Codebook Regional Authority Index (RAI)
Regional Scores Dataset

version December 2015

Citation for the dataset:

Hooghe, Liesbet, Gary Marks, Arjan H. Schakel, Sandra Chapman Osterkatz, Sara Niedzwiecki, Sarah Shair-Rosenfield (2016). *Measuring Regional Authority: A Postfunctionalist Theory of Governance, Volume I.* Oxford: Oxford University Press, xiv+ 687pp.

Data for the Regional Authority Index (RAI) are in two datasets: one with annual scores for 231 regional governments/tiers in 65 countries for the period 1950-2010, and one aggregating these scores to the country level plus with country-level scores for another 16 countries that do not have regional governments fitting our conceptualization below. Regional authority is measured along ten dimensions. The following documents accompany the datasets:

- Codebook of regional scores dataset (this document)
- Codebook of country scores dataset
- Calculation of country scores

Unit of analysis

The unit of analysis is the individual region which we define as a jurisdiction between national government and local government. We draw the boundary between local and regional government at an average population level of 150,000. This excludes the lowest tier of government, but allows us to capture intermediate governments, often arrayed at two nested jurisdictional levels between the local and national. We relax the population criteria for individual jurisdictions that stick out from a tier of government that meets the regional threshold, such as Greenland or the Galapagos islands.

We distinguish four types of regions.

- A *standard region* (S) is part of a regional tier. Standard regions have a uniform institutional set up. Hence, standard regions are scored in a tier (e.g. Changwat, Cantons, Länder), each of which has a separate entry in the dataset. Each year of evaluation has a separate row.

- An *asymmetric region* (Y) is embedded in a national tier, yet has distinctive authority on one or several dimensions of the RAI. Asymmetry is usually specified in one or more executive decisions, constitutional articles, or special clauses in framework legislation.

- An *autonomous region* (A) is exempt from the country-wide constitutional framework and receives special treatment as an individual jurisdiction. It operates mostly in a bilateral setting with the central state alone. The arrangement is laid down in a special protocol, statute, special law, or separate section of the constitution.

- A *dependency* (D) is not part of a standard tier, but is governed hierarchically by the central state. It has a separate government with no, or very little, authority.

If a non-standard region becomes a standard region, it ceases to have a separate entry but is simply included in the standard tier. Conversely, a standard region that becomes non-standard acquires a separate entry from the year of its changed status.

Regional tiers and differentiated regions are evaluated on the same scale. We evaluate five dimensions of self-rule: institutional depth, policy scope, fiscal autonomy, borrowing autonomy, and representation. We evaluate five dimensions of shared rule: law making, executive control, fiscal control, borrowing control, and constitutional reform. There are two forms of shared rule. We code a region as having multilateral shared rule when its authority is contingent on coordination with other regions. We code a region as having bilateral shared rule when its authority is not contingent on coordination with other regions.

For a detailed discussion of the coding schema, please read:

Hooghe, Liesbet, Gary Marks, Arjan H. Schakel, Sandra Chapman Osterkatz, Sara Niedzwiecki, Sarah Shair-Rosenfield (2016). Chapter Three: How We Apply the Coding Scheme. *A Postfunctionalist Theory of Governance. Volume I: Measuring Regional Authority.* Oxford: Oxford University Press.

