

# New numerical fiscal rules in the EU member states in 2011

Les questions signalées par un astérisque \* nécessitent une réponse.

## 1 Description of the rule

1.1 Please choose from:

*(Please note that this questionnaire is only aimed at new rules or at already existing rules that were not reported previously)*

\*

- The present rule was introduced in 2011
- The present rule was already in force in 2011 but it has never been reported

1.2 Please define the nature of the rule: \*

- Expenditure rule
- Budget balance rule
- Revenue rule
- Debt rule

1.3 Please provide a general description of the rule.

\*

(maximum 4000 caractères)

1.4 Please indicate the main reasons for the introduction of the rule.

Please mention any related particular event (such as institutional reform, changes in legislation to adapt to the requirements of the Treaty fiscal framework, etc.).

Please indicate the date of important decisions taken.

\*

(maximum 2000 caractères)

1.5 Indicate the approximative starting date of the discussion on the introduction of the considered rule (MM/YY).

\*

(entre 5 et 5 caractères)

1.6 Indicate the approval date of the rule (MM/YY). \*

(entre 5 et 5 caractères)

1.7 Indicate the date the rule entered/should enter into force (DD/MM/YY). \*

(entre 8 et 8 caractères)

Explanation/additional information.

(maximum 2000 caractères)

## 2 Coverage and target definition



2.1 Are all sectors of the general government covered by the rule?

*(Please note that for the purpose of this questionnaire we refer to these sectors of the general government - central government, regional/state government, local government and social security. The questionnaire takes into account that some Member States may not have all of the sectors - in particular regional/state governments.)*

\*



Questions on coverage are used for two main purposes:

- 1) To determine among rules covering the same sector, which one has the largest coverage,
- 2) To estimate the individual coverage of each rule in terms of general government expenditure/revenue.

Following questions include further explanation under the "help button"

Yes

No



2.1 Are all sectors of the general government covered by the rule?

*(Please note that for the purpose of this questionnaire we refer to these sectors of the general government - central government, regional/state government, local government and social security. The questionnaire takes into account that some Member States may not have all of the sectors - in particular regional/state governments.)*

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- 1) To determine among rules covering the same sector, which one has the largest coverage,
- 2) To estimate the individual coverage of each rule in terms of general government expenditure/revenue.

Following questions include further explanation under the "help button"

Yes

No



2.2 Please indicate the sector(s) of general government covered by the rule (*multiple replies possible*): \*

- local government
- regional government (autonomous regions or federated states)
- central government
- social security
- other



2.2 Please indicate the sector(s) of general government covered by the rule (*multiple replies possible*): \*

- local government
- regional government (autonomous regions or federated states)
- central government
- social security
- other



Please specify:

\*

(maximum 200 caractères)



Additional information:

(maximum 500 caractères)



2.3 Please indicate the share of local government in general government expenditure (in percent): \*



Questions 2.3 to 2.6 are general questions related to the share of each sub-sector (local, regional, central and social security) in terms of the general government sector. Consequently when replying to these questions, one has to verify that the sum the replies is equal to 100%. Moreover one has to check that replies to questions 2.3 to 2.6 should be the same for all rules in a given country.

%



2.3 Please indicate the share of local government in general government revenue (in percent): \*



Questions 2.3 to 2.6 are general questions related to the share of each sub-sector (local, regional, central and social security) in terms of the general government sector. Consequently when replying to these questions, one has to verify that the sum the replies is equal to 100%. Moreover one has to check that replies to questions 2.3 to 2.6 should be the same for all rules in a given country.

%



2.4 Please indicate the share of regional/state government in general government expenditure (in percent): \*



Questions 2.3 to 2.6 are general questions related to the share of each sub-sector (local, regional, central and social security) in terms of the general government sector. Consequently when replying to these questions, one has to verify that the sum the replies is equal to 100%. Moreover one has to check that replies to questions 2.3 to 2.6 should be the same for all rules in a given country.

