>	0-4	<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>																		

Financial transfer system	<i>The proportion of unconditional financial transfers to total financial transfers received by the local government</i>	0-3	<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>				
Financial self-reliance	<i>The extent to which local government revenues are derived from own/local sources (taxes, fees, charges)</i>	0-3	<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>				
Borrowing autonomy	<i>The extent to which local government can borrow</i>	0-3	<p>0 local authorities cannot borrow</p> <p>1 local authorities may borrow under prior authorization by higher-level governments and with one or more of the following restrictions:</p> <ul style="list-style-type: none"> a. golden rule (e. g. no borrowing to cover current account deficits) b. no foreign borrowing or borrowing from the regional or central bank only c. no borrowing above a ceiling, absolute level of subnational indebtedness, maximum debt-service ratio for new borrowing or debt brake mechanism d. borrowing is limited to specific purposes <p>2 local authorities may borrow without prior authorization and under one or more of a), b), c) or d)</p> <p>3 local authorities may borrow without restriction imposed by higher-level authorities</p>				
Organisational autonomy	<i>The extent to which local government is free to decide about its own organisation and electoral system</i>	0-4	<p>Local Executive and election system:</p> <p>0 local executives are appointed by higher-level authorities and local authorities cannot determine core elements of their political systems (electoral districts, number of seats, electoral system)</p> <p>1 executives are elected by the municipal council or directly by citizens</p> <p>2 executives are elected by the citizens or the council and the municipality may decide some elements of the electoral system</p> <p>Staff and local structures:</p> <p>Local authorities:</p> <table border="0" data-bbox="783 1711 1347 1868"> <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 (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 (0-0.5)	Establish legal entities and municipal enterprises (0-0.5)
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Self-rule	0-28	The overall self-rule enjoyed by local government in X country (the sum of all the indicators above)					

Additional aspects

Legal protection	<i>Existence of constitutional or legal means to assert local autonomy</i>	0-3	<p>0 no legal remedy for the protection of local autonomy exists</p> <p>1 constitutional clauses or other statutory regulations protect local self-government</p> <p>2 local authorities have recourse to the judicial system to settle disputes with higher authorities (e.g. through constitutional courts, administrative courts or tribunals, or ordinary courts)</p> <p>3 remedies of types 1 and 2 above, plus other means that protect local autonomy such as e.g. listing of all municipalities in the constitution or the impossibility to force them to merge</p>
Administrative supervision	<i>Unobtrusive administrative supervision of local government</i>	0-3	<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</p>
Central or regional access	<i>To what extent local authorities are consulted to influence higher level governments' policy-making</i>	0-3	<p>0 local authorities are never consulted by higher level governments and there are no formal mechanisms of representation</p> <p>1 local authorities are consulted and/or have access to higher-level decision-making through formal representation but influence is limited</p> <p>2 local authorities are either consulted or have access to higher-level decision-making through formal representation; and substantial influence</p> <p>3 local authorities are regularly consulted through permanent consultation channels and have substantial influence through representation mechanisms</p>
LAI		0-37	<p>The combined autonomy of local authorities (the sum of all indicators)</p>