V Dem

VARIETIES OF DEMOCRACY

CODEBOOK and data documentation Episodes of Regime Transformation (ERT) dataset

V14.0- March 2024

Copyright © University of Gothenburg, V-Dem Institute
All rights reserved

Codebook and data documentation

Episodes of Regime Transformation (ERT) dataset

v14.0, March 2024

Recommended citations:

Edgell, Amanda B., Seraphine F. Maerz, Laura Maxwell, Richard Morgan, Juraj Medzihorsky, Matthew C. Wilson, Vanessa A. Boese, Sebastian Hellmeier, Jean Lachapelle, Patrik Lindenfors, Anna Lührmann, and Staffan I. Lindberg. (2024). Episodes of Regime Transformation Dataset (v14.0). Varieties of Democracy (V-Dem) Project. Available at: www.github.com/vdeminstitute/ert

Edgell, Amanda B., Seraphine F. Maerz, Laura Maxwell, Richard Morgan, Juraj Medzihorsky, Matthew C. Wilson, Vanessa A. Boese, Sebastian Hellmeier, Jean Lachapelle, Patrik Lindenfors, Anna Lührmann, and Staffan I. Lindberg. (2024). Episodes of Regime Transformation Dataset (v14.0) Codebook. Varieties of Democracy (V-Dem) Project. Available at: www.github.com/vdeminstitute/ert

Maerz, Seraphine F., Amanda B. Edgell, Sebastian Hellmeier, Matthew C. Wilson, Laura Maxwell, and Joshua Krusell. (2024). ERT - an R package to load, explore and work with the Episodes of Regime Transformation dataset. Varieties of Democracy (V-Dem) Project. Available at: www.github.com/vdeminstitute/ert

Maerz, Seraphine F., Amanda B. Edgell, Matthew C. Wilson, Sebastian Hellmeier, and Staffan I Lindberg. Episodes of Regime Transformation. Journal of Peace Research (Online First), 2023. Available at: https://journals.sagepub.com/doi/10.1177/00223433231168192

Contents

A. Setting the parameters **5**

Start inclusion (start_incl) . . . 5

Cumulative inclusion (cum_incl) . . . 5

Tolerance (tolerance) . . . 5

Annual turn for termination (year_turn) . . . 6

Cumulative turn for termination (cum_turn) . . . 6

B. Regime type variables **7**

Country identifier (country_id) . . . 7

Country text identifier (country_text_id) . . . 7

Country name (country_name) . . . 7

Year (year) . . . 7

Regimes of the World (v2x_regime) . . . 7

Electoral democracy index (v2x_polyarchy) . . . 8

Regime founding (reg_start_year) . . . 8

Regime termination (reg_end_year) . . . 9

Regime identifier (reg_id) . . . 10

Regime type (reg_type) . . . 10

Regime transition (reg_trans) . . . 11

Founding democratic election (dem_founding_elec) . . . 11

Founding autocratic election (aut_founding_elec) . . . 11

RoW regime change event (row_regch_event) . . . 12

RoW regime change censored (row_regch_censored) . . . 12

C. Episodes **13**

C.1. Democratization episodes . . . 13

Democratization episode (dem_ep) . . . 13
Democratization episode identifier (dem_ep_id) . . . 13
Democratization episode start year (dem_ep_start_year) . . . 13
Democratization episode end year (dem_ep_end_year) . . . 14
Pre-democratization episode year (dem_pre_ep_year) . . . 14
Democratization episode termination type (dep_ep_termination) . . . 14
Episode with potential democratic transition (dem_ep_prch) . . . 15
Post-democratic transition episode year (dem_ep_ptr) . . . 16
Democratic transition and democratic deepening (dem_ep_subdep) . . . 16
Democratization outcome (dem_ep_outcome) . . . 17
Aggregate democratization outcome (dem_ep_outcome_agg) . . . 18
Democratization episode censored (dem_ep_censored) . . . 18
C.2. Autocratization episodes . . . 20
Autocratization episode (aut_ep) . . . 20
Autocratization episode identifier (aut_ep_id) . . . 20
Autocratization episode start year (aut_ep_start_year) . . . 20
Autocratization episode end year (aut_ep_end_year) . . . 21
Pre-autocratization episode year (aut_pre_ep_year) . . . 21
Autocratization episode termination type (aut_ep_termination) . . . 21
Episode with potential democratic breakdown (aut_ep_prch) . . . 22
Post-democratic breakdown episode year (aut_ep_pbr) . . . 22
Democratic breakdown and autocratic regression (aut_ep_subreg) . . . 23
Autocratization outcome (aut_ep_outcome) . . . 23
Aggregate Autocratization outcome (aut_ep_outcome_agg) . . . 24
Autocratization episode censored (aut_ep_censored) . . . 25

A. Setting the parameters

Generally, we recommend using the default parameters. For advanced users who wish to make changes, we recommend doing so with sound theoretical priors. The ERT package (https://github.com/vdeminstitute/ERT) provides the function find_overlap to identify potential overlaps between episodes of democratization and autocratization which may occur depending on how the thresholds are set.