%




2.4 Please indicate the share of regional/state government in general government revenue (in percent): \*



Questions 2.3 to 2.6 are general questions related to the share of each sub-sector (local, regional, central and social security) in terms of the general government sector. Consequently when replying to these questions, one has to verify that the sum the replies is equal to 100%. Moreover one has to check that replies to questions 2.3 to 2.6 should be the same for all rules in a given country.


%

 2.5 Please indicate the share of central government in general government expenditure (in percent): \*


 Questions 2.3 to 2.6 are general questions related to the share of each sub-sector (local, regional, central and social security) in terms of the general government sector. Consequently when replying to these questions, one has to verify that the sum the replies is equal to 100%. Moreover one has to check that replies to questions 2.3 to 2.6 should be the same for all rules in a given country.


%

 2.5 Please indicate the share of central government in general government revenue (in percent): \*


 Questions 2.3 to 2.6 are general questions related to the share of each sub-sector (local, regional, central and social security) in terms of the general government sector. Consequently when replying to these questions, one has to verify that the sum the replies is equal to 100%. Moreover one has to check that replies to questions 2.3 to 2.6 should be the same for all rules in a given country.


%

 2.6 Please indicate the share of social security in general government expenditure (in percent): \*


 Questions 2.3 to 2.6 are general questions related to the share of each sub-sector (local, regional, central and social security) in terms of the general government sector. Consequently when replying to these questions, one has to verify that the sum the replies is equal to 100%. Moreover one has to check that replies to questions 2.3 to 2.6 should be the same for all rules in a given country.

%

 2.6 Please indicate the share of social security in general government revenue (in percent): \*

 Questions 2.3 to 2.6 are general questions related to the share of each sub-sector (local, regional, central and social security) in terms of the general government sector. Consequently when replying to these questions, one has to verify that the sum the replies is equal to 100%. Moreover one has to check that replies to questions 2.3 to 2.6 should be the same for all rules in a given country.

%

 2.7 What is the time frame covered by the rule? \*

- one-year budgetary cycle
- multi-annual
- other



How many years are covered? \*

- 2 years
- 3 years
- 4 years
- 5 years
- More
- Legislative period



Please, specify.

\*

(maximum 2000 caractères)



Additional information:

(maximum 500 caractères)



2.8 Please indicate the accounting system in which the budgetary aggregate targeted by the rule is specified: \*

- ESA 95 accounting
- cash/budgetary accounting
- other



Please specify:

\*

(maximum 200 caractères)



Additional information:

(maximum 500 caractères)



2.9 Please indicate the definition of the budgetary aggregate targeted by the rule: \*

- Structural balance
- Primary balance
- Primary balance except capital investment
- Other



2.9 Please indicate the definition of the budgetary aggregate constrained by the rule: \*

- |   |   |
|---|---|
| <input type="radio"/> nominal expenditure           | <input type="radio"/> growth of real expenditure                      |
| <input type="radio"/> real expenditure              | <input type="radio"/> allocation of expenditure to a specific purpose |
| <input type="radio"/> growth of nominal expenditure | <input type="radio"/> other   |





2.9 Please indicate the definition of the constraint given by the rule:

\*

- nominal debt
- real debt
- growth of debt (nominal or real)
- debt to GDP ratio
- debt as % of current revenue
- debt service ratio
- decline of debt (nominal or real)
- decline of debt to GDP ratio
- other



2.9 Please indicate the definition of the constraint given by the rule:

\*

- allocation of unexpected revenue
- earmarking specific revenue
- limits on direct tax rates
- limits on indirect tax rates
- growth of revenue in relation to GDP growth
- other




Please specify:

\*


(maximum 200 caractères)



Additional information: (maximum 500 caractères)


