Stagnated liberalization, long-term convergence, and index methodology

Three lessons from the CITRIX citizenship policy dataset

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Appendix

A. Detailed coding schemes 2

Table A1 Birthright conditions for second-generation immigrants 2

Table A2 Birthright conditions for third-generation immigrants 3

Table A3 Residence conditions for ordinary naturalization 4

Table A4 Renunciation conditions in CITRIX 4

Table A5 Renunciation conditions in MIPEX 5

Table A6 Language tests 6

Table A7 Citizenship tests 6

Table A8 Economic requirements 7

Table A9 Criminal record conditions 7

B. Aggregate and disaggregate country trajectories 8

Figure B1 Aggregate CITRIX trajectories across countries 1980-2019 8

Figure B2 Birthright conditions and residence conditions across countries 1980-2019 9

Figure B3 Reunciation conditions and integration conditions across countries 1980-2019 10

A. Detailed coding schemes

All codes reflect the date of enforcement rather than the date of the adoption of some policy (if the two differ). More specifically, the focus is on laws that are in force on *December 31* of each year. This is because the sources that CITRIX is based on – most notably MIPEX and DEMIG – record policies and changes to them in this way, and because other index building projects in the field have done the same, namely IMPIC[1]. This means that the data lends itself more readily to analyses that focus on effects of citizenship policies rather than causes of citizenship policies. To investigate causes, it would make more sense to match the coding with the moment of policy adoption rather than its implementation. I envision an alternative version of CITRIX for this purpose in the future.

Table A1 Birthright conditions for second-generation immigrants

MIPEX		**CITRIX 2.0**	
Birthright citizenship for second generation Can citizenship be acquired by children born on the territory to non-national parents?		Indicator name: **iussoli2_v2**	
100	Automatic at birth (may be conditional upon parents' status)	100	Automatic at birth – unconditional
50	Upon simple application or declaration after birth	67	Automatic at birth, but attached to conditions related to the parents' residence and/or status
0	Naturalization procedure (facilitated or not)	33	Upon simple application or declaration after birth (may be tied to additional conditions such as status of parents or residence or criminal record conditions)
		0	Naturalization procedure (facilitated or not)

[1] http://www.impic-project.eu/

The first policy component of CITRIX measures birthright conditions regarding second-generation immigrants and third-generation immigrants, respectively (see Tables A1 and A2). The law regarding second generation immigrants uses an adapted four-point scale that allows for a differentiation of unconditional and conditional forms of *ius soli* (see Table A1 on the left). This distinction is important because the switch from unconditional to conditional *ius soli* is not only relevant theoretically but has happened in various instances empirically.

The law regarding third generation immigrations is scored on the original three-point MIPEX scale (Table A2). It captures what is called *double ius soli*, as it requires birth in the territory for both parents and children. A further distinction between unconditional and conditional regimes, while it may appear relevant in theory, is obsolete in the practice of most states.

Table A2 Birthright conditions for third-generation immigrants

CITRIX scale is identical to MIPEX indicator "birthright citizenship for third generation"

Indicator name: **iussoli3**

Can citizenship be acquired by children born on the territory to non-national parents at least one of whom was already born on the territory?

100	Automatic at birth (may be conditional upon parents' status)
50	Upon simple application or declaration after birth
0	Naturalization procedure (facilitated or not)

The second policy component is the residence condition. It is measured in terms of the residence duration requirement for ordinary naturalization. The number of years is not divided into the ordinal three-point scale that underlies the MIPEX coding (see Table A3 on the left). Instead, to avoid arbitrary cut-off points and to refine the indicator, I record the exact number of years and then normalize the data by linearly re-scaling the range of variation to an interval from 0 to 100 (see Table A3 on the right). 0 is the empirical maximum (15 years in Germany e.g. in 1980), and 100 is the theoretical maximum of zero years.