Start inclusion (start_incl)

What is the minimum annual change on V-Dem's Electoral Democracy Index (EDI) necessary to trigger an episode?

Clarification: This is the absolute value of the first difference in the EDI required for the onset of either a democratization (+) or autocratization episode (–).

Default: 0.01

Format: numeric

Cumulative inclusion (cum_incl)

What is the minimum amount of total change on the EDI necessary to constitute a manifest episode?

Clarification: A potential episode might be a period involving any amount of changes over a period following an annual change equal to the start inclusion (e.g. 0.01). To identify substantial changes, we set a cumulative inclusion threshold. This is the absolute value of the total amount of change needed on the EDI to be considered manifest.

Default: 0.10

Format: numeric

Tolerance (tolerance)

What is the number of years considered as tolerance for stasis or a gradual movement in the opposite direction?

Clarification: The tolerance defines the number of years an episode is allowed to remain in stasis (i.e. no more movements equal to the start inclusion) and/or move in the opposite direction before it is terminated. This parameter also defines the number of years necessary for a case to be considered a democratic breakdown or stabilized electoral autocracy. *Therefore, care is necessary when manipulating the default value. This could lead to large changes in the composition of episodes. We set the default to 5 years because*

this is the typical amount for an electoral cycle for most countries.

Default: 5-years

Format: integer

Annual turn for termination (year_turn)

What is the amount of annual change in the opposite direction to trigger the termination of an episode?

Clarification: An episode may end when the case suddenly moves in the opposite direction. For example, during an episode of democratization, a country may experience a sudden drop on the EDI. This could signal the onset of an autocratization episode. To avoid overlap between episodes, we set the absolute value of a change in the opposite direction on the EDI as a trigger for the termination of an episode. *Note: Advanced users who wish to remove this criteria altogether should set the value of year_turn equal to cum_turn. Setting this to zero would allow for an episode to terminate when any year of no change is encountered.*

Default: 0.03

Format: numeric

Cumulative turn for termination (cum_turn)

What is the amount of gradual change in the opposite direction to trigger the termination of an episode?

Clarification: An episode may end when the case begins moving in the opposite direction gradually. For example, during an episode of democratization, a country may experience a gradual drop on the EDI over a number of years that signals democratization has ended. This could also signal the onset of an autocratization episode. To avoid overlap between episodes, we set the absolute value of a gradual change in the opposite direction on the EDI over the tolerance period (e.g. 5 years) as a trigger for the termination of an episode.

Default: 0.10

Format: numeric

B. Regime type variables

Country identifier (country_id)

What is the V-Dem unique country identifier for this case?

Format: integer, [3,236]

Country text identifier (country_text_id)

What is the V-Dem country text identifier for this case?

Format: string

Country name (country_name)

What is the V-Dem country name for this case?

Format: string

Year (year)

What is the year of this observation?

Clarification: Based on 31 December or the average of historical date from V-Dem.

Format: integer, [1900,2023]

Regimes of the World (v2x_regime)

What is the regime value for this country-year according to the Regimes of the World?

0– Closed autocracy

1– Electoral Autocracy

2– Electoral Democracy

3– Liberal Democracy

Format: integer, [0,3]

NA: V-Dem data required to construct the variable is missing.

Electoral democracy index (v2x_polyarchy)

What is the country's current score on the V-Dem electoral democracy index (EDI)?

Format: interval, [0,1]

NA: V-Dem data required to construct the variable is missing.

Other versions: v2x_polyarchy_codelow; v2x_polyarchy_codehigh

Regime founding (reg_start_year)

When was the current regime founded?

Clarification: This variable is coded as the year the regime was founded and is coded for the entire duration of the regime.

For democratic regimes, this is coded as the year after the country moves from autocracy to democracy on the RoW measure, provided that founding democratic elections were hold, that is direct national-level elections for the parliament, executive, or a constituent assembly are subsequently held under conditions of democracy (on the RoW measure) and the elected officials are able to assume or continue office (based on the V-Dem variable v2elasmoff_ord = 2).

For autocratic regimes, this is generally defined as the year the country moved from democracy to autocracy on the RoW measure. To guard against noise in the data, we require that cases moving from democracy to electoral or closed autocracy stay autocratic for the tolerance period (e.g. 5 years) or hold founding autocratic elections. Autocratic founding elections are defined as the first direct national-level election for the parliament, executive, or a constituent assembly having been held under conditions of autocracy on the RoW measure.

To deal with *left censoring*, we code the first regime after the coding starts or a gap in the case based solely on the RoW value, and set its founding year as the first observation year after the coding starts or a gap ends in the data.