 2.10 Please indicate the unit of measurement of the budgetary aggregate targeted by the rule: \*

- nominal terms
- real terms
- % of GDP
- other

 2.10 Please indicate the unit of measurement of the budgetary aggregate targeted by the rule:

\*

- nominal terms
- real terms
- per cent
- % of GDP
- percentage points related to GDP growth
- percentage points related to a specific concept of economic growth (e.g. potential output)
- other

 2.10 Please indicate the unit of measurement of the budgetary aggregate targeted by the rule:

\*

- nominal terms
- real terms
- per cent
- other

 2.10 Please indicate the unit of measurement applying to the constraint given by the rule:

(e.g., in a revenue allocation rule, unexpected revenue could be defined in nominal terms or % of GDP) \*

- nominal terms
- real terms
- per cent
- percentage points
- other



percentage points related to a specific concept of economic growth (e.g. potential output), specify:

\*



Please specify:

\*

(maximum 200 caractères)



Additional information:

(maximum 500 caractères)



2.11 Are there any exclusions in the coverage of the above rule? \*

Yes

No



Additional information:

(maximum 500 caractères)



2.12 Please indicate the budgetary elements that are excluded from the coverage of the rule, if any (multiple replies possible): \*

- Interest payments
- Public investment
- Others



2.13 In case of revenue allocation rules, please indicate to what area unexpected or specific revenue is to be allocated to (multiple replies possible): \*

- deficit reduction
- specific funds (e.g. pension funds)
- other



Please specify the relevant definition of public investment applied (e.g. gross or net investment, including only specific items, etc.):

\*

(maximum 500 caractères)



specific funds, specify (maximum 200 caractères)



Specify:


\*

(maximum 200 caractères)



Additional information:

(maximum 500 caractères)

 2.14 Please indicate the estimated value of items covered by the rule as a percentage of for local government expenditure (taking into account exclusions, if any): \*




Questions 2.14 to 2.17 will help to determine the coverage of each rule in terms of specific sub-sector expenditures/revenues. The answer will be used to determine which rule has the largest coverage.

The product of replies 2.3 and 2.14, 2.4 and 2.15, 2.5 and 2.16, 2.6 and 2.17, will give the respective sectors coverage by the rule in terms of general government expenditures/revenues.

For example, assume a rule covers 50% of central government expenditure and the central government is 80% of general government expenditure. As a result, the coverage of the rule in terms of general government expenditure is  $80\% * 50\% = 40\%$ .

%

 2.14 Please indicate the estimated value of items covered by the rule as a percentage of local government revenue (taking into account exclusions, if any): \*




Questions 2.14 to 2.17 will help to determine the coverage of each rule in terms of specific sub-sector expenditures/revenues. The answer will be used to determine which rule has the largest coverage.

The product of replies 2.3 and 2.14, 2.4 and 2.15, 2.5 and 2.16, 2.6 and 2.17, will give the respective sectors coverage by the rule in terms of general government expenditures/revenues.

For example, assume a rule covers 50% of central government expenditure and the central government is 80% of general government expenditure. As a result, the coverage of the rule in terms of general government expenditure is  $80\% * 50\% = 40\%$ .

%

 2.15 Please indicate the estimated value of items covered by the rule as a percentage of regional/state government expenditure (taking into account exclusions, if any): \*



Questions 2.14 to 2.17 will help to determine the coverage of each rule in terms of specific sub-sector expenditures/revenues. The answer will be used to determine which rule has the largest coverage.

The product of replies 2.3 and 2.14, 2.4 and 2.15, 2.5 and 2.16, 2.6 and 2.17, will give the respective sectors coverage by the rule in terms of general government expenditures/revenues.

For example, assume a rule covers 50% of central government expenditure and the central government is 80% of general government expenditure. As a result, the coverage of the rule in terms of general government expenditure is  $80\% * 50\% = 40\%$ .

%



2.15 Please indicate the estimated value of items covered by the rule as a percentage of regional/state government revenue (taking into account exclusions, if any): \*



Questions 2.14 to 2.17 will help to determine the coverage of each rule in terms of specific sub-sector expenditures/revenues. The answer will be used to determine which rule has the largest coverage.