Table A3 Residence conditions for ordinary naturalization

MIPEX		**CITRIX 2.0**	
Residence period			
How many years of residence are required for ordinary naturalization?		Indicator name: **residur_v2**	
100	After ≤ 5 years of total residence	X	Exact number of years residur_raw
50	After > 5 < 10 years of total residence		
0	After ≥ 10 years of total residence	Normalization=	((X-max)/(0-max))*100

The third policy component of CITRIX are renunciation conditions in terms of the toleration of dual citizenship in naturalization and captures whether first generation immigrants are required to renounce another citizenship when naturalizing. It is coded a three-point scale that combines and recategorizes two three-point MIPEX scales by discriminating major from minor exceptions of all kind (see Table A4).

Table A4 Renunciation conditions in CITRIX

Indicator name: **dualcit_v2**
Is there a requirement to renounce foreign nationality before naturalization for first generation immigrants?

100	No requirement for anyone
50	Yes, but with exemptions for multiple categories of migrants regarding their residence or marital status and origin (this typically involves both of the following migrants: refugees as well as migrants with citizenship from multiple countries or partners or spouses of nationals)
0	Yes, with or without minor exceptions (the most common minor exceptions are: (1) either refugeehood OR citizenship of specific countries, and (2) cases in which the country of origin does not allow renunciation of citizenship (impossibility) AND/OR cases in which the country of origin sets unreasonably high fees for renunciation (costs))

I opt for this method because the MIPEX scales are problematic. One problem that the two MIPEX scales are not mutually exclusive (see Table A5). A country that only exempts persons from renouncing because it is impossible to do so will have a score of 50 on both indicators because of that exemption. This is what the MIPEX wording implies. I contend that it is more useful to build the exemptions into a single scale.

Table A5 Renunciation conditions in MIPEX

MIPEX

Renunciation requirement		**Renunciation exemptions**	
Is there a requirement to renounce foreign nationality before naturalization?		Types of exemptions allowed	
100	No requirement	100	Both (A) refugees and/or stateless persons and (B) on grounds of accessibility (cost, distance, impossibility)
50	Requirement exists before naturalization, but with exceptions (when country of origin does not allow renunciation of citizenship or sets unreasonably high fees for renunciation)	50	Only (A) or (B)
0	Requirement exists	0	Neither (A) or (B), though other minor exemptions may exist

The fourth policy component of CITRIX measures integration conditions, namely language tests, citizenship tests, and economic as well as criminal record requirements. The three-point MIPEX scale for language tests is refined so that no requirement is the maximum (Table A6). The second most inclusive category adds informal general requirements to the existing MIPEX scheme. The MIPEX scale for citizenship tests correctly records no test or voluntary information as maximum inclusion. But it does not record a general informal requirement for civic knowledge or "citizenship skills". I add this possibility by expanding the scale to four points (Table A7).

Table A6 Language tests

MIPEX		CITRIX 2.0	
Naturalization language level			
Is there a test, interview, a course, or an informal requirement that requires or leads to a certain level of language skills?		Indicator name: **langtest_v2**	
100	No requirement OR level A1 or less set as standard	100	No requirement
50	Yes, A2 set as standard	67	Yes, general but informal requirement without an explicit standard; may be assessed in an interview OR level A1 or less set as standard
0	Yes, B1 or higher set as standard	33	Yes, A2 set as standard
		0	Yes, B1 or higher set as standard

Table A7 Citizenship tests

MIPEX		CITRIX 2.0	
Integration form			
Is there a test, interview or a course of that requires a certain level of integration?		Indicator name: **cittest_v2**	
100	No requirement OR voluntary provision of information	100	No requirement
50	Requirement to complete a course without a test	67	Yes, general but informal requirement of civic knowledge or "citizenship skills" (a vague informal "assimilation" requirement is not considered)
0	Requirement to pass a formal integration test	33	Requirement to complete a course without a test
		0	Requirement to pass a formal integration test

Economic (Table A8) as well as criminal record requirements (Table A9) are coded on the original MIPEX three-point scales. They are well-suited to capture the relevant variation.

