

## User's Manual for the IAEP Dataset

This user's manual represents a description of the variables in the Institutions and Elections Project data files, as well as the values that each variable can take. The objective is to describe the formal political institutions that are in place, even if practice does not comport with those formal rules, and to account for all election events. The data include all countries with populations over 500,000 spanning the period from 1972 through 2005

The data are broken down into nine sections, each capturing a different element of the political institutions that govern in each country. The unit of observation for the first eight sections is the country year. These data can be found in data files titled "institutions.xxx." For the ninth section on elections, the unit of analysis is the event (i.e., the election); these data are in data files titled "elections.xxx."

The data for each country/year is recorded as of January 1<sup>st</sup> of that year. If institutions change during the year these changes will show up in the following year (unless they changed on January 1<sup>st</sup>). The exception to this is the data on elections, which are recorded on the date of the election in the current year. Sometimes this can lead to apparent ambiguities in the data, where for instance, there might be no institutional mechanisms for an election in a given year, but there are elections that take place. The interpretation of this is that on January 1<sup>st</sup> of that year there were no mechanisms for elections, during the year the institutions changed and elections were held. In the following year evidence of that institutional change will show up in the data. If the constitutional arrangements within a country change during the year and after Jan. 1st, it will be recorded that one constitution when out of force (and the date) but all the variables for that year will be based on the constitution that was in force on January 1<sup>st</sup>.

One of the central foci of the data involves the makeup of the legislative and executive branches of government. The legislative branch tends to be fairly straight forward. There is one or there isn't; it/they have a certain number of seats or they don't. The executive branch is considerably trickier and a quick perusal of some of the more well-established democracies will make this clear. Executives tend to be appointed, anointed, elected, and they can be appointed, anointed, or elected by different sets of constituencies. For example, a prime minister can be elected by popular vote by virtue of party leadership, and only standing for election in her legislative district; a prime minister can be elected by the legislature, and when elected as such may but may not need be a member of that legislative body; and a prime minister can be appointed by an elected president who stood the test of a popular plebiscite. An executive can also be a dictator who comes to power by force of arms, or a King who is confirmed by a small group of elite members of a council, but who might be subject to dismissal by that council. In short the number of possible permutations of how an executive comes to power, how many of them share power at one time, and how they are removed from power is rather large. We record executive selection based on four questions that taken together describe the makeup of the executive branch of government (see Section 8).

The common link between these data and other data sets of interest is through the country code (*ccode*), year, and the three letter country abbreviation (*cabr*). These allow the data to be easily merged into other sets such as POLITY, MID, State Failure, and others.

The data are provided in ASCII comma delimited format, and STATA formatted data. In addition, we provide coding notes for every country-year documenting coding decisions and sources.

Missing data are recorded as "null" in the ASCII file and translate into a '.' in STATA. In some instances when constitutions were suspended and the number of seats in legislatures varied by some undocumented logic, we used -999 as the coding. These should be interpreted as describing a nominal legislature with an indeterminate number of seats.

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## **1. Country Year Identifiers**

1. *cname* — Country name
2. *cabr* — Three letter country abbreviation
3. *ccode* — Correlates of War country code
4. *year* — Year

## **Part I: Political Institutions**

### **2. Institutions**

5. *formalconstit* — We operationally define a constitution as a system of fundamental laws and principles that prescribes the nature, functions, and limits of a government. By this definition, does the country have a formal constitution?

1= Yes                      0 = No

6. *writconstit* — Is the constitution a written document? For a constitution to be written we require that one set of accessible documents describe the constitutional arrangements. A constitution may be considered unwritten if it consists of many documents that have been brought into force at several different times, and there is no unified and exhaustive collection of documents that make up what the country considers its constitution.

1= Yes                      0 = No

7. *ineffect* — To be in force, the constitution must be in effect during some part of the year in question; that is, it has not been formally suspended or replaced. Is the constitution in force in the current year?

1= Yes                      0 = No

8. *cease* — Does the constitution cease to be in force at any point during the year in question? In the following sections, where questions refer to constitutional institutions, the institutions of a suspended constitution are coded until new constitution comes into place in the next years coding.

1= Yes                      0 = No

9. *ceasedate* — If so, what is the date it ceases to be in force?