VARIABLE NAME	RANGE	VALUES AND LABELS
cowcode	2-920	Correlates of War codes (http://www.correlatesofwar.org)
iso3166	8-891	International Organization for Standardization (ISO 3166-1)
country_ID	1-126	Country ID (see table below)
country_name		Country name in English (see table below)
abbr_country		Abbreviation of country name
region_ID	101-12605	Region ID (see table below)
region_name		Name of region in local language (see table below)
year	1950-2010	Year of evaluation
tier	1-4	1: highest tier 2: second tier 3: third tier 4: fourth tier
type		S: standard region Y: asymmetrical region A: autonomous region D: dependent region
tier_instdepth	0-3	The extent to which a regional government is autonomous rather than deconcentrated: 0: no functioning general-purpose administration at regional level 1: deconcentrated, general-purpose, administration 2: non-deconcentrated, general–purpose, administration subject to central government veto 3: non-deconcentrated, general–purpose, administration *not* subject to central government veto.
tier_policy	0-4	The range of policies for which a regional government is responsible: 0: very weak authoritative competence in a), b), c), d) whereby a) economic policy; b) cultural-educational policy; c) welfare policy; d) one of the following: residual powers, police, own institutional set–up, local government 1: authoritative competencies in one of a), b), c) or d) 2: authoritative competencies in at least two of a), b), c), or d) 3: authoritative competencies in d) and at least two of a), b), or c) 4: criteria for 3 plus authority over immigration or citizenship.
tier_fiscauto	0-4	The extent to which a regional government can independently tax its population: 0: central government sets base and rate of all regional taxes 1: regional government sets the rate of minor taxes 2: regional government sets base and rate of minor taxes 3: regional government sets the rate of at least one major tax: personal income, corporate, value added, or sales tax 4: regional government sets base and rate of at least one major tax.

tier_borrowauto	0-3	The extent to which a regional government can borrow:
		0: the regional government does not borrow (e.g. centrally imposed rules prohibit borrowing)
		1: the regional government may borrow under prior authorization (*ex ante*) by the central government and with one or more of the following centrally imposed restrictions:
		    a. golden rule (e.g. no borrowing to cover current account deficits)
		    b. no foreign borrowing or borrowing from the central bank
		    c. no borrowing above a ceiling
		    d. borrowing is limited to specific purposes
		2: the regional government may borrow without prior authorization (*ex post*) and under one or more of a), b), c), d), e)
		3: the regional government may borrow without centrally imposed restrictions.

tier_rep	0-4	The extent to which a region has an independent legislature and executive, which is the sum of *assembly* and *executive*.
tier_lawmaking	0-2	The extent to which regional representatives co–determine national legislation, which is the sum of *law_a* to *law_f*.
tier_execcon	0-2	The extent to which a regional government co–determines national policy in intergovernmental meetings, which is the maximum value of *execcon_multi (lateral)* and *execcon_bi(lateral)*.
tier_fisccon	0-2	The extent to which regional representatives co–determine the distribution of national tax revenues, which is the maximum value of *fisccon_multi* and *fisccon_bi*.
tier_borrowcon	0-2	The extent to which a regional government co–determines subnational and national borrowing constraints, which is the maximum value of *borrowcon_mult* and *borrowcon_bi*.
tier_constit	0-4	The extent to which regional representatives co–determine constitutional change, which is the maximum value of *constit_multi* and *constit_bi*.
tier_selfrule	0-18	The authority exercised by a regional government over those who live in the region, which is the sum of *tier_instdepth*, *tier_policy*, *tier_fiscauto*, *tier_borrowauto*, and *tier_rep*.
tier_sharedrule	0-12	The authority exercised by a regional government or its representatives in the country as a whole, which is the sum of *tier_lawmaking*, *tier_execcon*, *tier_fisccon*, *tier_borrowcon*, and *tier_constit*.
tier_RAI	0-27	Regional authority index, which is the sum of *tier_selfrule* and *tier_sharedrule*.
COMPONENTS		
instdepth	0-3	Same as *tier_instdepth*.
policy	0-4	Same as *tier_policy*.
fiscauto	0-4	Same as *tier_fiscauto*.
borrowauto	0-4	Same as *tier_borrowauto*.

