Democracy and Dictatorship Revisited Codebook

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I. ORGANIZING THE WORLD

As simple as it may be, there is no one system of numbering the countries of the world that would allow scholars to easily merge all the varied datasets into one overall dataset. The difficulty, of course, comes from the fact that countries come and go and countries sometimes change significantly their territorial basis while retaining their old names. For some analyses (e.g., for economic or demographic time series), we want to mark the fact that Pakistan lost the territory that became Bangladesh in 1971, or that Ethiopia lost the territory that became Eritrea in 1993, or that Indonesia lost the territory that became East Timor in 2002. At the same time, for some other analyses (e.g., those related to the occurrence of elections and the changes of heads of state and government), the fact that some territory was lost is irrelevant. For the first type of analyses, Pakistan before 1971 should be treated as a different country as Pakistan after 1971. For the second type of analyses, Pakistan between 1947 and 2008 should be treated as one country. The solution we found to be the most flexible is the following:

- We follow the Correlates of War country code, since this seems to be the most complete and widely used country identifier available. We create four additional country codes (which do not match any COW country code):
    - COW assigns one code to Yugoslavia from 1946 through 2008. We consider that Yugoslavia (COW = 345) stopped existing in 1991 and assign a new country code to Serbia and Montenegro (1991-2006) and to Serbia (2006-)
    - COW assigns one code to the USSR/Russia from 1946 through 2008. We consider that the USSR (COW=365) stopped existing in 1991 and assign a new code to Russia (1991-).
    - COW assigns one number to Vietnam between 1954 and 2008 and another to South Vietnam between 1954 and 1975. We assign different codes for South Vietnam (1954-1976), North Vietnam (1954-1976) and Vietnam (1976-present).

- We do not assign new country codes to countries that experienced changes in their territories but which remained in existence after the change. These include, for instance, Pakistan (with the creation of Bangladesh in 1971), Cyprus (with the "creation" of Turkish Cyprus in 1983, a country not recognized as independent – and hence not in this dataset – but over which the "remaining" Cyprus does not govern), or Ethiopia (with the creation of Eritrea in 1993). The variable **cid** provides a country coding that treats these cases as separate countries.

- We create a variable (**chgterr**) that flags the countries that gained or lost territory since 1946. This variable is coded 1 for all the years the country that experienced a change in territory appears in the dataset.

- We also create a variable (**ychgterr**) that is coded 1 in the year the change in the country's territory took place.

- We added to the file alternative country identifiers to facilitate merging with other datasets.

II. <u>VARIABLES</u>

order
Sequential numbering of rows (1 through 9159)

ctryname
String country identifier.

year
Calendar year

aclpcode
Country identifier (numeric) used in previous versions of the regime classification contained in this dataset (the so-called ACLP, PPD, etc., databases). See Alvarez, Cheibub, Limongi, Przeworski 1996, Przeworski, Alvarez, Cheibub and Limongi 2000, and Cheibub 2007.

cowcode
Correlates of war (numeric) country identifier.

cowcode2
Modified correlates of war (numeric) country identifier. See explanation under "Organizing the World."

ccdcodelet
Three letter country code used by the Cline Center for Democracy, University of Illinois at Urbana-Champaign.

ccdcodenum
Numberic country code used by the Cline Center for Democracy, University of Illinois at Urbana-Champaign.

aclpyear
Concatenation of **aclpcode** and **year**.

cowcode2year
Concatenation of **cowcode2** and **year**.

cowcodeyear
Concatenation of **cowcode** and **year**.

chgterr
Dummy variable coded 1 for **all the years** of a country that experienced significant gains or losses of territory, 0 otherwise.

ychgterr
Dummy variable coded 1 for the year in which a country gained or lost significant parts of its territory, 0 otherwise.

flagc_cowcode2
Dummy variable coded 1 for the first year a country (defined by **cowcode2**) is observed in the dataset, 0 otherwise.

flage_cowcode2
Dummy variable coded 1 for the last year a country (defined by **cowcode2**) is observed in the dataset, 0 otherwise.