Month/DD/YYYY

### **2.a. Rules that Govern Amendments to the Constitution**

10. *amend* — Constitutions can be formally amended under a set of procedures described in the constitution. Can the constitution be formally amended?

1= Yes                      0 = No

11. *amfrmlconv* — Can amendments be proposed by formal convention?

1= Yes                      0 = No

12. *amexec* — Can amendments be proposed by an executive? This can be any of the codeable executives that exist in the country (see section 8).

1 = Yes            0 = No

13. *amleg* — Can amendments be proposed by the legislature?

1 = Yes            0 = No

14. *amregprov* — Can amendments be proposed by regional/provincial governments?

1 = Yes            0 = No

## **2.b. Rules that Govern the Ratification Process**

15. *rat* — Ratification is the formal approval process of proposed amendments. Is ratification of proposed amendments required?

1 = Yes            0 = No

16. *ratfrmconv* — Does a formal convention have ratification authority?

1 = Yes            0 = No

17. *ratexec* — Does the executive have ratification authority?

1 = Yes            0 = No

18. *ratleg* — Does the legislature have ratification authority?

1 = Yes            0 = No

19. *ratref* — Does a referendum (public vote) have ratification authority?

1 = Yes            0 = No

20. *ratregprov* — Do regional/provincial governments have ratification authority?

1 = Yes            0 = No

## **2.c. Establishment of the Prevailing Constitution**

21. *estabcon* — The date that the prevailing constitution was initially established. This is coded as the day the constitution is promulgated, or the day on which the founding constitutional document(s) are established.

Month/DD/YYYY

22. *amyear* — Was the constitution amended in the current year? Amendments are coded in the year they are enacted; following the January 1<sup>st</sup> rule, however, the effects of constitutional amendments are reflected in the coding for years in which they were in force as of January 1<sup>st</sup>.

1 = Yes            0 = No

### **3. Legislature**

23. *leg* — Does the country have a formal legislative body for this specific year? In cases with an existing, though suspended, constitution, the legislative institutions are coded according to the constitutional specifications for these bodies.

1= Yes                      0 = No

24. *legcham* — The number of chambers in the legislature.

Record the Number of Chambers

25. *lowcham* — The number of seats in the lower chamber. (If unicameral, the single chamber is coded as the lower chamber. The number of seats recorded is the number specified by the constitution. If this legislature has not been filled, however, we use the code -999. In cases of suspended constitutions, the code -999 may be used to indicate that a transitional legislature has been established, but has not been filled as of January 1<sup>st</sup>.)

Record the Number of Seats

26. *upcham* — The number of seats in the upper chamber. (The number of seats recorded is the number specified by the constitution. If this legislature has not been filled, however, we use the code -999. In cases of suspended constitutions, the code -999 may be used to indicate that a transitional legislature has been established, but has not been filled as of January 1<sup>st</sup>.)

Record the Number of Seats

27. *chamother* — The number of seats in any other chamber. (The number of seats recorded is the number specified by the constitution. If this legislature has not been filled, however, we use the code -999. In cases of suspended constitutions, the code -999 may be used to indicate that a transitional legislature has been established, but has not been filled as of January 1<sup>st</sup>.)

Record the Number of Seats

#### **3.a. Rules that Determine selection into Legislature**

28. *uppub* — Are members to the upper chamber (if there is one) elected by the general public?

1= Yes                      0 = No

29. *upselect* — Are members to the upper chamber (if there is one) selected by a selected electorate (members of the other chamber, including hereditary appointment, elite council, or other such restricted group)?

1= Yes                      0 = No

30. *upexec* — Are members to the upper chamber (if there is one) appointed by executive authority?

1= Yes                      0 = No

31. *lowpub* — Are members to the lower chamber elected by the general public?

1= Yes                      0 = No

32. *lowselect* — Are members to the lower chamber selected by selected electorate (members of the other chamber (including hereditary appointment), elite council, or other such restricted group)?

1= Yes                      0 = No

33. *lowexec* — Are members to the lower chamber appointed by executive authority?

1= Yes            0 = No

**3.b. Rules that Govern the introduction of Legislation**

34. *proppub* — Does the general public have the constitutional power to propose legislation?