assembly	0-2	0: no regional assembly 1: indirectly elected regional assembly 2: directly elected assembly
executive	0-2	0: regional executive appointed by central government 1: dual executive appointed by central government and regional assembly 2: regional executive appointed by a regional assembly or directly elected
law_a	0-0.5	0: a region or regional tier is *not* the unit of representation in a national legislature 0.5: a region or regional tier is the unit of representation in a national legislature
law_b	0-0.5	0: a regional government or regional tier does *not* designate representatives in a national legislature 0.5: a region or regional tier designates representatives in a national legislature
law_c	0-0.5	0: regions do *not* have majority representation in a national legislature based on regional representation 0.5: regions have majority representation in a national legislature based on regional representation
law_d	0-0.5	0: the legislature based on regional representation does *not* have extensive legislative authority 0.5: the legislature based on regional representation has extensive legislative authority
law_e	0-0.5	0: the regional government or its regional representatives in a national legislature are *not* consulted on national legislation affecting the region 0.5: the regional government or its regional representatives in a national legislature are consulted on national legislation affecting the region
law_f	0-0.5	0: the regional government or its regional representatives in a national legislature do *not* have veto power over national legislation affecting the region 0.5: the regional government or regional representatives in a national legislature have veto power over national legislation affecting the region
execcon_multi	0-2	0: no routine meetings between the central government and regional governments to negotiate policy 1: routine meetings between the central government and regional governments without legally binding authority 2: routine meetings between the central government and regional governments with legally binding authority
execcon_bi	0-2	0: no routine meetings between the central government and the regional government to discuss national policy affecting the region 1: routine meetings between the central government and the regional government without legally binding authority 2: routine meetings between the central government and the regional government with legally binding authority

fisccon_multi	0-2	0: neither the regional governments nor their representatives in a national legislature are consulted over the distribution of national tax revenues 1: regional governments or their representatives in a national legislature negotiate over the distribution of national tax revenues, but do not have a veto 2: regional governments or their representatives in a national legislature have a veto over the distribution of national tax revenues
fisccon_bi	0-2	0: neither the regional government nor its representatives in a national legislature are consulted over the distribution of tax revenues affecting the region 1: the regional government or its representatives in a national legislature negotiate with the central government over the distribution of tax revenues affecting the region, but does not have a veto 2: the regional government or its representatives in a national legislature have a veto over the distribution of tax revenues affecting the region
borrowcon_multi	0-2	0: regional governments are not routinely consulted over borrowing constraints 1: regional governments negotiate routinely over borrowing constraints, but do not have a veto 2: regional governments negotiate routinely over borrowing constraints and have a veto
borrowcon_bi	0-2	0: the regional government is not routinely consulted over borrowing constraints affecting the region 1: the regional government negotiates routinely over borrowing constraints affecting the region, but does not have a veto 2: the regional government negotiates routinely over borrowing constraints affecting the region, and has a veto

constit_multi	0-4	0: the central government or national electorate can unilaterally reform the constitution
		1: a legislature based on regional representation can propose or postpone constitutional reform, raise the decision hurdle in the other chamber, require a second vote in the other chamber, or require a popular referendum
		2: regional governments or their representatives in a national legislature propose or postpone constitutional reform, raise the decision hurdle in the other chamber, require a second vote in the other chamber, or require a popular referendum
		3: a legislature based on regional representation can veto constitutional change; or constitutional change requires a referendum based on the principle of equal regional representation
		4: regional governments or their representatives in a legislature can veto constitutional change
constit_bi	0-4	0: the central government or national electorate can unilaterally reform the region's constitutional relation with the center
		1: a regional referendum can propose or postpone reform of the region's constitutional relation with the center
		2: the regional government can propose or postpone reform of the region's constitutional provisions or require a popular referendum
		3: a regional referendum can veto a reform of a region's constitutional relation with the center
		4: the regional government can veto a reform of the region's constitutional relation with the center