The product of replies 2.3 and 2.14, 2.4 and 2.15, 2.5 and 2.16, 2.6 and 2.17, will give the respective sectors coverage by the rule in terms of general government expenditures/revenues.

For example, assume a rule covers 50% of central government expenditure and the central government is 80% of general government expenditure. As a result, the coverage of the rule in terms of general government expenditure is  $80\% * 50\% = 40\%$ .

%



2.16 Please indicate the estimated value of items covered by the rule as a percentage of central government expenditure (taking into account exclusions, if any): \*



Questions 2.14 to 2.17 will help to determine the coverage of each rule in terms of specific sub-sector expenditures/revenues. The answer will be used to determine which rule has the largest coverage.

The product of replies 2.3 and 2.14, 2.4 and 2.15, 2.5 and 2.16, 2.6 and 2.17, will give the respective sectors coverage by the rule in terms of general government expenditures/revenues.

For example, assume a rule covers 50% of central government expenditure and the central government is 80% of general government expenditure. As a result, the coverage of the rule in terms of general government expenditure is  $80\% * 50\% = 40\%$ .

%



2.16 Please indicate the estimated value of items covered by the rule as a percentage of central government revenue (taking into account exclusions, if any): \*



Questions 2.14 to 2.17 will help to determine the coverage of each rule in terms of specific sub-sector expenditures/revenues. The answer will be used to determine which rule has the largest coverage.

The product of replies 2.3 and 2.14, 2.4 and 2.15, 2.5 and 2.16, 2.6 and 2.17, will give the respective sectors coverage by the rule in terms of general government expenditures/revenues.

For example, assume a rule covers 50% of central government expenditure and the central government is 80% of general government expenditure. As a result, the coverage of the rule in terms of general government expenditure is  $80\% * 50\% = 40\%$ .

%



2.17 Please indicate the estimated value of items covered by the rule as a percentage of social security

government expenditure (taking into account exclusions, if any): \*



Questions 2.14 to 2.17 will help to determine the coverage of each rule in terms of specific sub-sector expenditures/revenues. The answer will be used to determine which rule has the largest coverage.

The product of replies 2.3 and 2.14, 2.4 and 2.15, 2.5 and 2.16, 2.6 and 2.17, will give the respective sectors coverage by the rule in terms of general government expenditures/revenues.

For example, assume a rule covers 50% of central government expenditure and the central government is 80% of general government expenditure. As a result, the coverage of the rule in terms of general government expenditure is  $80\% * 50\% = 40\%$ .

%



2.17 Please indicate the estimated value of items covered by the rule as a percentage of social security

government revenue (taking into account exclusions, if any): \*



Questions 2.14 to 2.17 will help to determine the coverage of each rule in terms of specific sub-sector expenditures/revenues. The answer will be used to determine which rule has the largest coverage.

The product of replies 2.3 and 2.14, 2.4 and 2.15, 2.5 and 2.16, 2.6 and 2.17, will give the respective sectors coverage by the rule in terms of general government expenditures/revenues.

For example, assume a rule covers 50% of central government expenditure and the central government is 80% of general government expenditure. As a result, the coverage of the rule in terms of general government expenditure is  $80\% * 50\% = 40\%$ .


%



Additional information:

(maximum 500 caractères)



 2.18 Please indicate the estimated value of items covered by the rule as a percentage of general government expenditure (taking into account exclusions, if any): \*




*This is a consistency check question. The reply should be equal to the sum of the products of questions 2.3-2.6 and 2.14-2.17.*

*Example:*

<b>Question no</b>	<b>Reply</b>	<b>Question no</b>	<b>Reply</b>	<b>Product</b>
2.3	50%	2.14	80%	40.0%
2.4	20%	2.15	75%	15.0%
2.5	10%	2.16	50%	5.0%
2.6	10%	2.17	25%	2.5%
<b>Total (question 2.18)</b>			<b>62.5%</b>	