1= Yes            0 = No

35. *propexec* — Does the executive have the constitutional power to propose legislation? Here, “yes” may be coded when an executive has the power to propose legislation by way of his or her cabinet, council of ministers, “Government,” or similar executive body.

1= Yes            0 = No

36. *propleg* — Do members of the legislature have the constitutional power to propose legislation?

1= Yes            0 = No

**4. Executive-Legislature Relationship**

Many of our cases have more than one executive; under this section and all others dealing with an executive position in the government of a state, the executive referred to may be any one of the executives established in a country. Refer to the notes for individual cases for more information about which executive is referred to in the relevant question.

37. *execveto* — Does an executive have constitutional veto power over laws passed by the legislature? .

1= Yes            0 = No

38. *legveto* — Does the legislature have the constitutional power to stop executive action, in effect a legislative veto?

1= Yes            0 = No

39. *removeexec* — According to the constitution, can the legislature remove an executive from office?

1= Yes            0 = No

40. *removeleg* — According to the constitution, can an executive dissolve the legislature?

1= Yes            0 = No

41. *rattreaty* — Does the legislature have the constitutional authority to ratify international treaties negotiated by an executive?

- 1 = No authority
- 2 = One chamber approval necessary
- 3 = Both chambers' approval necessary

42. *execforce* — Does an executive have the power to use military force abroad without legislative approval?

1= Yes            0 = No

43. *execntax* — Can an executive change domestic taxes (excluding import/export tariffs) without legislative approval?

1= Yes            0 = No

44. *execbudget* — Does an executive have to secure legislative approval for the budget? See question 43.

1= Yes            0 = No

## **5. Judiciary**

45. *court* — According to the constitution, does the country have a national constitutional court? In some cases, a council with the powers of a constitutional court may exist, though it may not be part of the formal judiciary. In such cases, this non-judicial council with the powers of a constitutional court is coded as the constitutional court.

1= Yes            0 = No

46. *appelec* — Are members of this court appointed or elected? “Elected” here refers to a popular election. Elections by legislative bodies are considered appointments.

1 = Appointed  
2 = Elected

47. *remove* — Can members of this court be removed?

1= Yes            0 = No

48. *whoby* — If members of the court can be removed, by whom? Here, the term “court itself” may refer to another court in the judiciary, not necessarily the constitutional court itself.

1 = Legislature  
2 = Executive  
3 = Requires both legislature and executive action  
4 = Vote of general public  
5 = Court itself

49. *life* — Are members of the court are appointed for life?

1= Yes            0 = No

50. *courtexec* — Can the court can rule on executive actions?

1= Yes            0 = No

51. *courtleg* — Can the court rule on legislative actions?

1= Yes            0 = No

## **6. Government Centralization**

In this section, we examine the relationship between the central and regional governments, those which are immediately below the central government. We focus exclusively on states or provincial levels of government, municipalities are not coded.

52. *govstruct* — Is the government structure a:

- 1 = Unitary System
- 2 = Confederation
- 3 = Federal System

53. *regstruct* — In practice, do regions or provinces:

- 1 = Appoint, elect or otherwise choose their own representatives autonomous from decisions by the central government
- 2 = Have their administrators appointed by the central government
- 3 = No regional/provincial governments

## **7. Central Bank**

54. *centralbank* — Is there is a central bank? In cases where the country is a member of a supranational monetary organization, a central bank is coded only when this country retains a national central bank separate from the supranational organization of which it is a member. Member-states of the European Monetary Union, for example, typically maintain individual central banks and are coded as such. Member-states of the Central Bank of West African States, however, often do not; they would be coded as having no central bank.

1 = Yes                      0 = No

55. *bankdir* — How is the director of the central bank selected?

- 1 = Executive appointment
- 2 = Legislative appointment
- 3 = Executive appointment with legislative confirmation or consultation
- 4 = Executive appointment with legislative confirmation or consultation

56. *dirterm* — The term of office (in years) for the director of the central bank (-999 = variable term).

57. *bankpol* — Does the central bank have authority over monetary policy?

