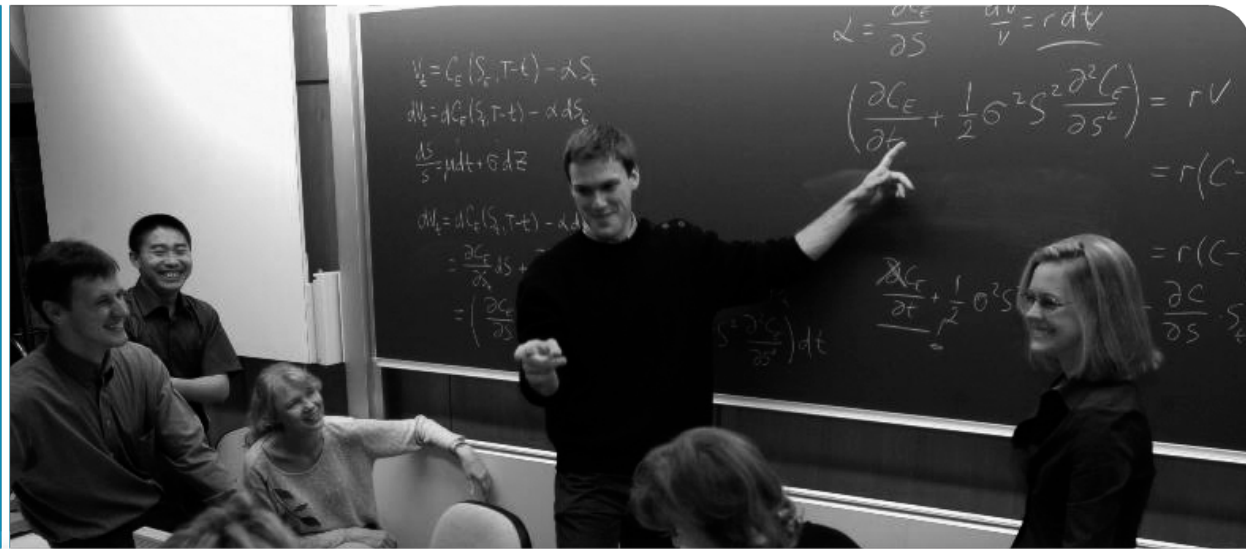


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Local Autonomy and How to Measure it?

PhD Summer School on Local Governance

Winterthur, 8.7.2019

Prof. Dr. Andreas Ladner, IDHEAP



GOVERNANCE
AND PUBLIC
MANAGEMENT SERIES

Patterns of Local Autonomy in Europe

Andreas Ladner · Nicolas Keuffer
Harald Baldersheim · Nikos Hlepas
Pawel Swianiewicz · Kristof Steyvers
Carmen Navarro

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Local Autonomy (LA), a Key Notion of Various Current Debates

- Basically, **LA affirms the administrative and decision-making freedom of public governing bodies**, called local because they are “distinct” from the State, and sub-national from a geographical and legal standpoint (Guérard 2016)
- LA is **at the center of many debates**, currently held at global, European, national and sub-national levels
 - **Division of competences** within a state
 - **Normative values** of the autonomous local government
 - Shift from local government to **local governance**
 - **Territorial reforms** and ideal size of local government to deliver services to citizens
- Recurrent theme in scholarly researches, with a **number of challenges related to the concept of LA** being emphasized

From a normative perspective:

COUNCIL OF EUROPE



CONSEIL DE L'EUROPE

European Treaty Series - No. 122

European Charter of Local Self-Government

Strasbourg, 15.X.1985

Preamble

The member States of the Council of Europe, signatory hereto,

Considering that the aim of the Council of Europe is to achieve a greater unity between its members for the purpose of safeguarding and realising the ideals and principles which are their common heritage;

Considering that one of the methods by which this aim is to be achieved is through agreements in the administrative field;

Considering that the local authorities are one of the main foundations of any democratic regime;

Considering that the right of citizens to participate in the conduct of public affairs is one of the democratic principles that are shared by all member States of the Council of Europe;

Considering that it is at local level that this right can be most directly exercised;

Convinced that the existence of local authorities with real responsibilities can provide an administration which is both effective and close to the citizen;

Aware that the safeguarding and reinforcement of local self-government in the different European countries is an important contribution to the construction of a Europe based on the principles of democracy and the decentralisation of power;

Asserting that this entails the existence of local authorities endowed with democratically constituted decision-making bodies and possessing a wide degree of autonomy with regard to their responsibilities, the ways and means by which those responsibilities are exercised and the resources required for their fulfilment,

Have agreed as follows:

Article 1

The Parties undertake to consider themselves bound by the following articles in the manner and to the extent prescribed in Article 12 of this Charter.

Article 2 – Constitutional and legal foundation for local self-government

The principle of local self-government shall be recognised in domestic legislation, and where practicable in the constitution.

Article 3 – Concept of local self-government

Local self-government denotes the right and the ability of local authorities, within the limits of the law, to regulate and manage a substantial share of public affairs under their own responsibility and in the interests of the local population.

This right shall be exercised by councils or assemblies composed of members freely elected by secret ballot on the basis of direct, equal, universal suffrage, and which may possess executive organs responsible to them. This provision shall in no way affect recourse to assemblies of citizens, referendums or any other form of direct citizen participation where it is permitted by statute.

Article 4 – Scope of local self-government

- 1 The basic powers and responsibilities of local authorities shall be prescribed by the constitution or by statute. However, this provision shall not prevent the attribution to local authorities of powers and responsibilities for specific purposes in accordance with the law.
- 2 Local authorities shall, within the limits of the law, have full discretion to exercise their initiative with regard to any matter which is not excluded from their competence nor assigned to any other authority.
- 3 Public responsibilities shall generally be exercised, in preference, by those authorities which are closest to the citizen. Allocation of responsibility to another authority should weigh up the extent and nature of the task and requirements of efficiency and economy.
- 4 Powers given to local authorities shall normally be full and exclusive. They may not be undermined or limited by another, central or regional, authority except as provided for by the law.
- 5 Where powers are delegated to them by a central or regional authority, local authorities shall, insofar as possible, be allowed discretion in adapting their exercise to local conditions.
- 6 Local authorities shall be consulted, insofar as possible, in due time and in an appropriate way in the planning and decision-making processes for all matters which concern them directly.

Article 5 – Protection of local authority boundaries

Changes in local authority boundaries shall not be made without prior consultation of the local communities concerned, possibly by means of a referendum where this is permitted by statute.

Article 6 – Appropriate administrative structures and resources for the tasks of local authorities

- 1 Without prejudice to more general statutory provisions, local authorities shall be able to determine their own internal administrative structures in order to adapt them to local needs and ensure effective management.
- 2 The conditions of service of local government employees shall be such as to permit the recruitment of high-quality staff on the basis of merit and competence; to this end adequate training opportunities, remuneration and career prospects shall be provided.

Article 7 – Conditions under which responsibilities at local level are exercised

- 1 The conditions of office of local elected representatives shall provide for free exercise of their functions.
- 2 They shall allow for appropriate financial compensation for expenses incurred in the exercise of the office in question as well as, where appropriate, compensation for loss of earnings or remuneration for work done and corresponding social welfare protection.
- 3 Any functions and activities which are deemed incompatible with the holding of local elective office shall be determined by statute or fundamental legal principles.

Article 8 – Administrative supervision of local authorities' activities

- 1 Any administrative supervision of local authorities may only be exercised according to such procedures and in such cases as are provided for by the constitution or by statute.
- 2 Any administrative supervision of the activities of the local authorities shall normally aim only at ensuring compliance with the law and with constitutional principles. Administrative supervision may however be exercised with regard to expediency by higher-level authorities in respect of tasks the execution of which is delegated to local authorities.
- 3 Administrative supervision of local authorities shall be exercised in such a way as to ensure that the intervention of the controlling authority is kept in proportion to the importance of the interests which it is intended to protect.

Article 9 – Financial resources of local authorities

- 1 Local authorities shall be entitled, within national economic policy, to adequate financial resources of their own, of which they may dispose freely within the framework of their powers.
- 2 Local authorities' financial resources shall be commensurate with the responsibilities provided for by the constitution and the law.
- 3 Part at least of the financial resources of local authorities shall derive from local taxes and charges of which, within the limits of statute, they have the power to determine the rate.
- 4 The financial systems on which resources available to local authorities are based shall be of a sufficiently diversified and buoyant nature to enable them to keep pace as far as practically possible with the real evolution of the cost of carrying out their tasks.
- 5 The protection of financially weaker local authorities calls for the institution of financial equalisation procedures or equivalent measures which are designed to correct the effects of the unequal distribution of potential sources of finance and of the financial burden they must support. Such procedures or measures shall not diminish the discretion local authorities may exercise within their own sphere of responsibility.
- 6 Local authorities shall be consulted, in an appropriate manner, on the way in which redistributed resources are to be allocated to them.
- 7 As far as possible, grants to local authorities shall not be earmarked for the financing of specific projects. The provision of grants shall not remove the basic freedom of local authorities to exercise policy discretion within their own jurisdiction.
- 8 For the purpose of borrowing for capital investment, local authorities shall have access to the national capital market within the limits of the law.

Article 10 – Local authorities' right to associate

- 1 Local authorities shall be entitled, in exercising their powers, to co-operate and, within the framework of the law, to form consortia with other local authorities in order to carry out tasks of common interest.
- 2 The entitlement of local authorities to belong to an association for the protection and promotion of their common interests and to belong to an international association of local authorities shall be recognised in each State.
- 3 Local authorities shall be entitled, under such conditions as may be provided for by the law, to co-operate with their counterparts in other States.

Article 11 – Legal protection of local self-government

Local authorities shall have the right of recourse to a judicial remedy in order to secure free exercise of their powers and respect for such principles of local self-government as are enshrined in the constitution or domestic legislation.

Ten of the following paragraphs have to be accepted

Article 12 – Undertakings

- 1 Each Party undertakes to consider itself bound by at least twenty paragraphs of Part I of the Charter, at least ten of which shall be selected from among the following paragraphs:
 - Article 2,
 - Article 3, paragraphs 1 and 2,
 - Article 4, paragraphs 1, 2 and 4,
 - Article 5,
 - Article 7, paragraph 1,
 - Article 8, paragraph 2,
 - Article 9, paragraphs 1, 2 and 3,
 - Article 10, paragraph 1,
 - Article 11.

About half the countries signed the Charter without any reservations. The most frequent reservations concern:

- article 4, paragraph 5 which demands that local authorities shall, “insofar as possible, be allowed discretion in adapting their exercise to local conditions”,
- article 6, paragraph 2 which demands that the “conditions of service of local government employees shall be such as to permit the recruitment of high-quality staff on the basis of merit and competence; to this end adequate training opportunities, remuneration and career prospects shall be provided”,
- article 7, paragraph 2 which demands that national regulations “shall allow for appropriate financial compensation for expenses incurred in the exercise of the office in question as well as, where appropriate, compensation for loss of earnings or remuneration for work done and corresponding social welfare protection”,
- article 8, paragraph 2 which demands that “any administrative supervision of the activities of the local authorities shall normally aim only at ensuring compliance with the law and with constitutional principles. Administrative supervision may however be exercised with regard to expediency by higher-level authorities in respect of tasks the execution of which is delegated to local authorities”,
- and the various paragraphs of article 9 which concerns the financial resources of local authorities, the principle of fiscal equivalence, the tax autonomy, financial equalization, non-conditional transfers and borrowing possibilities.