We deal with *right censoring* conservatively, by assuming the regime persists until we receive information to the contrary. Because democratic regime founding (i.e. transition) is not completed until the founding democratic election occurs, those cases where a change in RoW results in democracy without holding an election before the end of coding or a gap in coding are treated as remaining autocratic. Likewise, for changes from democracy to electoral autocracy that occur within the tolerance (e.g. 5 years) of the coding end or gap in the dataset and do not hold a founding autocratic election, we also treat as remaining democratic until the coding end or gap. For changes from democracy to closed autocracy, censoring is not an issue as we take the year the case becomes closed as the transition or founding of the new autocratic regime.

Required variables: v2x_regime; v2eltype_0; v2eltype_4; v2eltype_6; v2elasmoff_ord (for the actual year of the founding democratic/autocratic elections see dem_founding_elec /

aut_founding_elec).

Format: year, [1900,2023]

NA: V-Dem data required to construct the variable is missing.

Regime termination (reg_end_year)

When will the current regime end?

Clarification: This variable is coded as the year the regime ends and is coded for the entire duration of the regime.

For democratic regimes, this is generally coded as the year the country moved from democracy to autocracy on the RoW measure, provided that it resulted in a democratic breakdown. To guard against noise in the data, we require that cases moving from democracy to electoral autocracy stay autocratic for the tolerance period or hold an autocratic founding election. Autocratic founding elections are defined as the first direct national-level election for either the parliament, executive, or a constituent assembly having been held under conditions of autocracy on the RoW measure, after a transition from democracy to autocracy on the RoW measure.

For autocratic regimes, this is coded as the year the country moves from autocracy to democracy on the RoW measure, provided that direct national-level elections for the parliament, executive, or a constituent assembly are subsequently held under conditions of democracy (on the RoW measure) and the elected officials are able to assume office.

Right censoring is not an issue for changes between autocracy and democracy, because the regime ending (i.e. transition) is not completed until after the founding democratic election occurs. Thus, we assume the previous autocratic regime persists until we receive information to the contrary. A change in RoW resulting in democracy that stays there to the end of the coding or a gap in coding without holding an election is treated as remaining autocratic.

For changes from democracy to closed autocracy (i.e. breakdown), censoring is also not an issue as we take the year prior to when the case becomes closed as the end of the regime.

For changes from democracy to electoral autocracy that occur within the tolerance (e.g. 5 years) of the coding end or gap in the dataset and do not hold a founding autocratic election, we treat these as remaining democratic until the coding end or gap.

Required variables: v2x_regime; v2eltype_0; v2eltype_4; v2eltype_6; v2elasmoff_ord

Format: year, [1900,2023]

NA: V-Dem data required to construct the variable is missing.

Regime identifier (reg_id)

What is the unique regime identifier?

Clarification: This is a combination of the country_text_id, start, and end year of the regime.

Required variables: country_text_id, reg_start_year, reg_end_year.

Format: string

NA: V-Dem data required to construct the variable is missing.

Regime type (reg_type)

What is the current regime type?

Clarification: This variable denotes whether the current regime can be classified as a democracy or autocracy.

0– Autocracy. A country-year coded as autocracy on the RoW measure that has had an autocratic transition, i.e. (a) closed autocracy; or (b) electoral autocracy that has held an founding autocratic election (aut_founding_elec) and/or stayed autocratic for the tolerance period (e.g. 5 years).

1– Democracy. A country-year coded as democracy on the RoW measure that has held a founding democratic election (dem_founding_elec). The year of the founding election is included.

To deal with *left censoring*, we code the first regime after the coding starts or a gap in the case purely based on the RoW value, and set its founding year as the first observation year after the coding starts or a gap ends in the data.

Right censoring is not an issue for changes between autocracy and democracy, because the regime founding (i.e. transition) is not completed until the founding democratic election occurs. Thus, we assume the previous autocratic regime persists until we receive information to the contrary. A change in RoW resulting in democracy that stays there to the end of the coding or a gap in coding without holding an election is treated as remaining autocratic.

For changes from democracy to closed autocracy, censoring is also not an issue as we take the year the case becomes closed as the transition or founding of the new autocratic regime.

For changes from democracy to electoral autocracy that occur within the tolerance (e.g. 5 years) of the coding end or gap in the dataset and do not hold a founding autocratic election, we treat these as remaining democratic until the coding end or gap.

Required variables: v2x_regime, reg_start_year

Format: categorical, [0,1]

NA: V-Dem data required to construct the variable is missing.

Regime transition (reg_trans)

Was there a "genuine" regime transition in the country-year? If so, what type?

Clarification: This variable indicates a "genuine" transition between democracy and autocracy based on the regime founding criteria (see reg_type). A "genuine" transition to democracy means that the regime experienced a change in RoW AND held a founding democratic election (dem_founding_elec). A "genuine" transition to autocracy means that the regime experienced a change in RoW to closed autocracy OR transitioned to an electoral autocracy that held a founding autocratic election (aut_founding_elec). It is coded as the final year of a regime.