Country ID	Country Name	Region ID	Region Name	Year-rows in the dataset
1	Albania	101	Qarku	2000-2010
2	Australia	201	States	1950-2010
		202	Northern Territory	1950-2010
		203	Australian Capital Territory	1950-2010
3	Austria	301	Länder	1955-2010
4	Belgium	401	Provincies/ Provinces	1950-2010
		402	Vlaamse Gemeenschap	1970-2010
		403	Communauté française	1970-2010
		404	Deutsche Gemeinschaft	1970-2010
		405	Région wallonne	1980-2010
		406	Brussels Gewest/Bruxelles-Région	1980-2010
5	Bosnia and Herzegovina	501	Federacija	1995-2010
		502	Republika Srpska	1995-2010
		503	Županija/kantoni in Federacija	1995-2010
6	Bulgaria	601	Oblasti	1991-2010
7	Canada	701	Provinces	1950-2010
		702	Quebec	1950-2010
		703	Northwest Territories	1950-2010
		704	Yukon	1950-2010
		705	Nunavut	1999-2010
		706	Indian Act bands	1950-2010
		707	Self-governing Aboriginal People	1977-2010
		708	In Ontario: Counties and regions	1950-2010
		709	In Quebec: Conférence régionales des élus	2006-2010
8	Croatia	801	Kantoni	1993-2010
10	Czech Republic	1001	Kraje	2000-2010
11	Denmark	1101	Amtskommuner	1950-2006
		1102	Regioner	2007-2010
		1103	Føroyar/ Færøerne	1950-2010
		1104	Kalaallit Nunaat/ Grønland	1950-2010
13	Finland	1301	Läänit	1950-2009
		1302	Aluehallintovirasto	2010
		1303	Maakuntien	1993-2010
		1304	Kainuu	2005-2010
		1305	Åland	1950-2010

14	France	1401	Départements	1950-2010
		1402	Régions	1964-2010
		1403	Corse	1982-2010
15	Germany	1501	Länder	1950-2010
		1502	Landschaftsverbände in Nordrhein-Westfalen	1950-2010
		1503	Bezirksverband Pfalz in Rheinland-Pfalz	1950-2010
		1504	Regierungsbezirke	1950-2010
		1505	Regierungsbezirke in Nordrhein-Westfalen	2001-2010
		1506	Bezirke in Bayern	1950-2010
		1507	Kreise	1950-2010
16	Greece	1601	Nomoi	1950-2010
		1602	Periphereies	1986-2010
		1603	Aghion Oros	1950-2010
17	Hungary	1701	Megyék	1990-2010
		1702	Megyei jogú városok	1990-2010
		1703	Tervezési-statisztikai régiók	1999-2010
19	Ireland	1901	Development regions	1987-1993
		1902	Regional authorities	1994-2010
20	Italy	2001	Province	1950-2010
		2002	Südtirol/Alto Adige	1950-2010
		2003	Trentino	1950-2010
		2004	Regioni a statuto ordinare	1970-2010
		2005	Friuli-Venezia Giulia	1963-2010
		2006	Sardegna	1950-2010
		2007	Sicilia	1950-2010
		2008	Trentino-Alto Adige/Südtirol	1950-2010
		2009	Valle d'Aosta	1950-2010
21	Japan	2101	Todofuken	1950-2010
22	Latvia	2201	Plānošanas reģioni	2009-2010
23	Lithuania	2301	Apskritys	1995-2009
		2302	Regionų plėtros tarybos	2010
25	Macedonia	2501	Planski ryegioni	2007-2010
27	Netherlands	2701	Provincies	1950-2010
28	New Zealand	2801	Regions	1974-2010
		2802	Auckland	1963-1988
		2803	Wellington	1974-1988
29	Norway	2901	Fylker	1950-2010
		2902	Svalbard	1950-2010
30	Poland	3001	Województwa	1990-2010