At a glance

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Monitoring local democracy in all countries

The European Charter of Local Self-Government, one of the Organisation's key achievements, was drawn up in 1985 and is the reference instrument that the Council of Europe uses as its basis in this field. Of the 42 member states that have signed it to date, 41 have ratified it.

The Congress has the task of preparing different types of reports to assess the extent to which the Charter is being implemented:

- **Monitoring reports** on local democracy, which are drawn up country by country.

Forty-two reports have been prepared since 1995, the aim being to complete the exercise in all the signatory states by 2006/2007. In addition to examining the situation in the new democracies, the Congress has made a point of studying the situation in countries with a longer-standing democratic tradition.

The monitoring exercise provides an important basis on which to enter into a constructive political dialogue with the authorities of member states in connection with local and regional democracy issues. This enables the Congress to familiarise governments, parliaments, associations, elected representatives and the media with its main conventions and legal instruments concerning local and regional institutional issues. Numerous legislative reforms have been set in motion by member states in the light of the conclusions in these reports.

- **General reports** providing an across-the-board analysis of the application of the European Charter of Local Self-Government in member states and countries applying to join the Council of Europe.

So-called "second-generation" reports, which take this work a stage further.

Activities

MEETINGS

- Sessions
- Calendar
- Event files
- Restricted access

ADOPTED TEXTS

- All texts
- Statutory resolution and Charter
- Thematic index

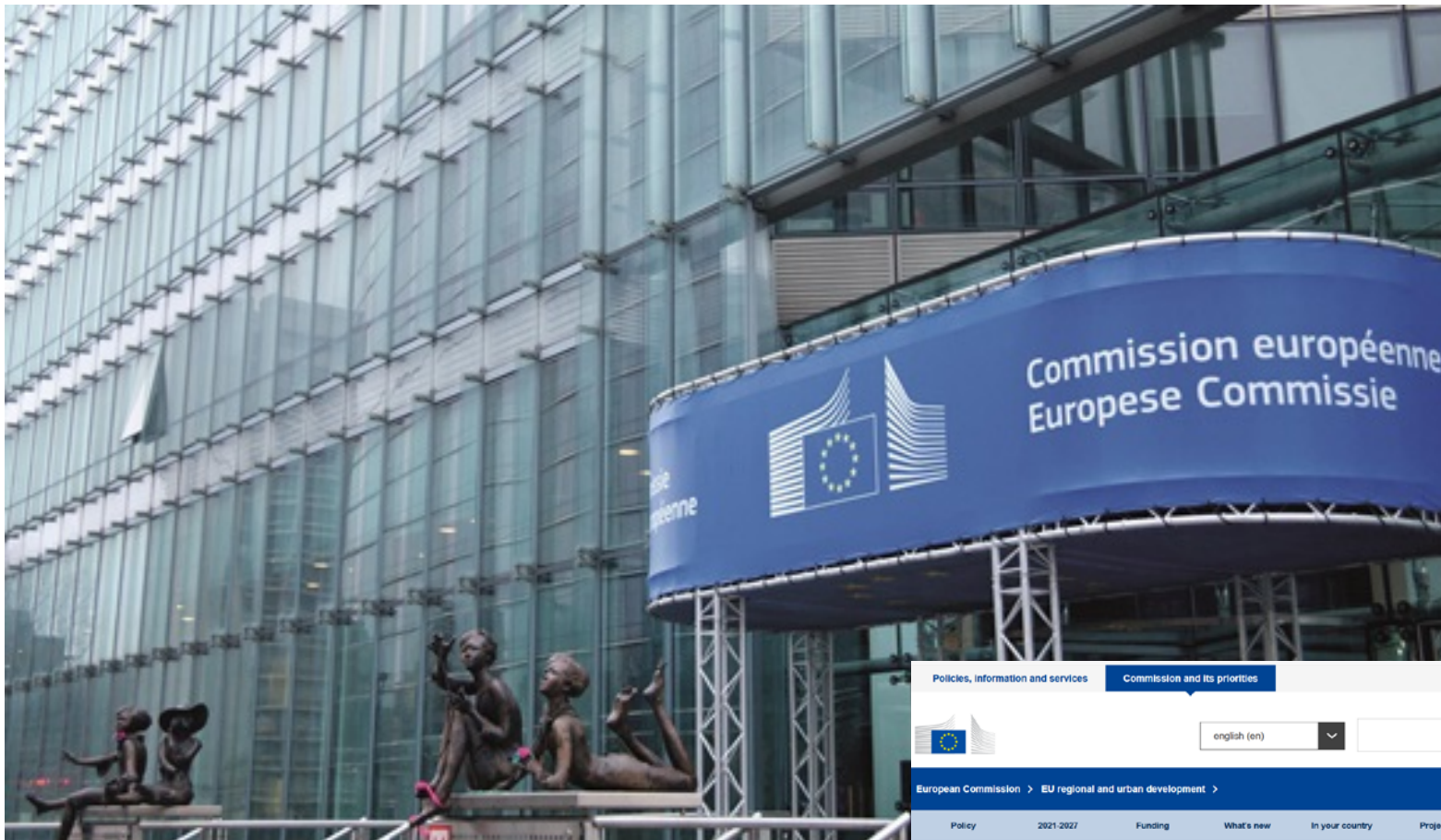
TERMS OF REFERENCE

- Mandates
- Rules of procedure


DIRECTORY

- Congress members
- Secretariat

- | | | |
|----------------------|------------------|----------------------|
| ▶ All reports | ▶ Georgia | ▶ Poland |
| ▶ Albania | ▶ Germany | ▶ Portugal |
| ▶ Armenia | ▶ Greece | ▶ Romania |
| ▶ Azerbaijan | ▶ Hungary | ▶ Russian Federation |
| ▶ Bulgaria | ▶ Italy | ▶ Slovakia |
| ▶ Cyprus | ▶ Latvia | ▶ Slovenia |
| ▶ Czechia | ▶ Lithuania | ▶ Switzerland |
| ▶ Denmark | ▶ Luxembourg | ▶ Turkey |
| ▶ Estonia | ▶ Malta | ▶ Ukraine |
| ▶ Finland | ▶ Netherlands | ▶ Uzbekistan |
| ▶ France | ▶ Norway | |
| ▶ Germany | ▶ Serbia | |
| ▶ Greece | ▶ Spain | |
| ▶ Hungary | ▶ Sweden | |
| ▶ Iceland | ▶ United Kingdom | |
| ▶ Ireland | ▶ Vatican City | |
| ▶ Italy | | |
| ▶ Latvia | | |
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| ▶ Ukraine | | |
| ▶ Uzbekistan | | |



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Mandate and interest of the European Commission

- The study was initiated by the Directorate-General for Regional and Urban Policy of the European Commission (Tender No 2014.CE.16.BAT.031: “Self-rule Index for Local Authorities”).
- Going beyond fiscal autonomy and local government expenditures as a percentage of total government expenditures
- Big parts of the cohesion policy funding aim at improving institutional capacity and public administration, particularly on local level. Since the absorption rate of cohesion policy funding for the 2007–2013 has shown to be very low in some cases (European Commission 2014) and the expected goals could not be reached, it has become a key objective for the period 2014–2020 to strengthen local authorities.

Background to the LAI project

- Report for the European Commission on the **changes** in amount of decentralisation in the EU, with a measure that **goes beyond the share of funds** managed by local authorities
- Co-ordination of the project by Prof. Dr. Andreas Ladner and Dr. Nicolas Keuffer (IDHEAP), in close cooperation with Prof. Dr. Harald Baldersheim (University of Oslo)
- A methodology that should correspond as closely as possible with the one of the Regional Authority Index (RAI)
- A large scope: **39 countries** and 25 years (**1990-2014**) covered
- One year to collect the data, from October 2014 to November 2015

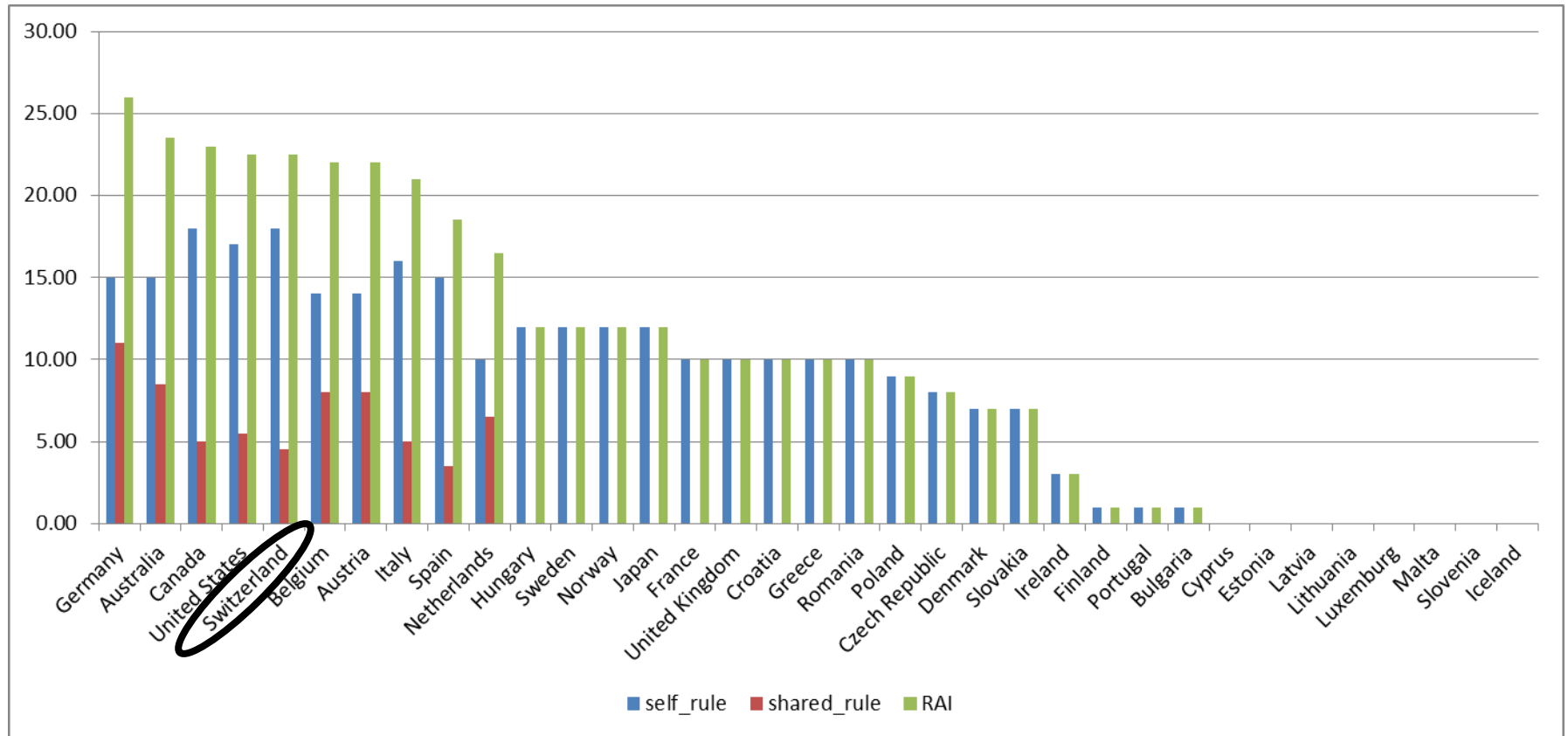


Final report

*Tender No 2014.CE.16.BAT.031: Self-rule Index
for Local Authorities (Release 1.0)*