-1– Democratic breakdown.

0– No regime transition

1– Democratic transition.

Required variables: reg_type

Format: categorical, [-1,1]

NA: V-Dem data required to construct the variable is missing.

Founding democratic election (dem_founding_elec)

When was the founding democratic election for this regime?

Clarification: This variable is only coded for democratic regime years and reflects the first election held under democracy within the democratic regime that allowed officials to assume or continue office (based on the V-Dem variable v2elasmoff_ord = 2) in either the legislature, executive, or a constituent assembly. It is coded for all years of the regime and missing for all non-democratic country-years.

Required *variables*: v2eltype_0, v2eltype_4, v2eltype_6, v2elasmoff_ord, v2x_regime

Format: year, [1903,2023]

NA: V-Dem data required to construct the variable is missing.

Founding autocratic election (aut_founding_elec)

When was the founding autocratic election for this regime?

Clarification: This variable is only coded for autocratic regime years and reflects the first election held under autocracy in either the legislature, executive, or a constituent assembly. It is coded for all years of the regime and missing for all democratic country-years.

Required *variables*: v2eltype_0, v2eltype_4, v2eltype_6, v2x_regime

Format: year, [1903,2023]

NA: V-Dem data required to construct the variable is missing.

RoW regime change event (row_regch_event)

Was there a regime change according to the RoW measure during this country-year?

Clarification: This variable is coded based on a change between democracy and autocracy on the RoW measure for a specific country-year. NOTE: this does not necessarily mean that the initial change of the RoW in this specific country-year was followed by founding democratic/autocratic elections (see the variables dem_founding_elec and aut_founding_elec) which is why this variable does not measure "genuine" regime transitions. Instead, the variable reg_trans indicates if a regime transition was "genuine".

-1– Change from democracy to autocracy on RoW

0– No regime change on RoW

1– Change from autocracy to democracy on RoW

Required variables: v2x_regime

Format: categorical, [-1,1]

NA: V-Dem data required to construct the variable is missing.

RoW regime change censored (row_regch_censored)

Is this particular regime change censored?

Clarification: If the regime change on RoW between democracy and autocracy occurs within tolerance period (e.g. 5 years) of the end of coding or a gap in coding, it is considered censored unless we know there was a breakdown or democratic transition based on above criteria.

Required variables: row_regch_event, codingend, gapstart1, gapstart2, gapstart3

Format: dummy, [0,1]

NA: V-Dem data required to construct the variable is missing.

C. Episodes

C.1. Democratization episodes

Democratization episode (dem_ep)

Was there an ongoing democratization episode during the country-year?

Clarification: A period of substantial and sustained increases on V-Dem's Electoral Democracy Index (EDI). The default parameters require that such a period begin with an initial 0.01 increase on the EDI and a total increase of at least 0.10 throughout the episode. A democratization episode ends the final year of a positive change greater than or equal to the initial increase (e.g. 0.01), prior to experiencing an annual drop, cumulative drop, or stasis period. These are defined in the defaults as –0.03, –0.10, and 5 years, respectively.

Required variables: v2x_polyarchy

Format: dummy, [0,1]

NA: V-Dem data required to construct the variable is missing.

Democratization episode identifier (dem_ep_id)

What is the unique identifier for current the democratization episode?

Clarification: This is a combination of the country_text_id, start, and end year of the episode. This is coded for all episode years and the pre-episode year.

Required variables: country_text_id, dem_ep_start_year, dem_ep_end_year.

Format: string

NA: not applicable; there is no democratization episode associated with this particular observation.

Democratization episode start year (dem_ep_start_year)

When did the current episode of democratization begin?

Clarification: The first year of the democratization episode, defined as the first year of a positive change equal or greater than the start inclusion (e.g. +0.01) on the EDI, followed by a period of sustained positive changes on the EDI. This is coded for all years within the episode and the pre-episode year.

Format: year, [1901,2023]

NA: not applicable; there is no democratization episode associated with this particular observation.

Democratization episode end year (dem_ep_end_year)

When will the current episode of democratization end?

Clarification: The final year of the democratization episode, defined as the last positive change equal to or greater than the start inclusion (e.g. +0.01) on the EDI before experiencing an annual drop (e.g. -0.03), gradual drop over the tolerance (e.g. -0.10 over 5 years), or a period of no positive changes on the EDI equal to the start inclusion (e.g. +0.01) for the tolerance (e.g. 5 years). This is coded for all years within the episode and the pre-episode year.

Format: year, [1902,2023]

NA: not applicable; there is no democratization episode associated with this particular observation.

Pre-democratization episode year (dem_pre_ep_year)

Will a democratization episode begin in the following year?

Clarification: Coded as the year before a democratization episode begins.

Format: dummy, [0,1]

NA: V-Dem data required to construct the variable is missing.

Democratization episode termination type (dep_ep_termination)

Why did the current democratization episode terminate the year it did?