%

 2.18 Please indicate the estimated value of items covered by the rule as a percentage of general government revenue (taking into account exclusions, if any): \*




*This is a consistency check question. The reply should be equal to the sum of the products of questions 2.3-2.6 and 2.14-2.17.*


*Example:*

<b>Question no</b>	<b>Reply</b>	<b>Question no</b>	<b>Reply</b>	<b>Product</b>
2.3	50%	2.14	80%	40.0%
2.4	20%	2.15	75%	15.0%
2.5	10%	2.16	50%	5.0%
2.6	10%	2.17	25%	2.5%
<b>Total (question 2.18)</b>			<b>62.5%</b>	

%

 Additional information:

(maximum 500 caractères)

 2.19 According to its establishing act, does the budget balance rule provide for a margin of adjustment to the government in specifying the deficit ceiling? \*

- Yes, the government has some freedom to adjust the ceiling.
- No, the ceiling is entirely determined by the establishing act of the rule.



2.19 According to its establishing act, does the expenditure rule provide for a margin of adjustment to the government in specifying the expenditure ceiling (or any other constraint to expenditure, as appropriate)? \*

- Yes, the government has some freedom to adjust the ceiling.
- No, the ceiling is definitely determined by the establishing act of the rule.



2.19 According to its establishing act, does the debt rule provide for a margin of adjustment to the government in specifying the debt ceiling (or any other constraint to debt or its growth, as appropriate)?

\*

- Yes, the government has some freedom to adjust the ceiling.
- No, the ceiling is entirely determined by the establishing act of the rule.



2.19 According to its establishing act, does the revenue rule provide for a margin of adjustment to the government in specifying the parameters of the rule?

\*

- Yes, the government has some freedom to adjust the parameters.
- No, the parameters are entirely determined by the establishing act of the rule.



2.20 Please describe how the ceiling can be adjusted by the government:

\*

(maximum 500 caractères)



2.20 Please describe how the parameters can be adjusted by the government:



(maximum 500 caractères)



Additional information: (maximum 500 caractères)



2.21 Please indicate the numerical value(s) of the budget balance ceiling (*e.g., in case of budget balance rules in % of current GDP, please indicate the numerical value of % of GDP. In case of nominal ceilings in levels, please indicate the amount, etc.*). *t* refers to the ongoing budget year.

For year  $t+1$ :





2.21 Please indicate the numerical value(s) of the expenditure ceiling (e.g., in case of expenditure rules in % of current GDP, please indicate the numerical value of % of GDP. In case of nominal ceilings in levels, please indicate the amount, etc.).  $t$  refers to the ongoing budget year.

\*

--




2.21 Please indicate the numerical value(s) of the debt ceiling (e.g., in case of debt rules in % of current GDP, please indicate the numerical value of % of GDP. In case of nominal ceilings in levels, please indicate the amount, etc.).  $t$  refers to the ongoing budget year. \*


--





... year  $t+2$  \*

--

 ... year t+3 \*

 ... year t+4 \*

 ... year t+5 \*

 If the rule cannot be immediately described in the above terms, please provide a verbal description of the target(s), unit(s) of measurement, and numerical values of the constraint established by the rule:

(maximum 4000 caractères)

### 3 Statutory base of the rule.

3.1 Please, indicate which of the following best describes the statutory/legal base of the rule:

\*

- political agreement between coalition partners  
medium-term agreement
- commitment made by an authority (e.g., Minister of Finance, president of a regional government etc.)
- agreement between sectors of general government (e.g., Domestic Stability Pact)
- basic (i.e. other than constitutional/organic) law
- organic law
- constitutional law
- other



Specify:

\*

(maximum 500 caractères)

Additional information:

(maximum 500 caractères)



3.2 Please indicate the number of years over which the measures laid down in law extend:

\*

1

2

3

4

5

More

Unspecified

Other



3.3 Please indicate the number of years over which the agreement extends: \*

1

2

3

4

5

More

upon expiration, the agreement is habitually renewed

Other



Additional information:

(maximum 500 caractères)

3.5 Please give a precise reference to the official document(s) that form the statutory base of the rule:

\*

3.6 Please upload a pdf version of the above legal text(s) or official document(s) in original language and in English if available.