Andreas Ladner, Nicolas Keuffer and Harald Baldersheim

Hooghe et al.: Regional Authority Index



Source: Hooghe, Liesbet, Gary Marks, Arjan H. Schakel, Sandra Chapman, Sara Niedzwiecki, Sarah Shair-Rosenfield (forthcoming). Governance Below the Stat : Regional Authority in 81 Countries. Oxford: OUP. Estimations personnelles, écart d'agrégation

Theoretical Concerns

The Legalistic Approach and the “Old” Institutionalism

- Local Autonomy as the “Freedom from”, “Freedom to” and “Reflection of Local Identity” (Pratchett 2004)
- Clark (1984): The power of initiation and the power of immunity
- Gurr and King (1987): autonomy has a vertical dimension (Type II autonomy) and horizontal dimension (Type I autonomy)

The Functional Approach, Economic Theories and Politikverflechtung

- Decentralisation theories (Oates 1990, Buchanan 1950, Tiebout 1956, Musgrave 1959)
- Many shared tasks (Politikverflechtung) (Scharpf 1978)
- Local government as the range of functions (Vetter 2007)

The Organisational Approach, Democracy and Governance

- First, “contextual conditions” referring to the general judicial, socio-economic and historical determinants
- Second, “structural conditions” which have to do with the relative position of local governments in terms of functional responsibilities and financial autonomy. This factor overlaps with the idea of fiscal decentralization.
- Third, “institutional conditions” related to the size of local government, its internal organisation, financial budget and infrastructure
- Last, the “human resource conditions” which refer basically to personnel management considerations (Reddy et al. 2015: 162)

The Politics Approach of Intergovernmental Relations and the Veto Players' Theory

- Local Government as veto players (Tsebelis 1995)
- Organisation of central control (Goldsmith 2002)
- Direct and indirect channels to influence higher level decisions (Page 1991)

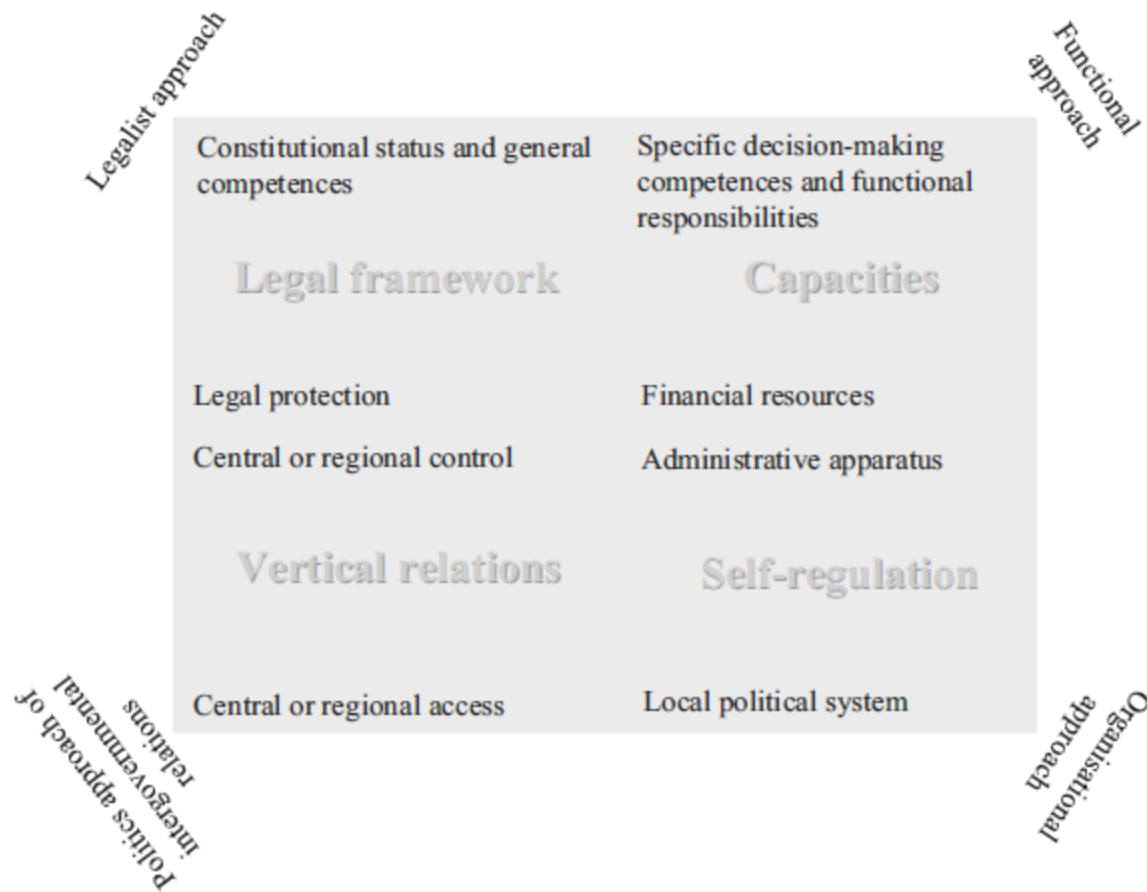


Fig. 1.1 Local autonomy's approaches and constitutive aspects

Code Book: Self-rule Institutional Depth

Table 2.7 Local autonomy coding scheme

| <i>Self-rule index</i> | | | |
|------------------------|---|--------------|--|
| <i>Variable</i> | <i>Description</i> | <i>Scale</i> | <i>Operationalisation</i> |
| Institutional depth | <p><i>The extent to which local government is formally autonomous and can choose the tasks they want to perform</i></p> <p>Additional coding instructions: Whether a municipality is responsible for the different tasks and/or has the financial resources is not the question here. Indeed, the coding has to comply with the legal framework in the respective countries. This means that the coding refers to the status of the local government according to the constitution and other relevant legislation; if there are deeply contradictory regulations, this should be reflected in the coding and also mentioned in the notes.</p> | 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 and Effective Political Discretion

| | | | |
|---|---|-----|---|
| Policy scope ^a | <p><i>Range of functions (tasks) where local government is effectively involved in the delivery of the services (be it through their own financial resources and/or through their own staff)</i></p> <p>Additional coding instructions: Here we want to know whether the municipalities are involved in the provision of these tasks and services. How much they can decide is part of the next question. Half points (0.5) can be used if local government is only partly involved (i.e. below).</p> | 0-4 | <p>Not at all, partly, fully responsible:</p> <p>Education (0-2) Social assistance (0-2) Health (0-2)</p> <p>Land use (0-2) Public transport (0-1) Housing (0-1)</p> <p>Police (0-1) Caring functions (0-1)</p> |
| Effective political discretion ^a | <p><i>The extent to which local government has real influence (can decide on service aspects) over these functions</i></p> <p>Additional coding instructions: half points (0.5) can be used if local government can only partly decide (i.e. below).</p> | 0-4 | <p>No, some, or real authoritative decision-making in:</p> <p>Education (0-2) Social assistance (0-2) Health (0-2)</p> <p>Land use (0-2) Public transport (0-1) Housing (0-1)</p> <p>Police (0-1) Caring functions (0-1)</p> |

(continued)

Fiscal autonomy, financial transfer system and Financial self-reliance

Table 2.7 (continued)

| <i>Self-rule index</i> | | | |
|---------------------------|--|--------------|--|
| <i>Variable</i> | <i>Description</i> | <i>Scale</i> | <i>Operationalisation</i> |
| Fiscal autonomy | <i>The extent to which local government can independently tax its population</i> 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. | 0–4 | 0 local authorities do not set base and rate of any tax 1 local authorities set base or rate of minor taxes 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 3 local authorities set rate of one major tax (personal income, corporate, value added, property or sales tax) with few or no restrictions 4 local authorities set base and rate of more than one major tax (personal income, corporate, value added, property or sales tax) |
| Financial transfer system | <i>The proportion of unconditional financial transfers to total financial transfers received by the local government</i> | 0–3 | 0 conditional transfers are dominant (unconditional = 0–40% of total transfers) 1 there is largely a balance between conditional and unconditional financial transfers (unconditional = 40–60%) 2 unconditional financial transfers are dominant (unconditional = 60–80%) 3 nearly all transfers are unconditional (unconditional = 80–100%) |
| Financial self-reliance | <i>The proportion of local government revenues derived from own/local sources (taxes, fees, charges)</i> Additional coding instructions: A shared tax collected by central government and over which local government has no influence has to be regarded as financial transfer. Please make a note in your country report if this is the case. | 0–3 | 0 own sources yield less than 10% of total revenues 1 own sources yield 10–25% 2 own sources yield 25–50% 3 own sources yield more than 50% |

(continued)

Borrowing autonomy and Organisational autonomy

Table 2.7 (continued)

| <i>Self-rule index</i> | | | | | | | |
|---|---|--------------|---|------------------------------|---|---|--|
| <i>Variable</i> | <i>Description</i> | <i>Scale</i> | <i>Operationalisation</i> | | | | |
| 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 authorisation 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 authorisation 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"> <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) |
| 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) | | | | | | |
| Self-rule | | 0–28 | The overall self-rule enjoyed by local government in X country (the sum of all the indicators above) | | | | |

(continued)

Interactive rule: Legal protection, Administrative supervision and central or regional access

Table 2.7 (continued)

| <i>Interactive rule index</i> | | | |
|-------------------------------|--|--------------|--|
| <i>Variable</i> | <i>Description</i> | <i>Scale</i> | <i>Operationalisation</i> |
| Legal protection | <i>Existence of constitutional or legal means to assert local autonomy</i> This dimension is related to the § 4.1 and 11 in the European Charter of Local Self-Government | 0–3 | 0 no legal remedy for the protection of local autonomy exists 1 constitutional clauses or other statutory regulations protect local self-government 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) 3 remedies of types 1 and 2 above, plus other means that protect local autonomy such as, for example, listing of all municipalities in the constitution or the impossibility to force them to merge |
| Administrative supervision | <i>Unobtrusive administrative supervision of local government</i> This dimension is related to the § 8 in the European Charter of Local Self-Government | 0–3 | 0 administrative supervision reviews legality as well as merits/expediency of municipal decisions 1 administrative supervision covers details of accounts and spending priorities 2 administrative supervision only aims at ensuring compliance with law (legality of local decisions) 3 there is very limited administrative supervision |
| Central or regional access | <i>To what extent local authorities are consulted to influence higher-level governments' policy-making</i> | 0–3 | 0 local authorities are never consulted by higher-level governments, and there are no formal mechanisms of representation 1 local authorities are consulted and/or have access to higher-level decision-making through formal representation but influence is limited 2 local authorities are regularly consulted through permanent consultation channels and have substantial influence 3 local authorities are either consulted or have access to higher-level decision-making through formal representation and substantial influence |
| Interactive rule | | 0–9 | The overall interactive rule enjoyed by local government in X country (the sum of all the three indicators above) |
| LA | | 0–37 | The combined autonomy of local authorities (the sum of all indicators) |