Clarification: Democratization episodes generally end the final year of a positive change greater than or equal to the start_incl parameter (e.g. 0.01). This is coded for the entire episode. The reasons for termination include:

0– Censored. This occurs when the episode has not experienced any of the below conditions and experienced its last positive change greater than or equal to the start_incl parameter (e.g. 0.01) within the tolerance period of coding end or a gap in coding (e.g. 5 years).

1– Stasis. The episode terminated because the political unit did not experience any subsequent increases greater than or equal to the start_incl parameter (e.g. +0.01) for a period of time longer than the tolerance period (e.g. 5 years).

2– Year drop. The episode terminated because the political unit experienced an annual drop of less than or equal to the year_turn parameter (e.g. -0.03) within the tolerance window (e.g. 5 years) of its last positive change greater than or equal to start_incl (e.g. +0.01).

3– Cumulative drop. The episode terminated because the political unit experienced a cumulative drop less than or equal to the cum_turn parameter (e.g. -0.10) within the tolerance window (e.g. 5 years) of the last positive change greater than or equal to start_incl (e.g. +0.01).

4– Closed or breakdown. The episode terminated because the country reverted to closed authoritarianism on the RoW measure or experienced a democratic breakdown according to *reg_trans*.

Required variables: v2x_polyarchy, v2x_regime, codingend, gapstart1, gapstart2, gapstart3

Format: categorical, [0,4]

NA: not applicable; there is no democratization episode associated with this particular observation.

Episode with potential democratic transition (dem_ep_prch)

Is there an ongoing democratization episode within the political unit that has/had the potential for a regime change?

Clarification: By regime change, we mean a reclassification from autocracy to democracy ("democratic transition"). To count as a "democratic transition", the country must move from autocracy (<2) to democracy (≥ 2) on the RoW within the episode period and experience a "founding" democratic election (i.e. elections for the legislature, executive, or constituent assembly) for which the elected officials were able to assume office. Here we are not interested in movements between intermediate types of autocracy (i.e. electoral or closed) or democracy (i.e. electoral or liberal). Instead, this variable captures whether an episode originates in an authoritarian regime and has the potential to produce a democratic transition. This variable is coded for the entire episode, even if the transition has already occurred.

0– This observation is not in an episode with the potential for democratic transition.

1– This observation is an episode with the potential for democratic transition.

Notes: This variable supersedes "sub_dem_ep" (ERT v1.2). It will be useful for researchers interested in studying a subset of democratization episodes where autocracies had the potential to become democratic (i.e. liberalizing autocracies).

Required variables: dem_ep, reg_type

Format: dummy, [0,1]

NA: V-Dem data required to construct the variable is missing.

Post-democratic transition episode year (dem_ep_ptr)

Has the political unit experienced a democratic transition within the current episode?

Clarification: This variable captures whether, during the current episode of democratization, the political unit experienced a democratic transition. In other words, it captures those years of democratic deepening that occur in an episode after a democratic transition occurred.

0– This observation is not in an episode where a democratic transition has occurred

1– This observation is in an episode where a democratic transition has occurred

Notes: This variable supersedes "sub_dem_ep" (ERT v1.2). This variable may be useful for those who wish to limit their analysis to the authoritarian years of an episode prior to a democratic transition.

Required variables: dem_ep, reg_trans, dem_ep_prch

Format: dummy, [0,1]

NA: V-Dem data required to construct the variable is missing.

Democratic transition and democratic deepening (dem_ep_subdep)

Did the current episode experience a democratic transition and subsequently democratic deepening?

Clarification: This variable is coded for episodes that experienced a democratic transition followed by democratic deepening. It is coded for the entire episode. It provides a further refinement of the outcome (dem_ep_outcome) for those who are interested in exploring which episodes culminated in transition versus those that continued deepening after the transition.

0– This observation is not in an episode that experiences a democratic transition and democratic deepening

1– This observation is in an episode that experiences a democratic transition and subsequently democratic deepening

Required variables: dem_ep, reg_trans, dem_ep_prch, dem_ep_ptr

Format: dummy, [0,1]

NA: V-Dem data required to construct the variable is missing.

Democratization outcome (dem_ep_outcome)

What was the outcome of the current democratization episode?

Clarification: This variable captures detailed outcomes of the episodes. Episodes experiencing a democratic transition are coded accordingly, even if the episode endures a subsequent period of democratic deepening. Separate variables (dem_ep_subdep, dem_ep_ptr) account for this variation.

0– There is no democratization episode during this year.

1– Democratic transition. The episode resulted in a change from autocracy to democracy on the RoW measure followed by a democratic founding election. *Applies to entire episode, even if subsequent democratic deepening occurred.*

2– Preempted democratic transition. The episode resulted in a change from autocracy to democracy on the RoW measure but the political unit did not hold a democratic founding election before reverting to autocracy.