Table A8 Economic requirements

CITRIX scale is identical to MIPEX indicator "economic resources"

Indicator name: **ecoreq_v2**

Is there an economic resources requirement?	
100	No requirement
50	Minimum income (e.g. acknowledged level of poverty threshold)
0	Additional requirements (e.g. employment, stable and sufficient resources, higher levels of income)

Table A9 Criminal record conditions

CITRIX scale is identical to MIPEX indicator "criminal record"

Indicator name: **crimreq_v2**

Is there a criminal record requirement?	
100	No requirement OR only crimes with sentences of imprisonment for min. five years OR use of qualifying period instead of refusal
50	Crimes with sentences of imprisonment for less than five years
0	For other offences (e.g. misdemeanors, minor offenses, pending criminal procedure)

A. Aggregate and disaggregate country trajectories

Figure B1 Aggregate CITRIX trajectories across countries 1980-2019

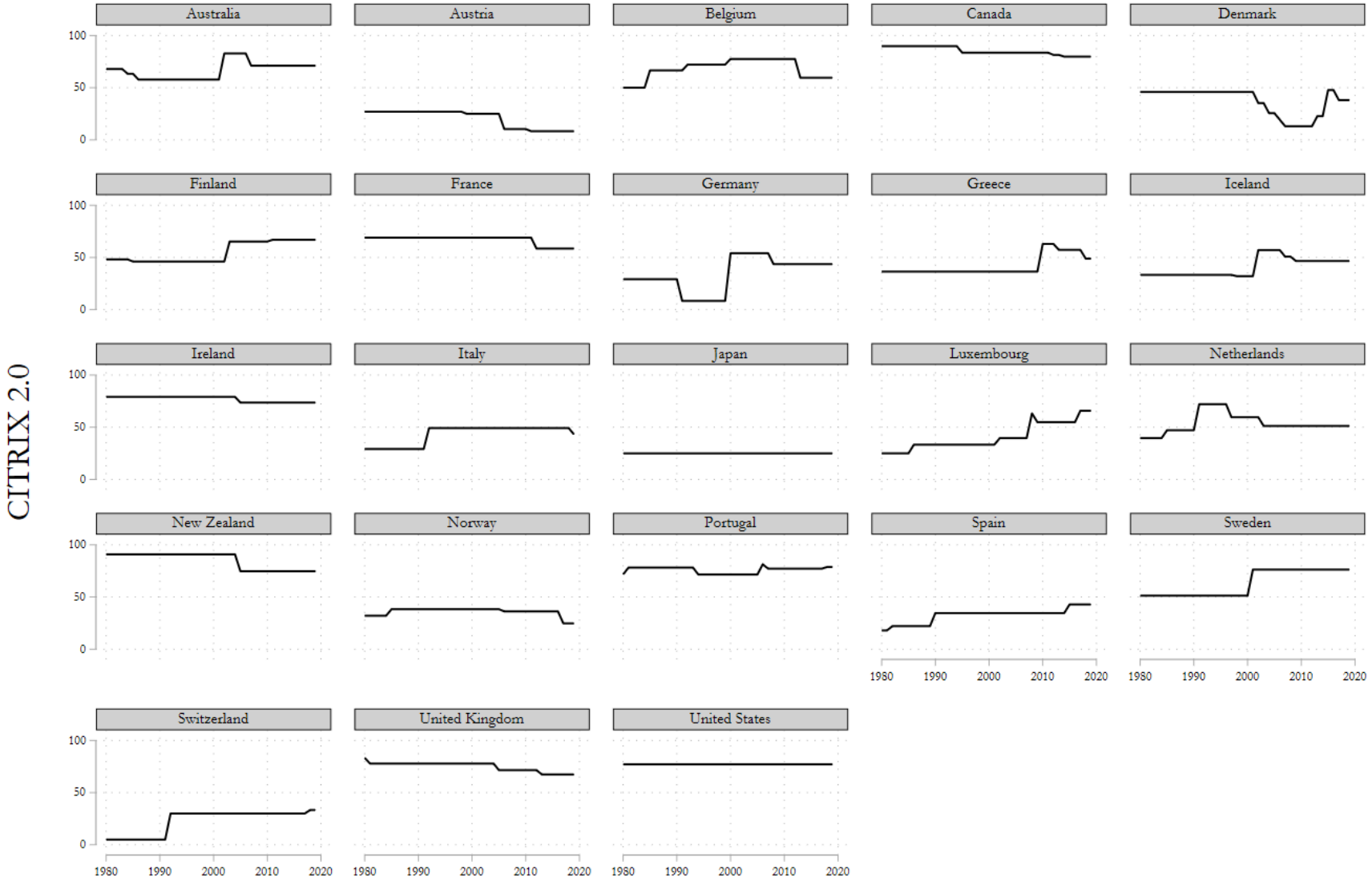

Figure B2 Birthright conditions and residence conditions across countries 1980-2019