*(Alternatively, please provide hyperlink to the relevant legal text)*

\*

#### 4 Monitoring of compliance with the rule.

4.1 Who is in charge of monitoring respect of the rule? *(multiple replies possible)*

\*

- |  |  |
|--|--|
| <input type="checkbox"/> there is no formal monitoring of compliance with the rule | <input type="checkbox"/> governmental body other than the Ministry of Finance            |
| <input type="checkbox"/> Ministry of Finance                                       | <input type="checkbox"/> independent fiscal institution other than the Court of Auditors |
| <input type="checkbox"/> Parliament  | <input type="checkbox"/> other   |
| <input type="checkbox"/> Court of Auditors   |  |

 Specify:

\*

*(maximum 500 caractères)*



Additional information:

(maximum 500 caractères)

4.2 Is there a real-time monitoring?

*("real-time" is defined as quarterly or more frequent)*

\*

Yes

No



Additional information:

(maximum 500 caractères)




Specify: \*


(maximum 1000 caractères)

 4.3 Is a monitoring report issued?

\*

- Yes
- No

 Please specify how often this is done: \* (maximum 2000 caractères)

 4.4 Please indicate which of the following applies to the monitoring report (multiple replies possible): \*

- the government does not usually comment on the monitoring report
- the government is not obliged to comment on the monitoring report, but typically does so (e.g. by a public statement)
- the government is obliged to comment on the monitoring report, but typically does so (e.g. by a public statement)
- the monitoring report is presented in Parliament
- the monitoring report is available to the public

 Additional information: (maximum 500 caractères)

## 5 Enforcement of compliance with the rule

5.1 Please indicate which body is in charge of enforcing compliance with the rule in case of non-compliance:  
(multiple replies possible)

\*

- |   |   |
|---|---|
| <input type="checkbox"/> There is no body in charge with enforcing compliance | <input type="checkbox"/> Governmental body other than the Ministry of Finance   |
| <input type="checkbox"/> Ministry of Finance                                  | <input type="checkbox"/> An independent fiscal institution other than the Court of Auditors   |
| <input type="checkbox"/> Parliament   | <input type="checkbox"/> An independent body or review panel (other than the Fiscal council) specifically created to ensure enforcement of the rule |
| <input type="checkbox"/> Court of Auditors                                    | <input type="checkbox"/> Other  |



Specify:

\*

(maximum 500 caractères)

Additional information:

(maximum 500 caractères)

5.2 Please indicate the characteristics of the escape clauses:

\*

- There are no pre-defined escape clauses.
- Derogations are possible if budgetary problems arise in specific, sensitive areas (e.g., health care).
- Derogations are possible in case of specific situations (e.g., natural disasters, exceptional slowdown, etc.).
- Other

 Specify:

\*  
(maximum 500 caractères)

Additional information:

(maximum 500 caractères)

 5.3 To what extent are escape clauses specified in the establishing act/legal base of the rule? \*

- the establishing act lists all events or circumstances that allow for a derogation
- the circumstances triggering the derogation are not fully specified; there is some margin of discretion

 Additional information: (maximum 500 caractères)

 Indicate which events are included: (multiple replies possible)

\*

- Natural disasters
- Exceptional economic slowdown
- Other



Additional information (maximum 500 caractères)



Specify:

\*

(maximum 500 caractères)



5.4 Who has the right to declare that the escape clauses are in effect?

\*

- the government
- the minister of finance
- the parliament
- an independent fiscal institution
- other



Specify:

\*

(maximum 200 caractères)