3– Stabilized electoral autocracy. The episode did not result in a change from autocracy to democracy on the RoW measure, and the political unit stabilized as an electoral autocracy for the tolerance period (e.g. 5 years) without subsequent improvements equal to the start inclusion (e.g. +0.01).

4– Reverted liberalization. The episode (a) never resulted in change from closed autocracy on the RoW measure, (b) resulted in an electoral autocracy on the RoW measure but the political unit reverted back to closed autocracy, (c) resulted in an electoral autocracy on the RoW measure but the political unit experienced a subsequent annual decline less than or equal to the year_turn parameter (e.g. -0.03) or a decline less than the cum_turn parameter (e.g. -0.10) on the EDI over the course of the tolerance period (e.g. 5 years).

5– Deepened democracy. The episode resulted in further liberalization or democratization of a political unit that was already classified as democracy in the pre-episode year.

6– Outcome censored. The outcome of the episode is censored because it has the potential for a regime change (dem_ep_prch==1) but is ongoing in the final observation year of the dataset or before a gap in coding is encountered.

Note: This variable supersedes the older version (ERT v1.2) and has been recoded at the entire episode level. There may be a small number of observations (or none, depending on parameters) within each of these outcome types. Users should be aware and consider the more aggregate outcome types for statistical analysis.

Required variables: dem_ep, row_regch_event, reg_type, dem_ep_termination

Format: categorical, [0,6]

NA: V-Dem data required to construct the variable is missing.

Aggregate democratization outcome (dem_ep_outcome_agg)

What was the aggregate outcome of the current democratization episode?

Clarification: This variable captures aggregate outcomes of the episodes. Episodes experiencing a democratic transition are coded accordingly, even if the episode endures a subsequent period of democratic deepening or autocratic regression. Separate variables (dem_ep_subdep, dem_ep_ptr) account for this variation.

0– There is no democratization episode during this year.

1– Democratic transition. The episode resulted in a change from autocracy to democracy on the RoW measure followed by a democratic founding election. *Applies to entire episode, even if subsequent democratic deepening occurred.*

2– No democratic transition. The episode did not result in a change from autocracy to democracy on the RoW measure; or it did result in a change between democracy and autocracy on the RoW measure, but the political unit did not hold a democratic founding election before reverting to autocracy.

3– Deepened democracy. The episode resulted in further liberalization or democratization of a political unit that was already classified as democracy in the pre-episode year.

4– Outcome censored. The outcome of the episode is censored because it has the potential for a regime change (dem_ep_prch==1) but is ongoing in the final observation year of the dataset or before a gap in coding is encountered.

Note: This variable provides an aggregate alternative to dem_ep_outcome that may be more useful for those engaging in statistical modeling.

Required variables: dem_ep, row_regch_event, reg_type, dem_ep_termination

Format: categorical, [0,4]

NA: V-Dem data required to construct the variable is missing.

Democratization episode censored (dem_ep_censored)

Is the duration of the current democratization episode censored?

Clarification: the duration of a democratization episode may be censored if its end date corresponds with the date the coding for the case ends (i.e. codingend) or the year before a gap starts in the coding (i.e. gapstart1, gapstart2, gapstart3). *Note: This is coded for the entire episode. Thus, episodes where a period of liberalizing autocracy results in a transition may still be censored in terms of their duration if the resulting period of democratic deepening is censored.*

0– This observation is not in an episode that is duration censored

1– This observation is in an episode that is duration censored

Required variables: dem_ep_end_year, codingend, gapstart1, gapstart2, gapstart3

Format: dummy, [0,1]

NA: V-Dem data required to construct the variable is missing.

C.2. Autocratization episodes

Autocratization episode (aut_ep)

Was there an ongoing autocratization episode during the country-year?

Clarification: A period of substantial and sustained decreases on V-Dem's Electoral Democracy Index (EDI). The default parameters require that such a period begin with an initial –0.01 decrease on the EDI and a total decrease of at least –0.10 throughout the episode. An autocratization episode ends the final year of a negative change less than or equal to the initial decrease (e.g. –0.01), prior to experiencing an annual increase, cumulative increase, or stasis period. These are defined in the defaults as +0.03, +0.10, and 5 years respectively.

Required variables: v2x_polyarchy

Format: dummy, [0,1]

NA: V-Dem data required to construct the variable is missing.

Autocratization episode identifier (aut_ep_id)

What is the unique identifier for current the autocratization episode? This is coded for all episode years and the pre-episode year.

Clarification: This is a combination of the country_text_id, start, and end year of the episode.

Required variables: country_text_id, aut_ep_start_year, aut_ep_end_year.

Format: string

NA: not applicable; there is no democratization episode associated with this particular observation.

Autocratization episode start year (aut_ep_start_year)

When did the current episode of autocratization begin?

Clarification: The first year of the autocratization episode, defined as the first year of a negative change equal or less than the start inclusion (e.g. -0.01) on the EDI, followed by a period of sustained negative changes on the EDI. This is coded for all episode years and the pre-episode year.