Methodology

- **Assessment by experts:** country experts supervised by 6 country group coordinators who are among the leading scholars in the field
- Scores assigned on the basis of a **codebook of 11 variables** (Ladner, Keuffer & Baldersheim 2016)
- Country profiles and datasets
- Consistency of the coding controlled in 3 steps
- **Municipalities** as unit of analysis but countries as unit of presentation and weighting by population in case of **asymmetry** (weighting rules)

Creating an Index of Local Autonomy



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Andreas Ladner & Nicolas Keuffer

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ABSTRACT

Any attempt to create an overall measurement of local autonomy is confronted with difficult questions: Is local autonomy a one-dimensional concept? If it is multidimensional, what dimensions should be taken into account? Are legal, functional, financial, organizational, and vertical aspect of autonomy of equal importance, or must they be weighted? How can they be aggregated: can they simply be summed or are more complicated methods needed? On the basis of an international research project covering some 39 countries over 25 years, we will discuss the choices that have to be made and show what implications they have on

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Table 9.2 The 11 variables measuring local autonomy (correlation matrix)

| | Institutional depth | Policy scope | Effective political discretion | Fiscal autonomy | Financial transfer system | Financial self-reliance | Borrowing autonomy | Organisational autonomy | Legal protection | Administrative supervision | Central and regional access |
|--------------------------------|---------------------|--------------|--------------------------------|-----------------|---------------------------|-------------------------|--------------------|-------------------------|------------------|----------------------------|-----------------------------|
| Institutional depth | 1.000 | 0.541 | 0.412 | 0.243 | 0.263 | 0.207 | 0.435 | 0.379 | 0.118 | 0.230 | 0.470 |
| Policy scope | 0.541 | 1.000 | 0.758 | 0.442 | 0.263 | 0.163 | 0.283 | 0.409 | 0.043 | 0.193 | 0.443 |
| Effective political discretion | 0.412 | 0.758 | 1.000 | 0.208 | 0.179 | -0.074 | 0.209 | 0.352 | 0.103 | 0.140 | 0.250 |
| Fiscal autonomy | 0.243 | 0.442 | 0.208 | 1.000 | 0.304 | 0.579 | 0.300 | 0.237 | 0.032 | 0.094 | 0.349 |
| Financial transfer system | 0.263 | 0.263 | 0.179 | 0.304 | 1.000 | 0.443 | 0.190 | 0.041 | -0.146 | 0.297 | 0.245 |
| Financial self-reliance | 0.207 | 0.163 | -0.074 | 0.579 | 0.443 | 1.000 | 0.399 | 0.031 | -0.167 | 0.105 | 0.266 |
| Borrowing autonomy | 0.435 | 0.283 | 0.209 | 0.300 | 0.190 | 0.399 | 1.000 | 0.334 | 0.218 | 0.225 | 0.381 |
| Organisational autonomy | 0.379 | 0.409 | 0.352 | 0.237 | 0.041 | 0.031 | 0.334 | 1.000 | 0.237 | 0.350 | 0.256 |
| Legal protection | 0.118 | 0.043 | 0.103 | 0.032 | -0.146 | -0.167 | 0.218 | 0.237 | 1.000 | 0.238 | 0.080 |
| Administrative supervision | 0.230 | 0.193 | 0.140 | 0.094 | 0.297 | 0.105 | 0.225 | 0.350 | 0.238 | 1.000 | 0.249 |
| Central and regional access | 0.470 | 0.443 | 0.250 | 0.349 | 0.245 | 0.266 | 0.381 | 0.256 | 0.080 | 0.249 | 1.000 |

Note: N = 966, all correlations higher than 0.1 and lower than -0.1 are significant, values higher than 0.4 are highlighted

Defining and Measuring LA

Subsequently, **7 dimensions** of LA have been theoretically and empirically identified and operationalized

- 1) Legal autonomy
- 2) Political discretion
- 3) Policy scope
- 4) Financial autonomy
- 5) Organizational autonomy
- 6) Non-interference
- 7) Access (to senior levels)

(Keuffer 2016; Ladner et al. 2019)

Weighting

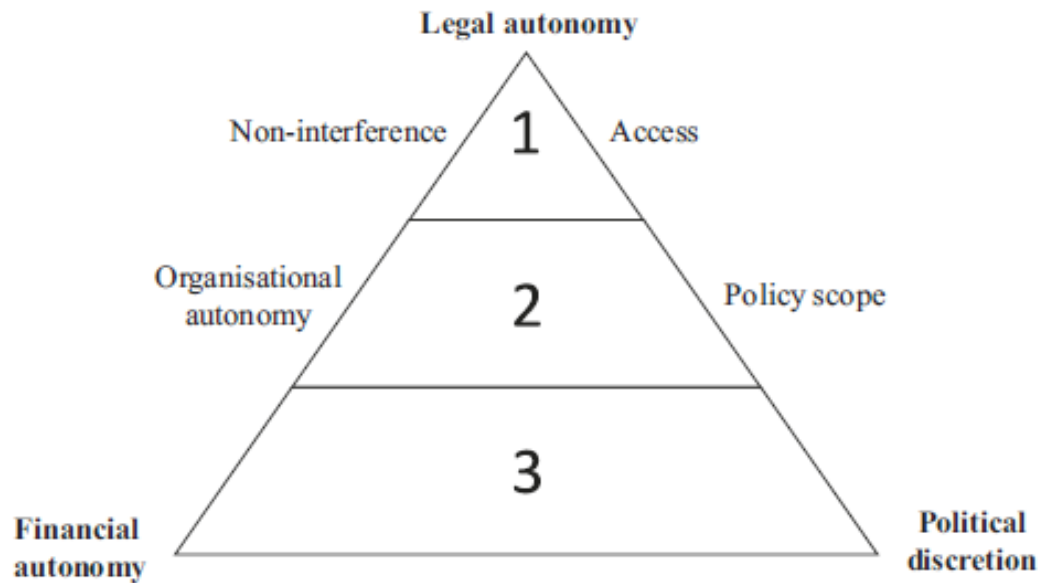
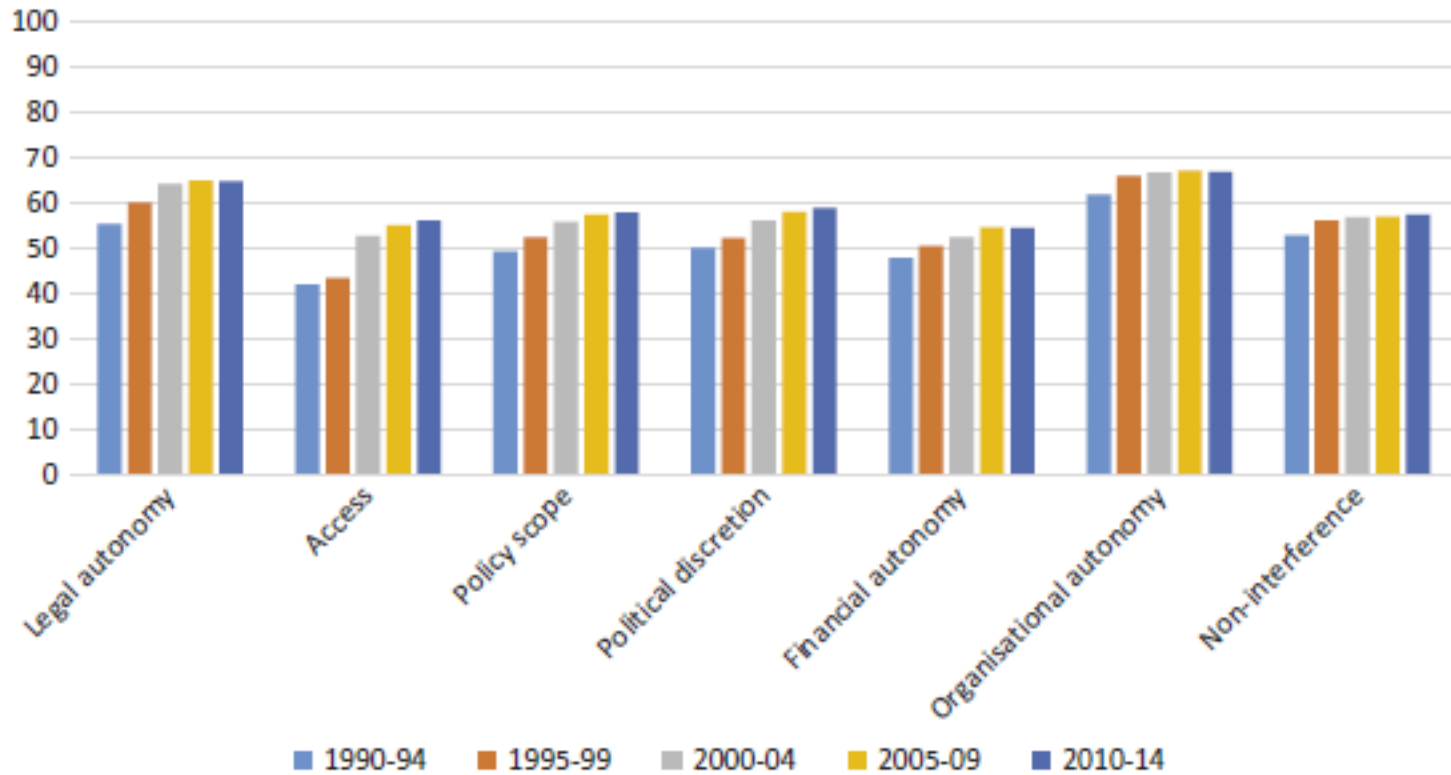