Additional information:

(maximum 500 caractères)

5.5 Does the annual budget document contain a reference to the numerical fiscal rule?

\*

- Yes, there is a chapter devoted to compliance with the rule and/or the specification of the implied target.
- Yes, there is cursory reference to the numerical fiscal rule and/or the implied target.
- No

Additional information:

(maximum 500 caractères)

5.6 Are there pre-defined actions to be taken in case or risk of non-compliance with the targets implied by the rule?

*(by pre-defined actions we mean corrective measures, sanctions etc.)*

\*

- Yes
- No



5.7 What describes best the actions taken in case or risk of non-compliance with the targets implied by the rule? *(multiple replies possible)*

\*

- the government/the Ministry of Finance is obliged to propose prepare a proposal of corrective measures for the Parliament/the respective enforcement body
- there is a possibility to impose sanctions
- the government/the Ministry of Finance is obliged to take specific corrective actions
- there is an automatic sanction mechanism in case of non-compliance
- there is an automatic correction mechanism (e.g., a cut in next year's resources upon non compliance);
- other



the government/the Ministry of Finance is obliged to take specific corrective actions, specify:

\*

(maximum 500 caractères)



there is an automatic correction mechanism (e.g., a cut in next year's resources upon non compliance), please describe the mechanism

\*

(maximum 500 caractères)



there is a possibility to impose sanctions, please describe the mechanism:

\*

(maximum 2000 caractères)



there is an automatic sanction mechanism in case of non-compliance, please describe the mechanism:

\*

(maximum 2000 caractères)



other, specify:

\*

(maximum 2000 caractères)



Additional information:

(maximum 1000 caractères)

## 6 Media visibility of the rule



6.1 Which of the following describes best the average degree of media and public awareness of the rule?

- The rule is closely monitored by the media; non-compliance is likely to trigger public debate
- There is high media coverage of the rule, but non-compliance is unlikely to invoke public debate
- No or modest interest of the media



6.2 Please describe the degree of media and public awareness of the new rule \*

- Introduction of the rule was closely covered by the media; there was a public debate
- Introduction of the rule was covered by the media but there was no public debate
- No or modest coverage by the media



Additional information:

(maximum 500 caractères)

## 7 Compliance with the rule in 2011



7.0 Did the new rule introduced in 2011 have any impact on 2011 budget execution?

*(this section will ask questions related to the compliance of budget preparation/execution with the rule in 2011. For some rules these questions might not be relevant as the rules may only affect following budgetary years. In such cases please select "No")*

\*

- Yes
- No



Additional information:

(maximum 500 caractères)



7.1 Was the budget law adopted for the budgetary year 2011 compliant with the rule? \*

- Yes
- No



Additional information:

(maximum 500 caractères)



7.1b If the budget law was not compliant with the rule in 2011, please specify the main reason(s): \*

(maximum 1000 caractères)



7.1c Was non-compliance of the budget law with the rule well covered by the media? \*

- Non-compliance with the rule was closely covered by the media; there was a public debate
- Non-compliance with the rule was covered by the media but there was no public debate
- No or modest coverage by the media



Additional information:

(maximum 500 caractères)



7.2 Were the results of implementing the budget law 2011 compliant with the rule?

\*

- Yes
- No



#### Additional information

(maximum 500 caractères)



7.3 Please, if possible, give a quantitative assessment of compliance with the rule in 2011 by budgetary outcomes, consistent with the entries in section 2 on the target definition, unit of measurement, and numerical value of the target:

*(e.g., in case of a rule prescribing that the cyclically-adjusted general government balance is not higher than 1.5% of GDP, please specify the cyclically-adjusted general government balance achieved, in case of a rule prescribing that the growth rate of nominal expenditure does not exceed 1%, please specify the growth rate of nominal expenditure achieved etc.)*

\*

(maximum 1000 caractères)



7.4 If the implementation of the budget was not compliant with the rule in 2011, please specify the main reason(s) (*multiple replies possible*): \*