Format: year, [1905,2023]

NA: not applicable; there is no democratization episode associated with this particular

observation.

Autocratization episode end year (aut_ep_end_year)

When will the current episode of autocratization end?

Clarification: The final year of the autocratization episode, defined as the last negative change equal to or less than the start inclusion (e.g. –0.01) on the EDI before experiencing an annual increase (e.g. +0.03), gradual increase over the tolerance (e.g. +0.10 over 5 years), or a period of no negative changes less than or equal to the start inclusion (e.g. –0.01) on the EDI for the tolerance (e.g. 5 years). This is coded for all years of the episode and the pre-episode year.

Format: year, [1906,2023]

NA: not applicable; there is no democratization episode associated with this particular observation.

Pre-autocratization episode year (aut_pre_ep_year)

Will an autocratization episode begin in the following year?

Clarification: Coded as the year before an autocratization episode begins.

Format: dummy, [0,1]

NA: V-Dem data required to construct the variable is missing.

Autocratization episode termination type (aut_ep_termination)

Why did the current autocratizaton episode terminate in the year it did?

Clarification: Autocratization episodes generally end the final year of a negative change less than or equal to the start_incl parameter (e.g. -0.01). This variable is coded for all episode years. The reasons for termination include:

0– Censored. This occurs when the episode has not experienced any of the below conditions and experienced its last negative change less than or equal to the start_incl parameter (e.g. -0.01) within the tolerance period of coding end or a gap in coding (e.g. 5 years).

1– Stasis. The episode terminated because the political unit did not experience any subsequent decreases less than or equal to the start_incl parameter (e.g. -0.01) for a period of time longer than the tolerance period (e.g. 5 years).

2– Year increase. The episode terminated because it experienced an annual increase greater than or equal to the year_turn parameter (e.g. +0.03) within the tolerance

window (e.g. 5 years) of its last negative change.

3– Cumulative increase. The episode terminated because it experienced a cumulative increase greater than or equal to the cum_turn parameter (e.g. +0.10) within the tolerance window (e.g. 5 years) of the last negative change.

4– Democratic transition. The episode terminated because the country experienced a democratic transition according to *reg_trans*.

Required variables: v2x_polyarchy, v2x_regime

Format: categorical, [0,3]

NA: not applicable; there is no democratization episode associated with this particular observation.

Episode with potential democratic breakdown (aut_ep_prch)

Is there an ongoing autocratization episode within the political unit that has/had the potential for a regime change?

Clarification: By regime change, we mean a reclassification from democracy to autocracy ("democratic breakdown"). To count as a "democratic breakdown", the country must move from democracy ($\geq$2) to autocracy ($<$2) on the RoW within the episode period and experience either a "founding" autocratic election (i.e. elections for the legislature, executive, or constituent assembly) or remain classified as autocratic for the tolerance period (e.g. 5 years). Here we are not interested in movements between intermediate types of autocracy (i.e. electoral or closed) or democracy (i.e. electoral or liberal). Instead, this variable captures whether an episode originates in an democratic regime and has the potential to produce a democratic breakdown. This variable is coded for the entire episode, even if the transition has already occurred.

0– This observation is not in an episode with the potential for democratic breakdown.

1– This observation is in an episode with the potential for democratic breakdown.

Notes: This variable supersedes "sub_aut_ep" (ERT v1.2). It will be useful for researchers interested in studying a subset of autocratization episodes where democracies had the potential to become autocratic (i.e. democratic regression).

Required variables: aut_ep, reg_type

Format: dummy, [0,1]

NA: V-Dem data required to construct the variable is missing.

Post-democratic breakdown episode year (aut_ep_pbr)

Has the political unit experienced a democratic breakdown within the current episode?

Clarification: This variable captures whether, during the current episode of autocratization, the political unit experienced a democratic breakdown. In other words, it captures those years of autocratic regression that occur in an episode after a democratic breakdown occurred.

0– This observation is not in an episode where a democratic breakdown has occurred

1– This observation is in an episode where a democratic breakdown has occurred

Notes: This variable supersedes "sub_aut_ep" (ERT v1.2). This variable may be useful for those who wish to limit their analysis to the democratic years of an episode prior to a democratic breakdown.

Required variables: aut_ep, reg_trans, aut_ep_prch

Format: dummy, [0,1]

NA: V-Dem data required to construct the variable is missing.

Democratic breakdown and autocratic regression (aut_ep_subreg)

Did the current episode experience a democratic breakdown and subsequently autocratic regression?

Clarification: This variable is coded for episodes that experienced a democratic breakdown followed by autocratic regression. It is coded for the entire episode. It provides a further refinement of the outcome (aut_ep_outcome) for those who are interested in exploring which episodes culminated in breakdown versus those that continued autocratizing after the breakdown.