entry
Year the country is first observed in the dataset (repeated for all years a country is in the dataset).

exity
Year the country is last observed in the dataset (repeated for all years a country is in the dataset).

cid

wdicode
Worl Development Indicators (string) country identifier.

imf_code
International Monetary Fund (numeric) country identifier.

politycode
POLITY IV (numeric) country identifier.

bankscode
Banks (numeric) country identifier.

dpicode
DPI (string) country identifier.

uncode
United Nations (numeric) country identifier.

un_region
United Nations (numeric) geographic region identifier.

un_region_name
United Nations (string) geographic region identifier.

un_continent
United Nations (string) continent identifier.

un_continent_name
United Nations (numeric) continent identifier.

aclp_region
Alvarez, Cheibub, Limongi and Przeworski (1996, 2000) (numeric) region identifier.

bornyear
Year the country is first identified as such. [***Needs work: compare different sources]

endyear
Year the country stops being identified as such [***Needs work]

exselec
Mode of effective executive selection (from Banks to 2002, painted yellow in the excel file when modified; own coding from 2003 on):

1. Direct election (election of the effective executive by popular vote or the election of committed delegates for the purpose of executive selection)
2. Indirect election (selection of the effective executive by an elected assembly or by an elected but uncommitted electoral college)
3. Nonelective (any means of executive selection not involving a direct or indirect mandate from an electorate)

legselec
Mode of legislative selection (from Banks to 2002, painted yellow in the excel file when modified; own coding from 2003 on):

0. No legislature exists (includes cases in which there is a constituent assembly without ordinary legislative powers)

1. Non-elective legislature (examples include the selection of legislators by the effective executive, or on the basis of heredity or ascription)
2. Elective (legislators, or members of the lower house in a bicameral system, are selected by means of either direct or indirect popular election)

closed
Status of legislature
0. Legislature is closed
1. Legislature is appointed
2. Legislature is elected

dejure
Legal status of parties
0. All parties legally banned
1. Legally single party state
2. Multiple parties legally allowed

defacto
Existence of parties
0 = No parties
1 = One party
2 = Multiple parties

N.B. We collected separate variables for **dejure** and **defacto** status of parties because legal status alone is not always a good reflection of empirical reality. Both **dejure** and **defacto** refer to existence of parties in general, not whether they have seats in the legislature. For this information see **lparty**.

defacto2
Existence of parties outside of regime front
0. No parties
1. One party or multiple parties, but they belong to regime front
2. Multiple parties

lparty
Parties within the legislature
0. Either no legislature or all members of the legislature are nonpartisan
1. Legislature with only members from the regime party
2. Legislature with multiple parties

incumb
Consolidation of incument advantage. Dummy variable coded 1 if: (1) the regime year qualifies as a democratic regime and (2) sometime during its current tenure in office the incumbents (person, party, military hierarchy) unconstitutionally closed the lower house of the national legislature and rewrote the rules in their favor. The rationale for this variable is discussed in Przeworski et al. (2000:20-22). We expand the action that

characterizes consolidation of incumbent advantage to include cases in which the incumbent was first elected in multiparty elections but, for whatever reasons, the incumbent's term was extended and subsequent elections were postponed (e.g., Angola as of December 31, 2008).

type2

Dummy variable coded 1 for the cases excluded from the set of democracies uniquely because they violate the "alternation" rule; 0 otherwise. These are the cases that would be classified as democratic if the only criteria for democracy were multiparty (direct or indirect) executive and legislative elections. This, however, as discussed in Przeworski et al (2000:23-29) and in Cheibub, Vreeland and Gandhi (2009), is not sufficient to identify democracies. In the set of regimes that hold multiparty elections, some do it only because they know the opposition cannot win and others because the opposition would not be allowed to assume office if it won. The difficulty is that in many cases there is no historical evidence to allow the observer to distinguish these cases. Thus, it is possible that we might identify as a democracy a case that is a real dictatorship, or as a dictatorship a case that is a real democracy. The alternation rule, as well as the present variable, identifies the cases for which we do not have sufficient information to decide, according to our rules, whether the country is a democracy or not.