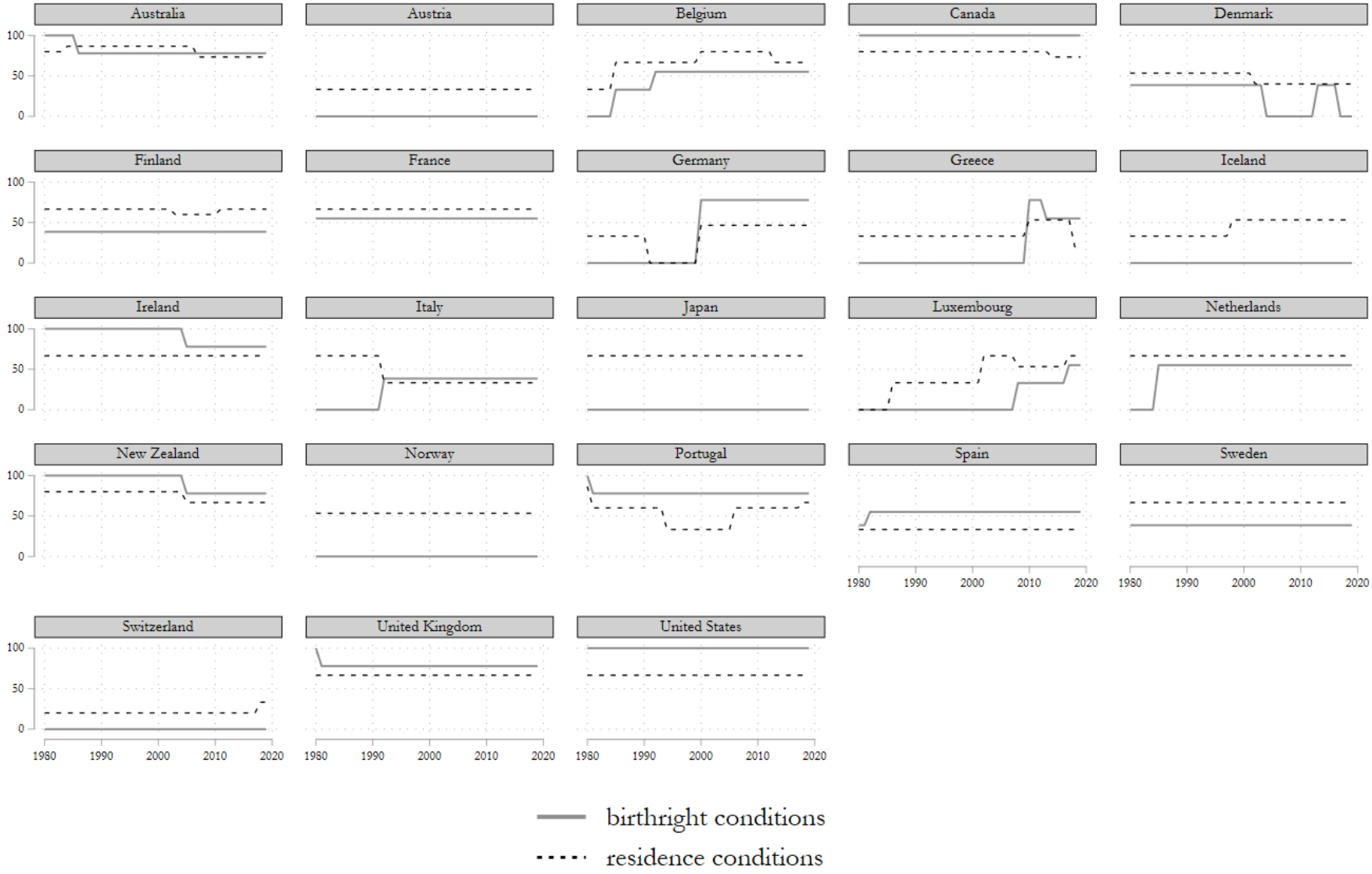
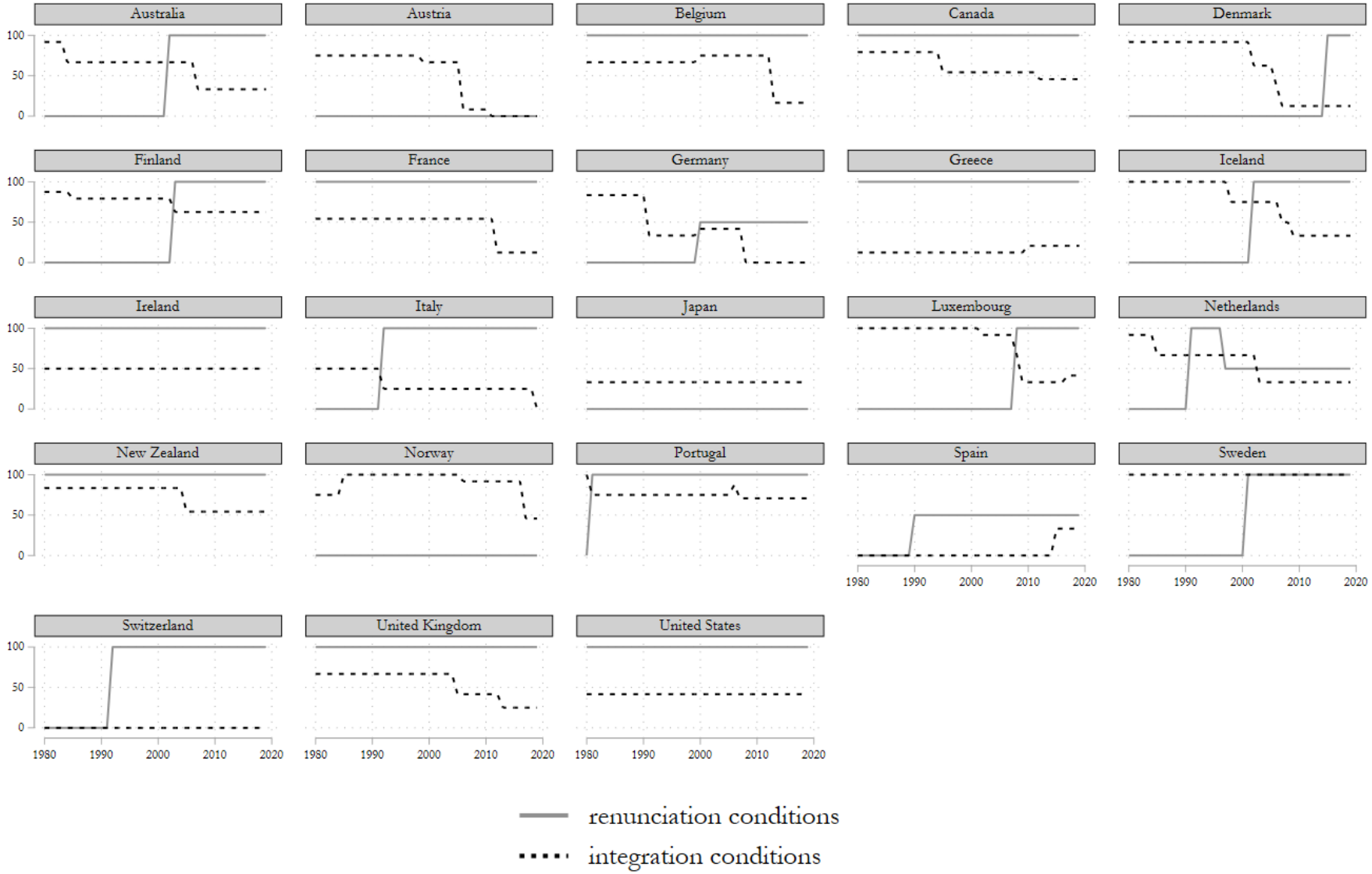
Figure B3 Reunciation conditions and integration conditions across countries 1980-2019