31	Portugal	3101	Distritos	1950-2010
		3102	Açores	1976-2010
		3103	Madeira	1976-2010
		3104	Comissões de cooperação e desenvolvimento regional	1979-2010
32	Romania	3201	Judete	1991-2010
		3202	Regiuni de dezvoltare	1998-2010
33	Russian Federation	3301	Respubliki	1993-2010
		3302	Respubliki (bilateral treaty)	1994-2004
		3303	Tatarstan	1994-2010
		3304	Bashkortostan	1994-2004
		3305	Subyekty federacii	1993-2010
		3306	Subyekty federacii (bilateral treaty)	1996-2004
		3307	Federalnyye okruga	2000-2010
34	Serbia and Montenegro	3401	Montenegro	1992-2006
		3402	Serbia	1992-2006
		3403	Okruzi	1992-2006
		3405	Kosovo	1992-1998
		3406	Vojvodina	1992-2006
35	Slovakia	3501	Kraje	1996-2001
		3502	Samosprávné kraje	2002-2010
36	Slovenia	3601	Regionalne razvojne agencije	1999-2010
37	Spain	3701	Provincias	1950-2010
		3702	Araba/Álava	1950-2010
		3703	Bizkaia/Vizcaya	1981-2010
		3704	Gipuzkoa/Guipúzcoa	1981-2010
		3705	In Catalunya/Cataluña: Comarcas	1987-2010
		3706	In Catalunya/Cataluña: Val d'Aran	1991-2010
		3707	Comunidades autónomas*	1982-2010
		3708	Comunidades autónomas**	1983-2010
		3709	Andalucía	1981-1982
		3710	Galiza/Galicia	1981-2010
		3711	Navarre/Nafarroa	1950-2010
		3712	Catalunya/Cataluña	1979-2010
		3713	Euskadi/País Vasco	1979-2010
		3714	Ceuta	1956-2010
		3715	Melilla	1956-2010
38	Sweden	3801	Län/ Landstinge	1950-2010
39	Switzerland	3901	Cantons/ Kantone/ Cantoni	1950-2010

40	Turkey	4001	Iller	1950-2010
		4002	Kalkunna ajanslari	2009-2010
41	United Kingdom	4101	Counties	1950-2010
		4102	Regions	1994-2010
		4103	Greater London Authority	2000-2010
		4104	Northern Ireland	1950-2010
		4105	Scotland	1950-2010
		4106	Wales	1964-2010
42	United States	4201	States	1950-2010
		4202	Alaska	1950-1958
		42034201	Hawaii	1950-1958
		4204	Puerto Rico	1950-2010
		4205	Indian Tribes	1950-2010
		4206	Washington DC	1950-2010
		4207	Counties*	1950-2010
		4208	Counties**	1950-2010
		4209	Counties MA***	1950-2010
		4210	Planning regions CT	1972-2010
43	Israel	4301	Nafot	1950-2010
		4302	Mehozot	1950-2010
45	Serbia	4501	Okruzi	2006-2010
		4502	Vojvodina	2006-2010
		4503	Regionalni razvojni saveti	2009-2010
80	Indonesia	8001	Provinsi	1950-2010
		8002	Kabupaten/Kota	1950-2010
		8003	Daerah Istimewa Yogyakarta	1950-2010
		8004	DKI Jakarta	1966-2010
		8005	Aceh (NAD)	1957-2010
		8006	Papua	2001-2010
		8007	Kab/Kota dalam DKIJ	1966-2010
81	Malaysia	8101	Negeri	1957-2010
		8102	Sarawak	1963-2010
		8103	Singapore	1963-1964
		8104	Kuala Lumpur	1974-2010
		8105	Bandarayan/ Perbandaran	1957-2010
		8106	SS Bandarayan/ Perbandaran	1963-2010
		8107	Labuan	1984-2010
		8108	Putrajaya	2001-2010
		8109	Sabah	1963-2010
82	Philippines	8201	Provinces	1950-2010
		8206	Mindanao	1979-2010