Fig. 9.2 The triangle of local autonomy

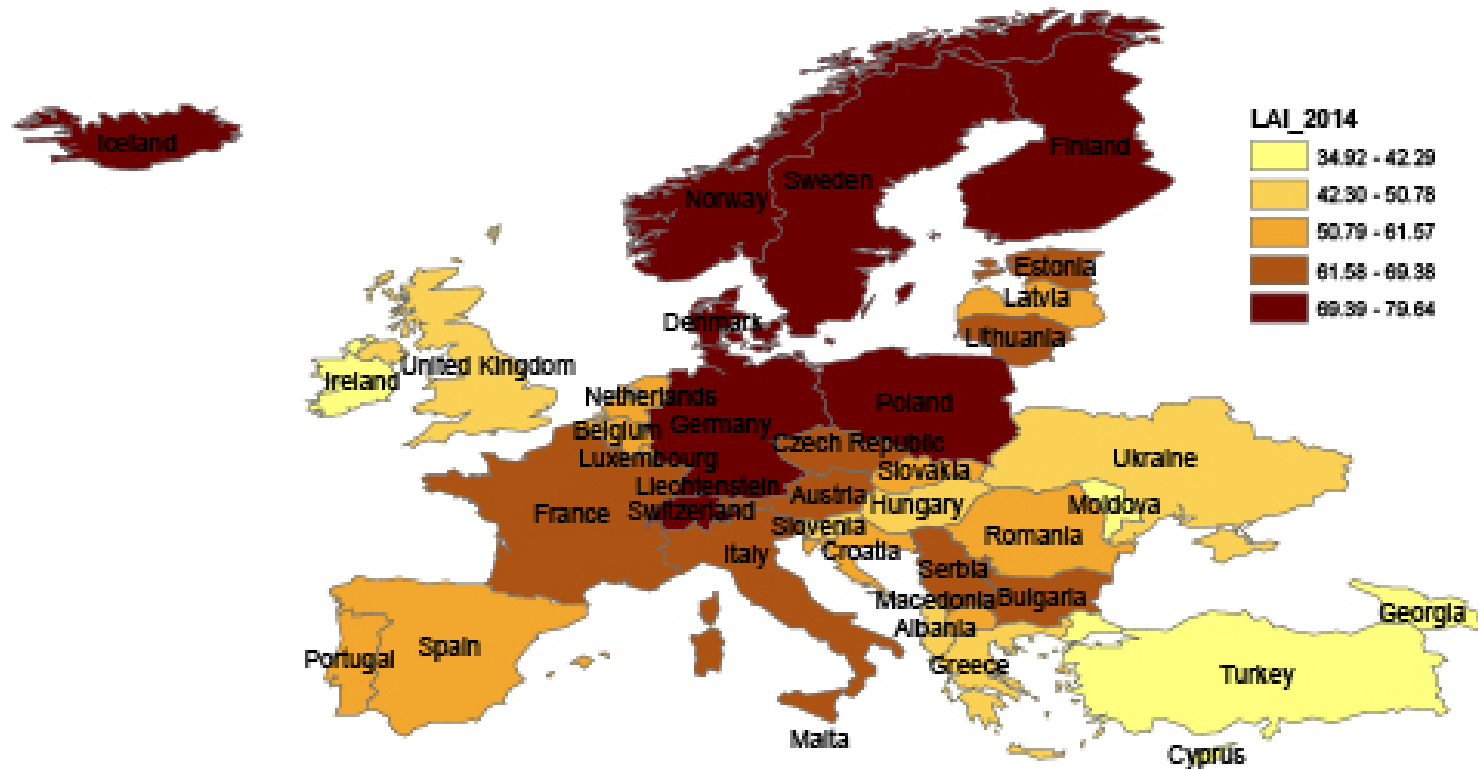
Box 9.1: The Calculation of the LAI

$$\text{LAI} = (1 * \text{legal autonomy} + 3 * \text{political discretion} + 2 * \text{policy autonomy} + 3 * \text{financial autonomy} + 2 * \text{organisational autonomy} + 1 * \text{non-interference} + 1 * \text{access}) / 13$$

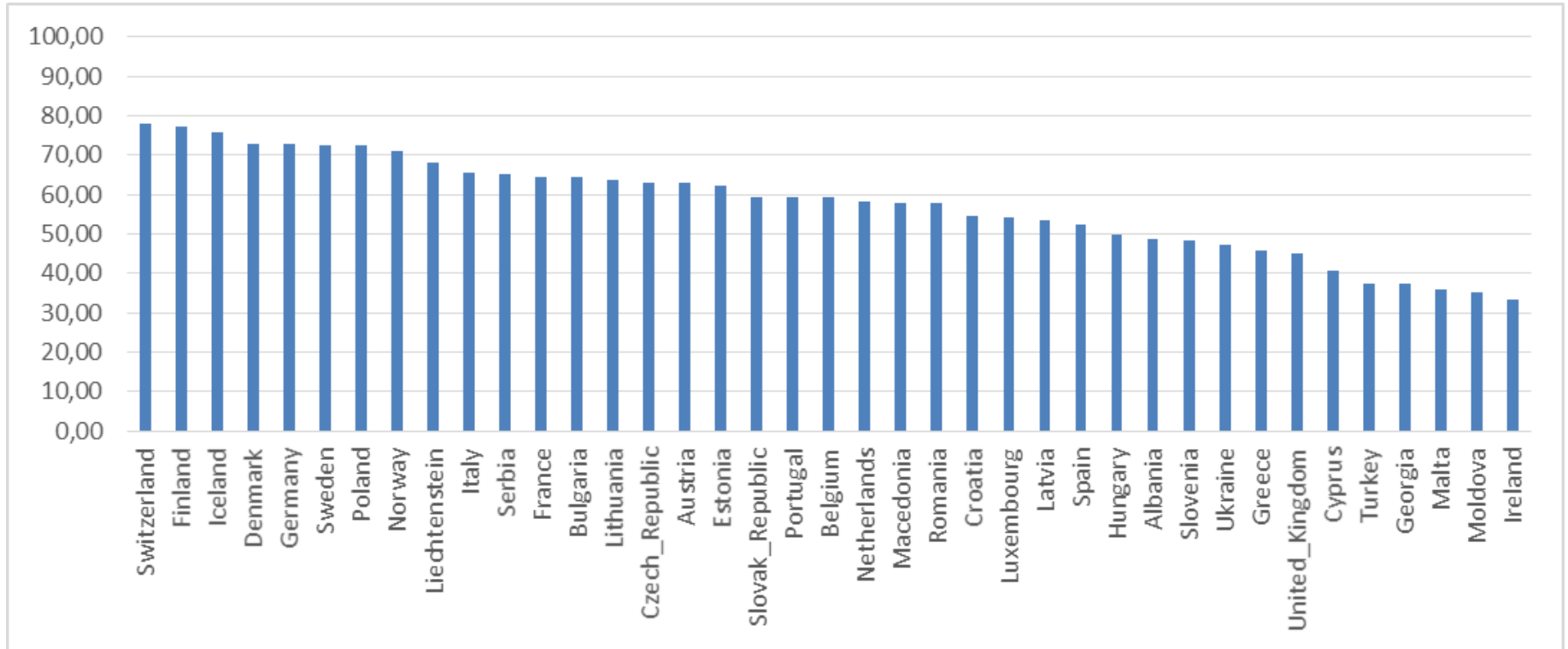
Mean values



Local Autonomy in Europe (2014)

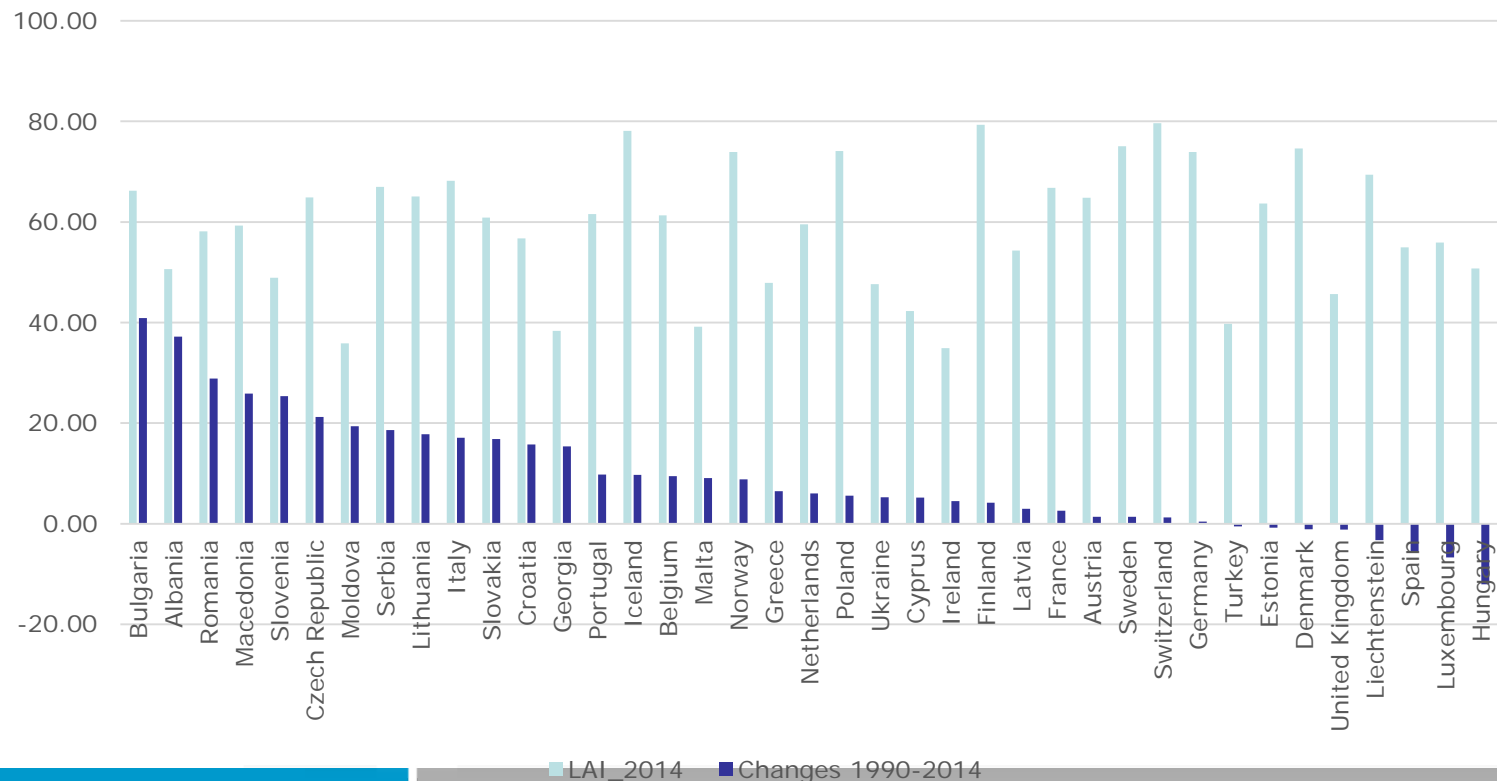


«Country Ranking 2014»