1 = Yes                      0 = No

## **8. Election and Electoral Outcomes**

58. *elecexec* — Does the country hold national elections for an executive? We consider national elections to involve subjecting the executive to some form of popular plebiscite. This electoral process may or may not bear any relationship to the ultimate appointment of the executive. Executive council elections that select an executive are not considered national elections.

1 = Yes                      0 = No

59. *elecleg* — Does the country hold national elections for the legislature We consider national elections to involve subjecting the members of the legislature to some form of popular plebiscite. While seats may be

divided into districts, we consider national elections to occur when district-wide elections are organized at the national level.

1 = Yes            0 = No

60. *elecrefer* — Does the country hold national elections on referendum items?

1 = Yes            0 = No

### **8.a Selection of the Executive**

61. *exleg* — Is there an executive who is also a member of the legislature (like a prime minister, for example)? We consider membership in the legislature if either an explicit rule exists which requires an executive to maintain a seat in the legislature, or if practice and/or convention determines membership

1 = Yes            0 = No

62. *execindep* — Is there an executive chosen independently of the legislature (like a president, for example)? If these processes that select the executive is distinct from that which selects the legislature, then we consider the two to be independent. The selection processes, moreover, can involve different – albeit competing or complimentary – forms of selection.

1 = Yes            0 = No

63. *execappoint* — Is there an executive appointed either by a PM (that is, an executive who is also a member of the legislature) or a president (an independently selected executive)?

1 = Yes            0 = No

64. *dictator* — A dictator is defined in terms of political independence, route to power, and path to removal. Webster's dictionary defines a dictator as a ruler who is unconstrained by law. We conceive of a dictator as someone who rules without the normal set of political constraints, and whose support and continued rule is guaranteed by coercion, either the actual resort to force or the threat to do so. That is, a dictator rules without voluntary support of a wide electorate, his or her ability to remain in power is a function of the coercive capability to do so, and he or she may have come to power through coercion. In some instances a monarch falls into the category of dictator, but not always. If a monarch's ability to retain power is a function of his or her coercive capability, then he or she might be a dictator. But if a monarch rules by virtue of some form of public acclamation or consent, then he or she does not act as a dictator. To a very large degree we are judging the type of rule based on observed behavior rather than legal label. In the common vernacular we know a dictator when we see one, and we know this because of how they act, or how prior actions determined their current position. In determining whether a ruler is a dictator, consider the following questions:

1. How is the executive chosen? In practice, is the executive self-selected by means of coercion?
2. How does the executive maintain power? Is coercion the primary method of governance and retaining his/her position?
3. How can the executive be removed? Would removal likely require overcoming executive coercion and therefore involve violence?

Considering these rules, is there an executive who is a dictator?

1 = Yes            0 = No

### **8.b Rules that Govern Executive Authority**

For the questions under this section, a president is considered the executive selected independently from the selection process of the legislators (as referred to in question 62, above). A prime minister is the person

holding the office that approximates the institutional characteristics of a prime minister; this executive may be referred to in question 61 or question 63, above. Refer to the notes for individual cases for clarification of titles held by each of these executives.

65. *milpm* — Does a prime minister have the power to use military force abroad?

1 = Yes            0 = No

66. *milpres* — Does a president have the power to use military force abroad?

1 = Yes            0 = No

67. *mildict* — Does a dictator have the power to use military force abroad?

1 = Yes            0 = No

68. *milnone* — is the power to use military force abroad outside the executive branch?

1 = Yes            0 = No

### **8.c Rules that Govern Executive-Legislative Process**

69. *legpm* — Does a prime minister have the power to introduce legislation in the legislature?

1 = Yes            0 = No

70. *legpres* — Does a president have the power to introduce legislation in the legislature?

1 = Yes            0 = No

71. *legdict* — Does a dictator have the power to introduce legislation in the legislature?

1 = Yes            0 = No

72. *legnone* — Does no one have the power to introduce legislation in the legislature?

1 = Yes            0 = No

### **8.d Rules that Govern the Calling of Elections**

73. *callpm* — Does a prime minister have the power to call elections?

1 = Yes            0 = No

74. *callpres* — Does a president have the power to call elections?

1 = Yes            0 = No

75. *calldict* — Does a dictator have the power to call elections?

1 = Yes            0 = No

76. *callnone* — Does no one have the power to call elections?