		8301	Changwat	1950-2010
83	Thailand	8303	Bangkok	1972-2010
		8304	Pattaya	1978-2010
84	South Korea	8401	Do/Gwangyeoksi	1952-2010
		8402	Jeju	2006-2010
		10001	Provincias	1950-2010
		10002	Ciudad Autónoma de Buenos Aires	1950-2010
		10003	Tierra del Fuego	1959-1990
		10004	Misiones	1950-1952
		10005	Chaco	1950
100	Argentina	10006	La Pampa	1950
		10007	Formosa	1950-1954
		10008	Neuquén	1950-1954
		10009	Rio Negro	1950-1954
		10010	Chubut	1950-1954
		10011	Santa Cruz	1950-1954
		10401	Departamentos	1950-2010
104	Bolivia	10402	Gran Chaco	2010
		10403	Territorios Autónomos Indígenas	1990-2010
		10501	Estados	1950-2010
		10502	Território Federal de Fernando de Noronha	1950-1987
105	Brazil	10503	Território Federal de Guaporé/Rondônia	1950-1981
		10504	Território Federal de Amapá	1950-1987
		10505	Território Federal de Rio Branco	1950-1987
		10506	Distrito Federal	1950-2010
106	Chile	10601	Provincias	1950-2010
		10602	Regiones	1976-2010
		10701	Departamentos	1950-2010
		10702	Distrito Capital	1950-2010
		10703	San Andres, Providencia and Santa Catarina	1991-2010
		10704	Resguardos Indigenas	1991-2010
		10705	Putumayo	1950-1990
		10706	Amazonas	1950-1990
107	Colombia	10707	Guaviare	1950-1990
		10708	Guainía	1950-1990
		10709	Vaupés	1950-1990
		10710	Vichada	1950-1990
		10711	Arauca	1950-1990
		10712	Casanare	1950-1990
108	Costa Rica	10801	Provincias	1950-1995

109	Cuba	10901	Provincias	1950-2010
		10902	Isla de la Juventud	1976-2010
110	Dominican Republic	11001	Provincias	1950-2010
		11002	Distrito Nacional	1950-2010
111	Ecuador	11101	Provincias	1950-2010
		11102	Galápagos	1973-2010
112	El Salvador	11201	Departamentos	1950-2010
113	Guatemala	11301	Departamentos	1950-2010
115	Haiti	11501	Départements	1950-2010
116	Honduras	11601	Departamentos	1950-2010
118	Mexico	11801	Estados	1950-2010
		11802	Distrito Federal	1950-2010
		11803	California Baja	1950-1952
		11804	California Baja Sur	1950-1973
		11805	Quintana Roo	1950-1973
119	Nicaragua	11901	Departamentos	1950-2010
		11902	Región Autónoma del Norte	1987-2010
		11903	Región Autónoma del Sur	1987-2010
		11904	Managua-Distrito Nacional	1950-2010
120	Panama	12001	Provincias	1950-2010
		12002	Kuna Yala	1950-2010
		12003	Emberá-Wounaan	1983-2010
		12004	Ngöbe-Buglé	1997-2010
		12005	Kuna de Madugandí	1996-2010
		12006	Kuna de Wargandí	2000-2010
121	Paraguay	12101	Departamentos	1950-2010
		12102	Distrito Capital	1950-2010
122	Peru	12201	Departamentos	1950-2010
		12202	Lima	2003-2010
		12203	Provincia Constitucional del Callao	2003-2010
		12204	Provincias	1950-2010
		12205	Regiones	1989-1992
124	Trinidad and Tobago	12401	Tobago	1962-2010
125	Uruguay	12501	Departamentos	1950-2010
126	Venezuela	12601	Estados	1950-2010
		12602	Distrito Federal/Distrito Capital	1950-2010
		12603	Dependencias Federales	1950-2010
		12604	Territorio Federal de Delta Amacuro	1950-1990
		12605	Territorio Federal de Amazonas	1950-1991