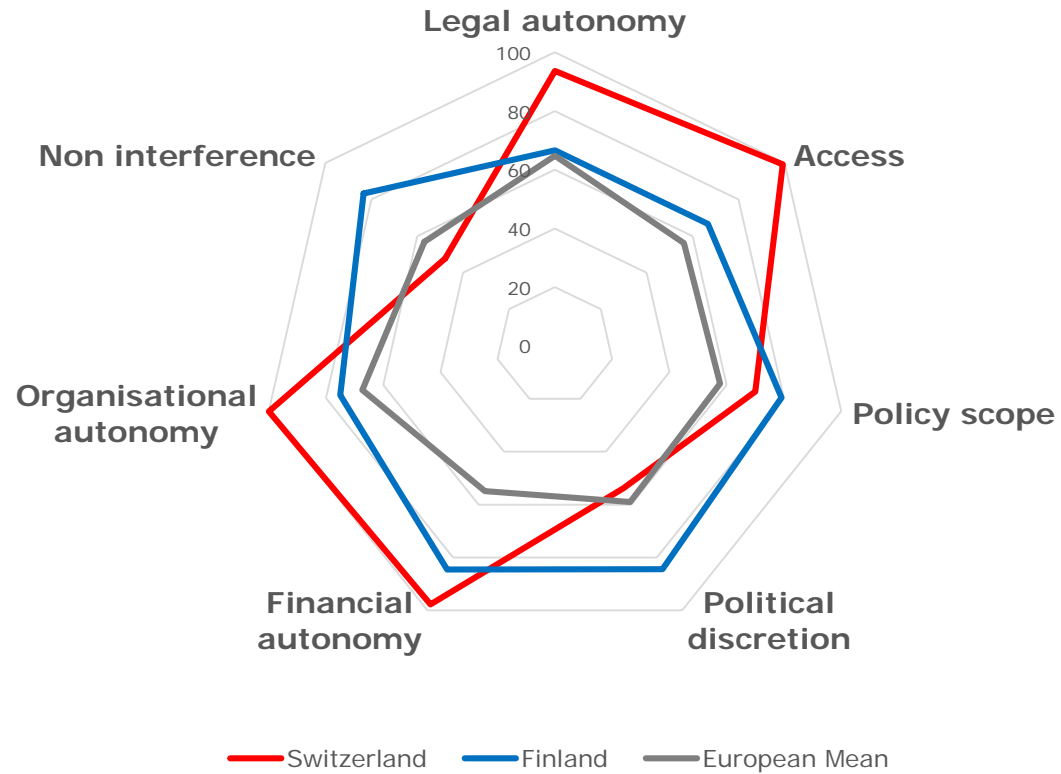


Development of LA in Europe

A general increase and a great diversity among countries



National Patterns of LA



Sources: LAI 2014

Patterns of LA

- **Country classification of 9 different types of LA**, based on the two cornerstones of local autonomy, PD and FA

| | | Political discretion (PD) | | |
|-------------------------|--------|---|--|---|
| | | Low | Medium | High |
| Financial autonomy (FA) | Low | Type IX ("tutelle") Georgia, Malta, Moldova, Turkey, United Kingdom | Type VIII Albania, Hungary, Ukraine | Type V (chained democracy) Czech R., Estonia, Latvia, Lithuania, Netherlands, Romania, Slovenia |
| | Medium | Type VII Greece | Type III Croatia, Poland, Serbia, Slovakia | Type IV Bulgaria, Macedonia, Portugal |
| | High | Type VI (guided democracy) Cyprus, Ireland, Liechtenstein, Spain | Type II Austria, Belgium, France, Italy, Switzerland | Type I (partnership) Denmark, Finland, Germany, Iceland, Luxembourg, Norway, Sweden |

Ladner et al. (2019)

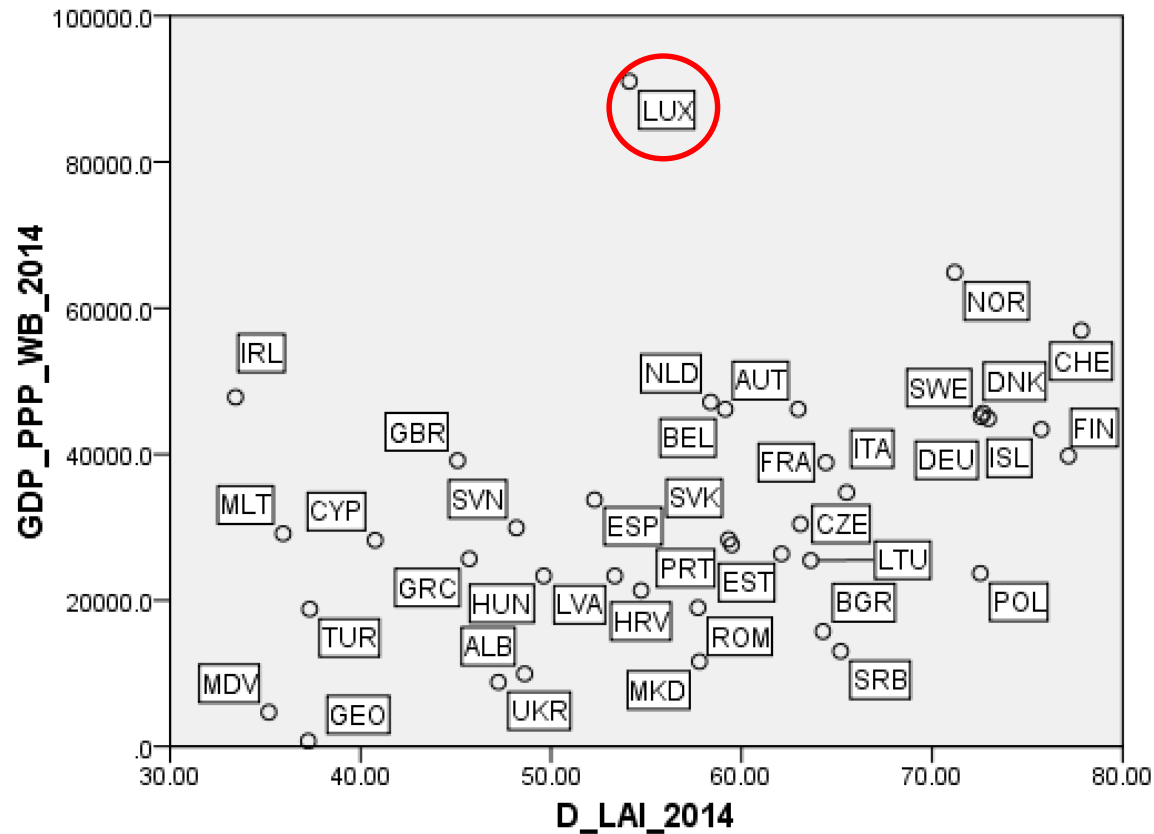
And ...



Does local autonomy ...

- ... lead to economic welfare?
- ... less corruption?
- ... more trust?
- more happiness?
- ... democracy?

Local autonomy and GDP_PPP

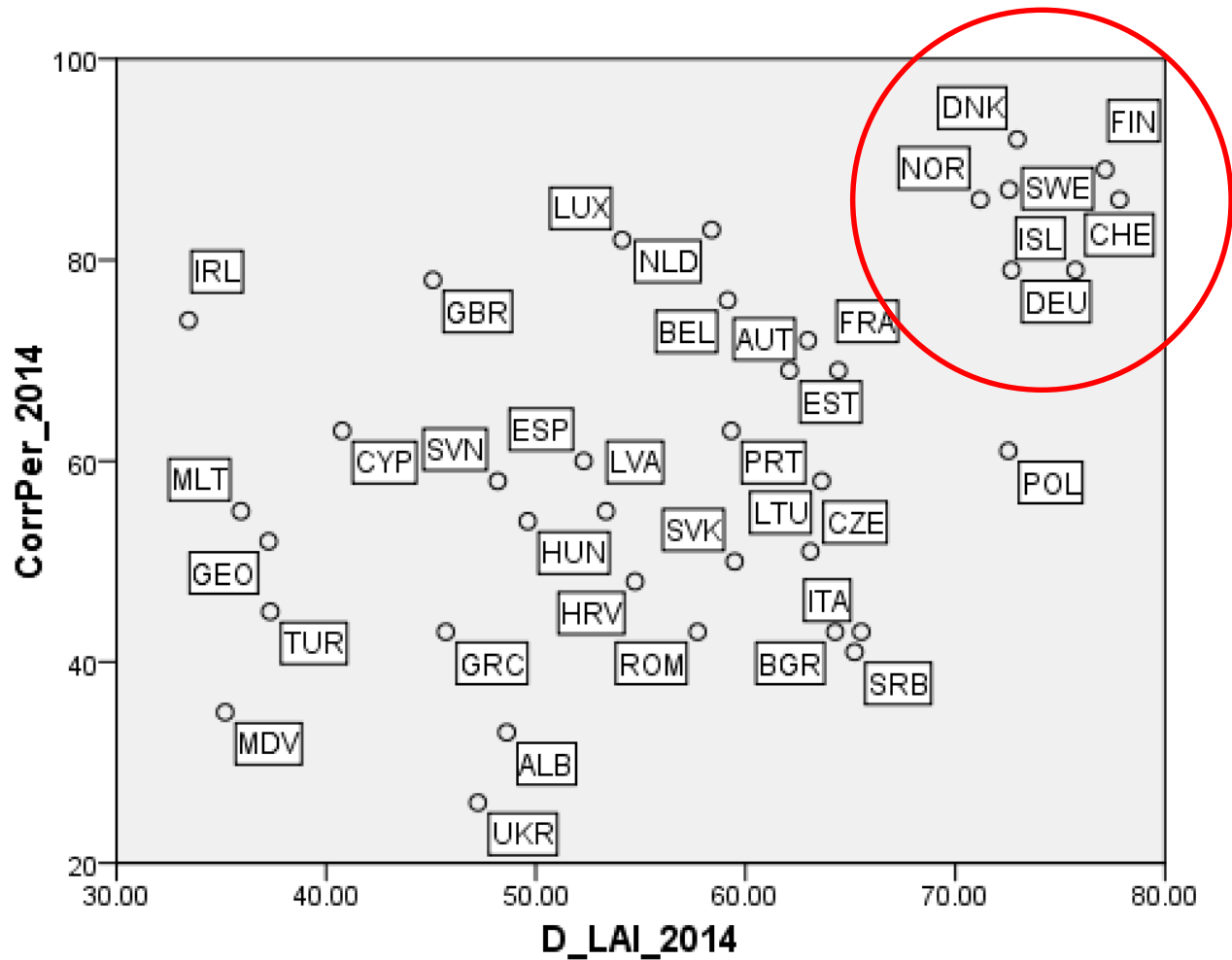


Korrelationen

| | | GDP_PPP_WB_2014 |
|------------|---------------------|-----------------|
| D_LAI_2014 | Pearson-Korrelation | .392** |
| | Sig. (1-seitig) | .007 |
| | N | 38 |