0– This observation is not in an episode that experiences a democratic breakdown and autocratic regression

1– This observation is in an episode that experiences a democratic breakdown and subsequently autocratic regression

Required variables: aut_ep, reg_trans, aut_ep_prch, aut_ep_pbr

Format: dummy, [0,1]

NA: V-Dem data required to construct the variable is missing.

Autocratization outcome (aut_ep_outcome)

What was the outcome of the current autocratization episode?

Clarification: This variable captures detailed outcomes of the episodes. Episodes experiencing democratic breakdown are coded accordingly, even if the episode endures a sub-

sequent period of autocratic regression. Separate variables (aut_ep_subreg, aut_ep_pbr) account for this variation.

0– There is no autocratization episode during this year.

1– Democratic breakdown. The episode resulted in the political unit (a) becoming a closed autocracy on RoW, (b) becoming an electoral autocracy and staying there for at least one election, or (c) becoming an electoral autocracy and staying there for at least the tolerance period (e.g. 5 years). *Applies to entire episode, even if subsequent autocratic regression occurred.*

2– Preempted democratic breakdown. The episode resulted the political unit becoming an electoral autocracy, but it reclaimed its democratic status without holding an autocratic founding election and within the tolerance period (e.g. 5 years).

3– Diminished democracy. While the democracy retained its democratic status, the episode resulted in depreciated levels of electoral democracy or a transition to electoral democracy from liberal democracy, that was sustained for the tolerance period (e.g. 5 years). *Note - with the default parameters we do not observe this outcome.*

4– Averted regression. The episode (a) never resulted in a change from liberal democracy, (b) resulted in an electoral democracy on the RoW measure but the political unit reverted back to liberal democracy, (c) resulted in an electoral democracy on the RoW measure but the political unit experienced a subsequent increase greater than or equal to the year_turn parameter (e.g. 0.03) or a decline greater than or equal to the cum_turn parameter (e.g. 0.10) on the EDI over the course of the tolerance period (e.g. 5 years).

5– Regressed autocracy. The episode resulted in further autocratization of a political unit that was already classified as autocratic in the pre-episode year.

6– Outcome censored. The outcome of the episode is censored because it has the potential for a regime change (aut_ep_prch==1) but is ongoing in the final observation year of the dataset or before a gap in coding is encountered.

Note: This variable supersedes the older version (ERT v1.2) and has been recoded at the entire episode level. There may be a small number of observations (or none, depending on parameters) within each of these outcome types. Users should be aware and consider the more aggregate outcome types for statistical analysis.

Required variables: aut_ep, row_regch_event, reg_type, aut_ep_termination

Format: categorical, [0,6]

NA: V-Dem data required to construct the variable is missing.

Aggregate Autocratization outcome (aut_ep_outcome_agg)

What was the aggregate outcome of the current autocratization episode?

Clarification: This variable captures aggregate outcomes of the episodes. Episodes experiencing democratic breakdown are coded accordingly, even if the episode endures a subsequent period of autocratic regression. Separate variables (aut_ep_subreg, aut_ep_pbr) account for this variation.

0– There is no autocratization episode during this year.

1– Democratic breakdown. The episode resulted in the political unit (a) becoming a closed autocracy on RoW, (b) becoming an electoral autocracy and staying there for at least one election, or (c) becoming an electoral autocracy and staying there for at least the tolerance period (e.g. 5 years). *Applies to entire episode, even if subsequent autocratic regression occurred.*

2– No democratic breakdown. The episode did not result in a change from democracy to autocracy on the RoW measurel or it did result in a change between democracy and autocracy on the RoW measure, but the political unit did not hold an autocratic founding election or remain autocratic for the tolerance period (e.g. 5 years) before restoring democracy.

3– Regressed autocracy. The episode resulted in further autocratization of a political unit that was already classified as autocratic in the pre-episode year.

4– Outcome censored. The outcome of the episode is censored because it has the potential for a regime change (aut_ep_prch==1) but is ongoing in the final observation year of the dataset or before a gap in coding is encountered.

Note: This variable provides an aggregate alternative to aut_ep_outcome that may be more useful for those engaging in statistical modeling.

Required variables: aut_ep, row_regch_event, reg_type, aut_ep_termination

Format: categorical, [0,4]

NA: V-Dem data required to construct the variable is missing.

Autocratization episode censored (aut_ep_censored)

Is the duration of the current autocratization episode censored?

Clarification: The duration of an autocratization episode may be censored if its end date corresponds with the date the coding for the case ends (i.e. codingend) or the year before a gap starts in the coding (i.e. gapstart1, gapstart2, gapstart3). *Note: This is coded for the entire episode. Thus, episodes where a period of democratic regression results in a breakdown may still be censored in terms of their duration if the resulting period of autocratic regression is censored.*

0– This observation is not in an episode that is duration censored

1– This observation is in an episode that is duration censored

Required variables: aut_ep_end_year, codingend, gapstart1, gapstart2, gapstart3

Format: dummy, [0,1]

NA: V-Dem data required to construct the variable is missing.