1 = Yes            0 = No

77. *electtime* — What are the conditions under which elections are scheduled. We consider three conditions:

- 1 = no formal schedule and elections are at the will and timing of an executive (No formal schedule).
- 2 = formally scheduled elections at fixed intervals (Yes, exact periods).
- 3 = formal mechanisms for scheduling within a fixed interval, but the timing is determined by extant political processes (Yes, inexact periods).

78. *shedexec* — If elections are scheduled but at inexact times, does an executive have constitutional authority to schedule elections?

1 = Yes            0 = No

79. *shedleg* — If elections are scheduled but at inexact times, does the legislature have constitutional authority to schedule elections?

1 = Yes            0 = No

80. *shedboth* — If elections are scheduled but at inexact times, do an executive and the legislature both have constitutional authority to schedule elections?

1 = Yes            0 = No

81. *shedna* — If elections are scheduled but at inexact times, who has constitutional authority to schedule elections? Answer: NA. (This implies that the answer is “other” or “none of the choices given.”)

1 = Yes            0 = No

### **8.e Rules that set the Timing and Participation in Elections**

82. *elecperiod* — What is the election period?

- 1 = One day
- 2 = Multiple days

83. *reservedseat* — Are legislative seats or districts reserved for:

- 1 = Diaspora/refugee community
- 2 = Domestic identity group; these groups may be considered any kind of underrepresented group, formally organized or not; residing within the country (e.g., women, indigenous peoples, ethnic minorities, etc.)
- 3 = None reserved

84. *reservedby* — If seats are reserved, are they based on:

- 1 = Number of seats
- 2 = Percentage of seats
- 3 = Percentage of districts

## **9. Rules Governing Elections**

### **9.a Rules Describing the Nomination Process**

85. *lpartynom* — Does party nomination (party list, convention, etc.) establish how the field of candidates who stand for legislative elections is determined?

1 = Yes      0 = No

86. *lprimary* — Do members of party vote (primary) establish how the field of candidates who stand for legislative elections is determined?

1 = Yes      0 = No

87. *lselfnom* — Does self-nomination establish how the field of candidates who stand for legislative elections is determined?

1 = Yes      0 = No

88. *lpetition* — Do petition signatures establish how the field of candidates who stand for legislative elections is determined?

1 = Yes      0 = No

89. *lexecnom* — Does executive nomination establish how the field of candidates who stand for legislative elections is determined?

1 = Yes      0 = No

90. *epartynom* — Does party nomination (party list, convention, etc.) establish how the field of candidates who stand for executive elections is determined?

1 = Yes      0 = No

91. *epprimary* — Do members of party vote (primary) establish how the field of candidates who stand for executive elections is determined?

1 = Yes      0 = No

92. *eselfnom* — Does self-nomination establish how the field of candidates who stand for executive elections is determined?

1 = Yes      0 = No

93. *epetition* — Do petition signatures establish how the field of candidates who stand for executive elections is determined?

1 = Yes      0 = No

### **9.b Rules Governing the Outcome of Elections**

94. *lelecsystem* — What is the type of electoral system for legislative elections?

1 = Plurality (First past the post)

2 = Majority

3 = Proportional representation

4 = Mixed systems (combination of PR and either plurality or majority). This option includes situations in which a single chamber contains seats selected by different methods, or situations in which all of the seats in a chamber are chosen with the same method, but each chamber is selected through different methods.

95. *eelect* — Is the executive elected by:

- 1 = Directly elected by public vote
- 2 = Elected through legislative action by members of the legislature
- 3 = Chosen through party process strictly by a party
- 4 = Indirect public vote
- 5 = Appointed

96. *eelectrules* — Election rules governing the determination of electoral outcomes for the executive: we record data on the electoral requirements for winning executive elections, specifically, the sorts of vote thresholds required for winners. If the executive is appointed or otherwise comes to power via non-electoral processes, we code this as missing.

- 1 = Majority rule (50% + 1) Where run-offs are held, “majority rule” is selected, as the intention of a run-off election is to have one candidate receive a majority of the votes.
- 2 = Plurality
- 3 = No official, explicit, rule governing the outcome
- 4 = Party leader of majority party/coalition in legislature automatically selected without additional process.