** Korrelation ist bei Niveau 0,01 signifikant (einseitig).

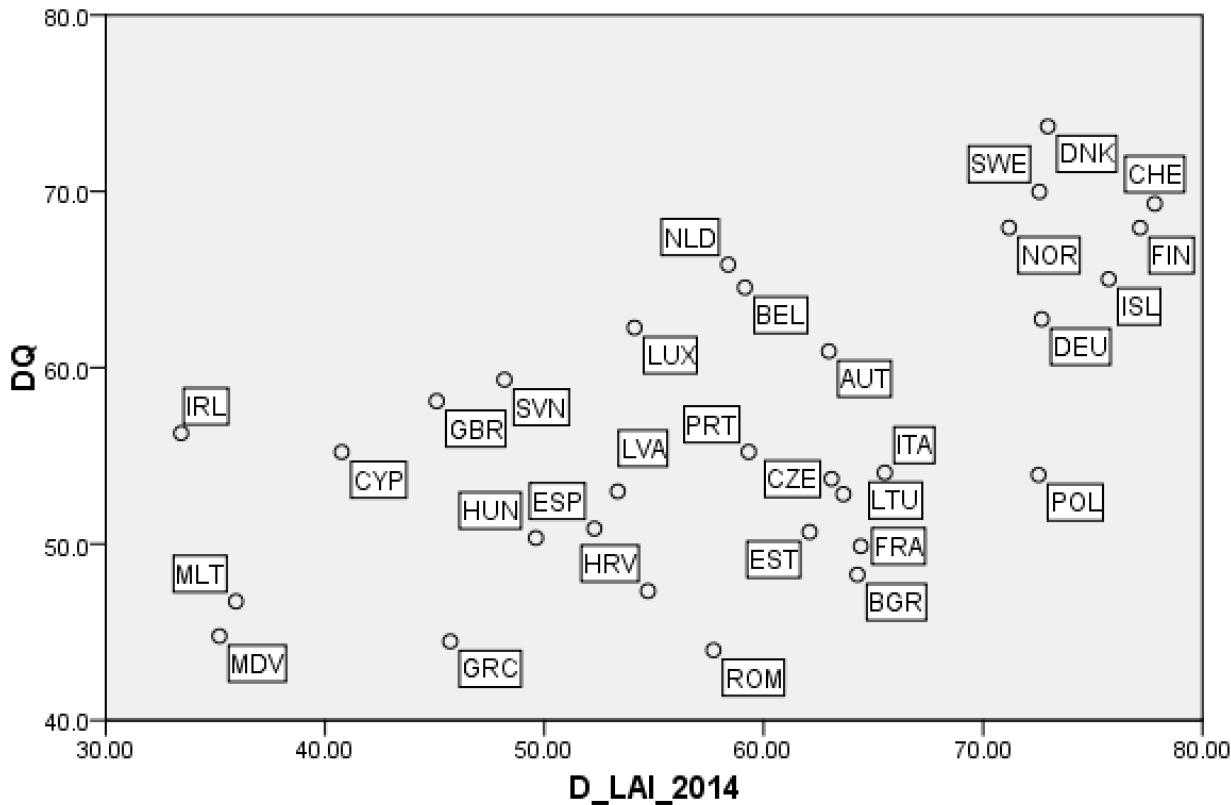
Local autonomy and corruption



| Korrelationen | | CorrPer_2014 |
|---------------|---------------------|--------------|
| D_LAI_2014 | Pearson-Korrelation | .501** |
| | Sig. (1-seitig) | .001 |
| | N | 37 |

** Korrelation ist bei Niveau 0,01 signifikant (einseitig).

Local autonomy and democracy

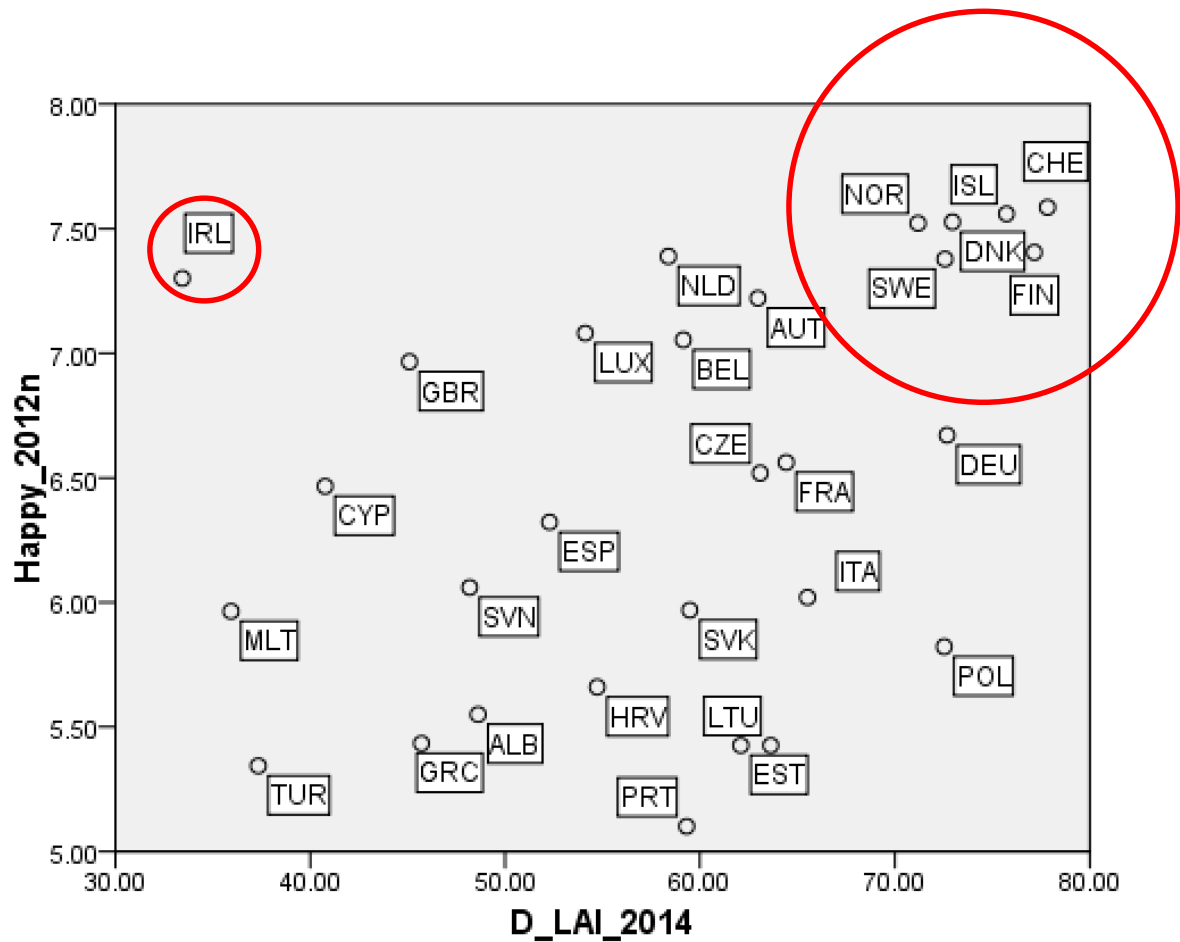


Korrelationen

| | | DQ |
|------------|---------------------|--------|
| D_LAI_2014 | Pearson-Korrelation | .584** |
| | Sig. (1-seitig) | .000 |
| | N | 31 |

** Korrelation ist bei Niveau 0,01 signifikant (einseitig).

Local autonomy and happiness



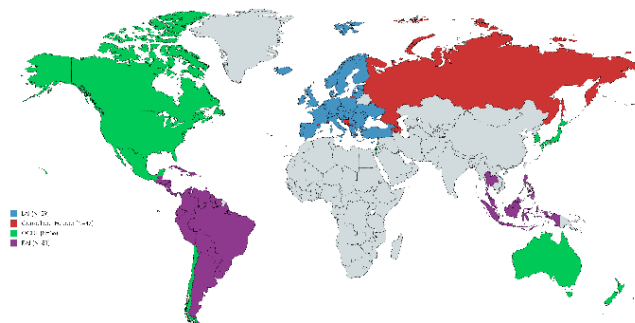
Korrelationen

| | | Happy_2012n |
|------------|---------------------|-------------|
| D_LAI_2014 | Pearson-Korrelation | .403* |
| | Sig. (1-seitig) | .015 |
| | N | 29 |

*. Korrelation ist bei Niveau 0,05 signifikant (einseitig).

Conclusions and Perspectives

- The value, results and data of the LAI project are already recognised
 - By the policy-makers and international organisations (e.g. OECD 2019)
 - By the academic scholars (e.g. Harguindeguy et al. 2018)
- Combination of the LAI and the RAI to better assess MLG
- Make greater use of the data collected (e.g. at non-aggregated level)
- Complement the macro top-down indicators by a qualitative bottom-up approach of local autonomy/governance (Keuffer & Horber-Papazian 2019)
- Specific adjustments and upgrade in the Nordic countries (2014-2019)
- **LAI 2.0 project: temporal (2014-2020)
and geographical upgrade...**



A codebook inspired to some extent by the RAI

| RAI | LAI |
|--|---|
| SELF-RULE | SELF-RULE |
| <p>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.</p> | <p><u>Institutional depth (0-3):</u> The extent to which local government is formally autonomous and can choose which tasks to perform 0 local authorities can only perform mandated tasks 1 local authorities can choose from a very narrow, predefined scope of tasks 2 local authorities are explicitly autonomous and 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 <i>Conceptually related to RAI but different operationalisation</i></p> |
| <p>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.</p> | <p><u>Policy scope (0-4):</u> Range of functions (tasks) where local government is effectively involved in the delivery of the services (be it through their own financial resources and/or through their own staff) Not at all; partly; fully responsible for: 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) <i>Conceptually related but different coding</i></p> |

SELF-RULE (NEXT)

Not included in the RAI

SELF-RULE (NEXT)

Effective political discretion (0-4): The extent to which local government has real influence (can decide on service aspects) over these functions

No, some, or real authoritative decision-making in:
 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)

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.

Fiscal autonomy (0-4): The extent to which local government can independently tax its population
Same coding

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.

Borrowing autonomy (0-3): The extent to which local government can borrow
Same coding

Not included in the RAI

Financial transfer system (0-3): The proportion of unconditional financial transfers to total financial transfers received by the local government

0 conditional transfers are dominant (unconditional = 0-40% of total transfers)

1 there is largely a balance between conditional and unconditional financial transfers (unconditional = 40-60%)

2 unconditional financial transfers are dominant (unconditional = 60-80%)

3 nearly all transfers are unconditional (unconditional = 80-100%)

Not included in the RAI

Financial self-reliance (0-4): The proportion of local government revenues derived from own/local sources (taxes, fees, charges)

0 own sources yield less than 10% of total revenues

1 own sources yield 10-25%

2 own sources yield 25-50%

3 own sources yield more than 50%

tier_rep 0-4 The extent to which a region has an independent legislature and executive, which is the sum of assembly and executive.