> Note on the **type2** name: A type I error is a false positive and a type II error is a false negative. In the original project for which this variable was created, dictatorships were coded 1 (positive) and democracies 0 (negative). The variable was named to indicate that we had made a decision to *avoid type II* errors by coding as dictatorships cases that might have been a democracy (thus committing *type I* errors). In the current context, we think of democracy as the positive outcome and dictatorship as the negative outcome. We should, therefore, rename the variable *type1* error since we decided to coded possible democracies (real 1s) as dictatorships (real 0s). In the end, it does not matter. What is important is that this variable can be used to easily reclassify regimes by either considering all cases coded as 1 in *type2* as democracies or attempting to discriminate which ones are democracies and which ones are dictatorships.

collect

Dummy variable coded 1 when the effective head is characterized by collective leadership, 0 otherwise.

nheads

Number of changes in the nominal head of government in each year.

nmil

Dummy variable coded 1 if the nominal head is or ever was a member of the military by profession, 0 if civilian. Note that we code retired members of the military as NMIL=1 since the shedding of a uniform is not necessarily enough to indicate the civilian character of a leader. Also note that we do not consider rulers who come to power as

head of guerilla movements as military. Source: Compiled from Beinen and Van de Walle (1991), Beck et al. (2000), Banks (various years), Zarate (2001), Lentz (1994), and various internet sources as marked.

nhead
Name of the nominal head of government. Source: Compiled from Banks (various years), Beinen and Van de Walle (1991), Rulers website, Zarate (2001), and Lentz (1994).

npost
Political title of the nominal head of government. Source: Compiled from Banks (various years), Beinen and Van de Walle (1991), Rulers website, Zarate (2001), and Lentz (1994).

ndate
Date of entrance into power of nominal head of government. Source: Compiled from Banks (various years), Beinen and Van de Walle (1991), Rulers website, Zarate (2001), and Lentz (1994).

eheads
Number of changes in the effective head of government in each year

ageeh
Age of the effective head's spell in office. There is no left censoring.

emil
Dummy variable coded 1 if the effective head is or ever was a member of the military by profession, 0 if civilian. Note that we code retired members of the military as EMIL=1 since the shedding of a uniform is not necessarily enough to indicate the civilian character of a leader. Also note that we do not consider rulers who come to power as head of guerilla movements as military. Source: Compiled from Beinen and Van de Walle (1991), Beck et al. (2000), Banks (various years), Zarate (2001), Lentz (1994), and various internet sources as marked.

royal
Dummy variable coded 1 if the effective head is of hereditary royalty, 0 otherwise. To qualify as royal, the effective head must meet 2 qualifications: 1) rule under a title such as kings, emirs, sultans, and 2) have been preceded or succeeded by a relative. Part 1) means that Khama in Botswana, Mutesa in Uganda, Souvanna Phouma in Laos, Mohammed Daud in Afghanistan, and Sihanouk in Cambodia do not qualify as monarchs because they abdicated their places in the royal line to rule as heads of republics. Part 2) means that self-proclaimed royalty such as Bokassa in the Central African Republic are not monarchs. Source: Banks (various years), Lentz (1994).

headdiff
Dummy variable coded 1 if the effective and nominal heads are different people, 0 otherwise. Source: Created from NHEAD and EHEAD.

ehead
Name of the effective head of government.
Effective heads are: 1) presidents in presidential democracies; 2) prime ministers in parliamentary and mixed democracies, except in the cases of Djohar in Comoros and Preval in Haiti; 3) general-secretaries of the communist party in communist dictatorships, except in the case of Deng Xiaoping in China; 4) kings, presidents, and de facto rulers in non-communist dictatorships, except in the cases of Singapore, Malaysia, Cambodia, Laos, and Myanmar where the effective head is sometimes the prime minister; and 5) military or other figure when sources indicate nominal head is puppet figure. Included are acting or provisional governments, on the assumption that one cannot distinguish between cases in which heads attempted to consolidate power and failed from cases in which heads did not try to do so. Note that this variable, as all other variables with names beginning with "E," codes effective rulers as opposed to nominal ones. Source: Compiled from Banks (various years), Beinen and Van de Walle (1991), Rulers website, Zarate (2001), and Lentz (1994).