97. *parties* — How many parties hold at least 5% of seats in the legislature?

- 1 = One
- 2 = Two
- 3 = More than two

### **9.c Rules Governing Party Participation**

98. *banned* — Are there banned parties?

- 1 = Yes
- 0 = No

99. *banethnic* — Does ethnic makeup determine the banning of parties?

- 1 = Yes
- 0 = No

100. *banrelig* — Does religious affiliation determine the banning of parties?

- 1 = Yes
- 0 = No

101. *bansys* — Does an anti-system platform determine the banning of parties?

- 1 = Yes
- 0 = No

102. *banall* — Are no parties allowed?

- 1 = Yes
- 0 = No

103. *stateparty* — Is there an official state party?

- 1 = Yes
- 0 = No

## **9.d Rules Governing Suffrage Rights**

104. *suffage* — Is age a *de jure* restriction on participation?

1 = Yes      0 = No

105. *suffgen* — Is gender a *de jure* restriction on participation?

1 = Yes      0 = No

106. *suffprop* — Is property ownership/wealth a *de jure* restriction on participation?

1 = Yes      0 = No

107. *suffparty* — Is party membership a *de jure* restriction on participation?

1 = Yes      0 = No

108. *suffethrel* — Is being in an ethnic or religious group a *de jure* restriction on participation?

1 = Yes      0 = No

109. *suffcrim* — Is a criminal conviction a *de jure* restriction on participation?

1 = Yes      0 = No

110. *suffreg* — Is registration a *de jure* restriction on participation?

1 = Yes      0 = No

111. *suffother* — Is there another *de jure* restriction on participation?

1 = Yes      0 = No

## **Part II: Elections in Practice**

For this section, we record completed elections. Thus, if an election took place in the given year, but a runoff of this election took place the following year, we record the election for the following year. Also, we record only elections for national offices occurring in the regular election cycle (i.e., by-elections or special elections are not recorded).

112. *election* — Is there an election in this country during this year?

1 = Yes      0 = No

113. *electexec* — Is the election for the executive only?

1 = Yes      0 = No

114. *electleg* — Is the election for the legislature only?

1 = Yes      0 = No

115. *electboth* — Is the election for both the executive and the legislature? We consider simultaneous elections only if the final round of the elections for the executive and the legislature are held on the same day. If the first round of the executive and legislative elections are held on the same day, but the second round of either or both are held on different days, we consider these as separate elections. In this instance questions 113 and 114 would each be coded as “yes.”

1 = Yes            0 = No

For questions 116 and 117, the final date of the elections are recorded—this is the date on which the voting ceased.

116. *exelecdate* — The date of the above executive election (if any):

Month/DD/YYYY

117. *legelecdate* — The date of the above legislative election (if any):

Month/DD/YYYY

118. *legcompet* — In general, are legislative elections contested and competitive? A legislative election is competitive if no one party wins more than 90% of seats in the lower house of the legislature.

1 = Yes            0 = No

119. *execompet* — In practice is the executive election contested and competitive? An executive election is competitive if no one candidate receives more than 90% of the vote.

1 = Yes            0 = No

120. *electboy* — Were any of the national elections (executive or legislative) boycotted by any major party?

1 = Yes            0 = No

121. *electpost* — For this specific electoral cycle where scheduled elections postponed or cancelled?

1 = Postponed  
2 = Cancelled  
3 = None of the above

122. *electprot* — Does an election outcome provoke protest or violence?

1 = Yes            0 = No

123. *electdelay* — The approximate amount of time following election that protest begins is:

1 = One day  
2 = One week  
3 = One month

124. *protestpart* — The extent of public participation in the protest:

1 = Low participation: single location, less than 1000 people.  
2 = Moderate participation: single or multiple locations: multiple with under 1000 people, single with more than 1000.  
3 = Widespread participation: in multiple locations in the country, involving more than 1000 people in those multiple locations.

125. *postprot* — If election is postponed or cancelled, does an election cancellation or postponement provoke protest or violence?

1 = Yes            0 = No

126. *legelig* —Percentage of eligible population voting in legislative elections.

127. *execelig* — Percentage of eligible population voting in executive elections (if separate from legislative elections).