Assembly:

0: no regional assembly

1: indirectly elected assembly

2: directly elected assembly

Executive:

0: regional executive appointed by central government

1: dual executive appointed by central government and regional assembly

2: regional executive is appointed by regional assembly or directly elected

Organisational autonomy (0-4): The extent to which local government is free to decide about its own organisation and electoral system

Local Executive and election system:

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)

1 executives are elected by the municipal council or directly by citizens

2 executives are elected by the citizens or the council and the municipality may decide some elements of the electoral system

Staff and local structures:

Local authorities: 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)

Conceptually related but different operationalisation and coding

SHARED-RULE

INTERACTIVE-RULE

tier_lawmaking 0-2

The extent to which regional representatives co-determine national legislation, which is the sum of law_a to law_f.
 0.5 regions are units of rep in national legislature
 0.5 regional government designate representatives in national legislature
 0.5 regions have majority representation national legislature based on regional representation
 0.5 the legislature based on regional representation has extensive legislative authority

Legal protection (0-3): Existence of constitutional or legal means to assert local autonomy

0 no legal remedy for the protection of local autonomy exists
 1 constitutional clauses or other statutory regulations protect local self-government
 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)
 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
Indirectly related to RAI through focus on legal processes of influence open to LG, but different since RAI item is about formal participation in law-making

Not included in the RAI**Administrative supervision (0-3): Unobtrusive administrative supervision of local government**

0 administrative supervision reviews legality as well as merits/expediency of municipal decisions
 1 administrative supervision covers details of accounts and spending priorities
 2 administrative supervision only aims at ensuring compliance with law (legality of local decisions)
 3 there is very limited administrative supervision

tier_executive control 0-2

The extent to which a regional government co-determines national policy in intergovernmental meetings, which is the maximum value of execon_multi (lateral) and execon_bi (lateral).
 0 no routine meetings between central and regional government to negotiate policy
 1 routine meetings between central and regional government without legally binding authority

Central or regional access (0-3): the extent to which local authorities are consulted to influence higher level governments' policy-making
 0 local authorities are never consulted by higher level governments and there are no formal mechanisms of representation
 1 local authorities are consulted and/or have access to higher-level decision-making through formal representation but influence is limited

SHARED-RULE (NEXT)

2 routine meetings between central and regional government with legally binding authority

tier_fiscal control 0-2

tier_borrowing control 0-2

tier_constitutional reform 0-4

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_fiscon, tier_borrowcon, and tier_constit.

tier_RAI 0-27 Regional authority index, which is the sum of tier_selfrule and tier_shared rule.

INTERACTIVE-RULE (NEXT)

2 local authorities are regularly consulted through permanent consultation channels and have substantial influence
3 local authorities are either consulted or have access to higher-level decision-making through formal representation; and substantial influence
Conceptually related but different operationalisation

Not included in the LAI

Not included in the LAI

Not included in the LAI

Self-rule (0-28): The sum of the above indices pertaining to self-rule, i.e. institutional depth, policy scope, effective political discretion, fiscal autonomy, financial transfer system, financial self-reliance, borrowing autonomy, and organisational autonomy

Interactive rule (0-9): The sum of the above indices pertaining to interactive rule, i.e. legal protection, administrative supervision, and central or regional access

Local autonomy (0-37): The sum of self-rule and interactive rule

Source: Codebook Regional Authority Index (RAI)
Regional Scores Dataset version July 2015,
http://www.arjanschakel.nl/data/RAI_region_scores_2015_codebook.pdf

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

Source: Codebook Local Autonomy Index (LAI)
Ladner, Andreas, Nicolas Keuffer, Harald Baldersheim (2015), *Local autonomy Index for European countries (1990–2014). Release 1.0.*, Brussels: European Commission.

http://ec.europa.eu/regional_policy/en/information/publications/studies/2015/self-rule-index-for-local-authorities-release-1-0

See also: Ladner, Andreas, Nicolas Keuffer, Harald Baldersheim (2016), "Measuring Local Autonomy in 39 Countries (1990–2014)", *Regional & Federal Studies*, Vol. 26 No. 3, pp. 321-357.

Appendix II) Ranking LAI 2014 and changes between 1990 and 2014

| Countries | LAI_2014 | LAI_1990 | Changes | Countries (next) | LAI_2014 | LAI_1990 | Changes |
|----------------|----------|----------|---------|------------------|----------|----------|---------|
| Switzerland | 79.64 | 78.42 | 1.22 | Netherlands | 59.56 | 53.55 | 6.01 |
| Finland | 79.36 | 75.19 | 4.17 | Macedonia | 59.27 | 33.41 | 25.86 |
| Iceland | 78.09 | 68.37 | 9.72 | Romania | 58.14 | 29.26 | 28.88 |
| Sweden | 75.09 | 73.73 | 1.36 | Croatia | 56.74 | 40.99 | 15.75 |
| Denmark | 74.65 | 75.76 | -1.11 | Luxembourg | 55.90 | 62.63 | -6.73 |
| Poland | 74.11 | 68.54 | 5.57 | Spain | 54.98 | 60.57 | -5.59 |
| Germany | 73.93 | 73.54 | 0.39 | Latvia | 54.29 | 51.34 | 2.95 |
| Norway | 73.92 | 65.13 | 8.79 | Hungary | 50.78 | 62.84 | -12.07 |
| Liechtenstein | 69.38 | 72.68 | -3.30 | Albania | 50.63 | 13.46 | 37.17 |
| Italy | 68.18 | 51.10 | 17.08 | Slovenia | 48.92 | 23.56 | 25.36 |
| Serbia | 66.99 | 48.37 | 18.62 | Greece | 47.88 | 41.45 | 6.43 |
| France | 66.78 | 64.21 | 2.57 | Ukraine | 47.66 | 42.41 | 5.25 |
| Bulgaria | 66.23 | 25.32 | 40.91 | United Kingdom | 45.65 | 46.83 | -1.18 |
| Lithuania | 65.10 | 47.31 | 17.79 | Cyprus | 42.29 | 37.12 | 5.17 |
| Czech Republic | 64.92 | 43.68 | 21.23 | Turkey | 39.72 | 40.24 | -0.52 |
| Austria | 64.84 | 63.47 | 1.37 | Malta | 39.18 | 30.12 | 9.06 |
| Estonia | 63.66 | 64.46 | -0.80 | Georgia | 38.36 | 22.97 | 15.38 |
| Portugal | 61.57 | 51.81 | 9.76 | Moldova | 35.87 | 16.48 | 19.39 |
| Belgium | 61.33 | 51.89 | 9.44 | Ireland | 34.92 | 30.44 | 4.49 |
| Slovakia | 60.85 | 44.01 | 16.84 | | | | |

Notes: Sorted by 2014; For Albania, Latvia, Malta, Romania and Ukraine there is no data for 1990; The first years of measurement are: 1992, 1991, 1993, 1992 and 1991.

Appendix III) Ranking LAI 2014 – Seven constitutive dimensions

| Countries | LA_2014 | AC_2014 | PS_2014 | PD_2014 | FA_2014 | OA_2014 | NI_2014 | Countries (next) | LA_2014 | AC_2014 | PS_2014 | PD_2014 | FA_2014 | OA_2014 | NI_2014 |
|----------------|---------|---------|---------|---------|---------|---------|---------|------------------|---------|---------|---------|---------|---------|---------|---------|
| Albania | 66.67 | 33.33 | 54.17 | 50.00 | 41.67 | 62.50 | 33.33 | Lithuania | 66.67 | 100.00 | 70.83 | 76.67 | 33.33 | 75.00 | 50.00 |
| Austria | 66.67 | 100.00 | 65.76 | 53.33 | 69.62 | 51.39 | 66.67 | Luxembourg | 66.67 | 33.33 | 50.00 | 63.33 | 66.67 | 25.00 | 83.33 |
| Belgium | 66.67 | 52.50 | 54.17 | 56.67 | 70.83 | 75.00 | 20.27 | Macedonia | 66.67 | 33.33 | 58.33 | 66.67 | 54.17 | 75.00 | 33.33 |
| Bulgaria | 100.00 | 66.67 | 79.17 | 66.67 | 45.83 | 75.00 | 33.33 | Malta | 66.67 | 100.00 | 12.50 | 23.33 | 29.17 | 25.00 | 83.33 |
| Croatia | 33.33 | 33.33 | 56.93 | 61.80 | 49.48 | 75.00 | 61.80 | Moldova | 33.33 | 33.33 | 33.33 | 46.67 | 29.17 | 50.00 | 0.00 |
| Cyprus | 66.67 | 33.33 | 22.12 | 24.36 | 62.34 | 50.00 | 38.47 | Netherlands | 66.67 | 66.67 | 62.50 | 63.33 | 45.83 | 75.00 | 33.33 |
| Czech Republic | 100.00 | 33.33 | 45.83 | 76.67 | 37.50 | 100.00 | 66.67 | Norway | 0.00 | 66.67 | 91.67 | 66.67 | 70.83 | 100.00 | 83.33 |
| Denmark | 33.33 | 66.67 | 87.50 | 70.00 | 66.67 | 100.00 | 83.33 | Poland | 66.67 | 100.00 | 79.06 | 64.33 | 58.33 | 100.00 | 66.67 |
| Estonia | 100.00 | 33.33 | 62.50 | 70.00 | 33.33 | 100.00 | 50.00 | Portugal | 66.67 | 66.67 | 54.17 | 63.33 | 58.33 | 50.00 | 83.33 |
| Finland | 66.67 | 66.67 | 79.17 | 83.33 | 83.33 | 75.00 | 83.33 | Romania | 100.00 | 33.33 | 66.67 | 70.00 | 41.67 | 62.50 | 33.33 |
| France | 100.00 | 66.67 | 83.05 | 59.77 | 70.83 | 25.00 | 83.33 | Serbia | 66.67 | 66.67 | 69.28 | 62.09 | 58.33 | 75.00 | 83.33 |
| Georgia | 66.67 | 33.33 | 45.83 | 43.33 | 29.17 | 25.00 | 33.33 | Slovakia | 66.67 | 100.00 | 50.00 | 53.33 | 58.33 | 75.00 | 33.33 |
| Germany | 66.67 | 66.67 | 87.50 | 73.33 | 81.47 | 62.50 | 66.31 | Slovenia | 66.67 | 33.33 | 51.43 | 65.62 | 16.67 | 75.00 | 33.33 |
| Greece | 66.67 | 33.33 | 37.50 | 43.33 | 45.83 | 50.00 | 66.67 | Spain | 66.67 | 33.33 | 48.68 | 35.61 | 70.83 | 50.00 | 83.33 |
| Hungary | 66.67 | 33.33 | 70.83 | 60.00 | 29.17 | 62.50 | 16.67 | Sweden | 33.33 | 66.67 | 75.00 | 73.33 | 87.50 | 75.00 | 83.33 |
| Iceland | 33.33 | 100.00 | 75.00 | 80.00 | 70.83 | 100.00 | 66.67 | Switzerland | 93.70 | 99.23 | 69.99 | 50.72 | 98.02 | 100.00 | 47.84 |
| Ireland | 33.33 | 33.33 | 20.83 | 23.33 | 66.67 | 25.00 | 16.67 | Turkey | 33.33 | 33.33 | 19.81 | 29.18 | 41.67 | 50.00 | 83.33 |
| Italy | 66.67 | 66.67 | 62.50 | 60.00 | 66.67 | 75.00 | 83.33 | Ukraine | 66.67 | 33.33 | 57.69 | 56.41 | 15.38 | 75.00 | 41.03 |
| Latvia | 66.67 | 66.67 | 62.50 | 76.67 | 16.67 | 50.00 | 66.67 | United Kingdom | 65.69 | 40.45 | 32.90 | 26.32 | 41.67 | 75.00 | 76.11 |
| Liechtenstein | 100.00 | 33.33 | 45.83 | 50.00 | 87.50 | 100.00 | 66.67 | | | | | | | | |

Notes: Sorted by alphabetic order; LA = Legal autonomy, AC = Access, PS = Policy scope, PD = Political discretion, FA = Financial autonomy, OA = Organisational autonomy, NI = Non interference.