epost
Title of the effective head of government.
Source: Compiled from Banks (various years), Beinen and Van de Walle (1991), da Graca (1985), Rulers website, Zarate (2001), and Lentz (1994).

edate
Date of entrance into power of effective head of government.
Source: Compiled from Banks (various years), Beinen and Van de Walle (1991), da Graca (1985), Rulers website, Zarate (2001), and Lentz (1994).

tenure08
Total number of years (up to and including the year 2002) the effective head of government is in power. **tenure** is invariant during the spell of each head.

comm
Dummy variable coded 1 if the ruler is the Communist Party leader, 0 otherwise.
Source: Banks (various years), Lentz (1994).

ecens08
Dummy variable coded 0 for the last year of an effective head's tenure due to death or for the last year of effective heads that lasted beyond the time of the last observation, usually 1996, and 1 otherwise. **ecens08** = 0 for rulers who entered as dictators and then legitimately won an election and became democrats. Source: Compiled from Banks

(various years), Beinen and Van de Walle (1991), da Graca (1985), Rulers website, Zarate (2001), and Lentz (1994).

edeath
Dummy variable coded 0 for the last year of the effective head's spell due to the head's death and 1 otherwise. We do not distinguish between natural death, assassination, suicide, and accidents. Source: Banks' Political Handbook, Bienen and Van de Walle (1991), Rulers website, and Zarate (2001).

flagh
Dummy variable coded 1 for the first year an effective head of government is first observed, 0 otherwise.

democracy
Dummy variable coded 1 if the regime qualifies as democratic. The conditions for this variable are the following:

democracy=1 if
exselec<=2 (and)
legselec=2 (and)
closed=2 (and)
dejure=2 (and) **defacto**=2 (and) **defacto2**=2 (and) **lparty**=*2*
(and) **type2**=0 (and) **incumb**=0

assconfid
Dummy variable coded 1 if the regime is a democracy and the government is subject to assembly confidence, 0 otherwise. Assembly confidence refers to *collective* cabinet responsibility and must include the head of government. All cases in which assembly confidence is explicitly stated in the constitution are coded 1. Cases in which assembly confidence is not explicitly stated in the constitution (i.e., Iceland) or there is no constitution (i.e., England) are included when we observed at least one instance of successful government removal via a parliamentary vote of no confidence since 1946.

poppreselec
Dummy variable coded 1 if the regime is a democracy and the head of state is chosen via popular election. Note that it is possible that a country will have no direct presidential elections, **poppreselec**=0, and still be presidential. These are the cases in which presidents are indirectly elected (**exselec**=2)

regime
Six-fold regime classification

0. Parliamentary democracy
1. Mixed (semi-presidential) democracy
2. Presidential democracy
3. Civilian dictatorship

4. Military dictatorship
5. Royal dictatorship

tt
Dummy variable coded 1 when there is a transition to or from democracy, 0 otherwise.

ttd
Dummy variable coded 1 when there is a transition to democracy, 0 otherwise.

tta
Dummy variable coded 1 when there is a transition to dictatorship, 0 otherwise.

flagdem
Dummy variable coded 1 for the first year a country is observed or a new regime (as defined by **democracy**) emerges, 0 otherwise.

flagreg
Dummy variable coded 1 for the first year a country is observed or a new regime (as defined by **regime**) emerges, 0 otherwise.

agedem
Age in years of the current regime as classified by **democracy**. The year in which the regime comes into existence is coded as 1. When applicable, ages were extended back as far as 1870.

agereg
Age in years of the current regime as classified by **regime**. The year in which the regime comes into existence is coded as 1. When applicable, ages were extended back as far as 1870.

stra
Sum of past transitions to authoritarianism in a country. If a country experienced more than one transition to authoritarianism before 1946, STRA is coded 1 in 1946.