- deviation between forecasted GDP and its realization
- unexpected revenue shortfalls due to adverse macro-economic developments
- unexpected revenue shortfalls due to legislative changes
- unexpected mandatory spending obligations (e.g., new or amended legislation)
- unexpected urgent need for discretionary spending (e.g., disaster relief or war)
- unexpected interest increase on existing debt
- other



deviation between forecasted GDP and its realization, specify:

\*

(maximum 200 caractères)



unexpected revenue shortfalls due to adverse macro-economic developments, specify:

\*

(maximum 200 caractères)



unexpected revenue shortfalls due to legislative changes, specify:

\*

(maximum 200 caractères)



unexpected mandatory spending obligations (e.g., new or amended legislation), specify:

\*

(maximum 200 caractères)



unexpected urgent need for discretionary spending (e.g., disaster relief or war), specify:

\*


(maximum 200 caractères)




unexpected interest increase on existing debt, specify:

\*


(maximum 200 caractères)

 other, specify:


\*  
(maximum 200 caractères)

 7.5 Please indicate the perceived nature of the constraint defined by the rule in 2011: \*

- Compliance with the rule could be achieved easily.
- Compliance with the rule could be achieved with difficulty.

 Additional information:

(maximum 500 caractères)

 7.6 Was non-compliance of budget execution with the rule well covered by the media? \*

- Non-compliance with the rule was closely covered by the media; there was a public debate
- Non-compliance with the rule was covered by the media but there was no public debate
- No or modest coverage by the media

 Additional information: (maximum 500 caractères)



7.7 Did non-compliance in 2011 have any impact on the 2012 budget preparation?

*(Please describe potential correction mechanisms, sanctions or corrective measures affecting 2012 budget preparation and any other relevant issues)*

\*

- Yes
- No



Please specify: (maximum 1000 caractères)



7.8 Was compliance of budget execution with the rule well covered by the media?

\*

- Compliance with the rule was closely covered by the media; there was a public debate
- Compliance with the rule was covered by the media but there was no public debate
- No or modest coverage by the media



Additional information: (maximum 500 caractères)

## 8 Long-term impact of the rule



8.2 Since the entry into force of the rule, have the budget laws adopted typically been compliant with the rule? \*

- (almost) never
- rarely
- around 50% of cases
- often
- (nearly) always

Additional information:


(maximum 500 caractères)

8.3 Since the entry into force of the rule, has the implementation of the budget law typically been compliant with the rule? \*

- (almost) never
- rarely
- around 50% of years
- often
- (nearly) always

Additional information:

(maximum 500 caractères)

 8.4 Please specify the main reason(s) for non-compliance with the rule of the implementation of the budget: (*multiple replies possible*)


\*

- |   |   |
|---|---|
| <input type="checkbox"/> deviation between forecasted GDP and its realisation                         | <input type="checkbox"/> unexpected urgent need for discretionary spending (e.g., disaster relief or war) |
| <input type="checkbox"/> unexpected revenue shortfalls due to adverse macro-economic developments     | <input type="checkbox"/> unexpected interest increase on existing debt                                    |
| <input type="checkbox"/> unexpected revenue shortfalls due to legislative changes                     | <input type="checkbox"/> other  |
| <input type="checkbox"/> unexpected mandatory spending obligations (e.g., new or amended legislation) |   |


 Specify:

\*

(maximum 200 caractères)

 Additional information:

(maximum 500 caractères)

 8.5 Please indicate on the nature of the constraint defined by the rule: \*

- Compliance with the rule could typically be achieved easily.
- Compliance with the rule could typically be achieved with difficulty.



Additional information:

\*

(maximum 500 caractères)



8.6 Please indicate the effect of the rule on public debt of the sector(s) of general government to which it applies: so far, the rule has contributed to... \*

- having down the increase in public debt as a percentage of GDP
- stabilizing public debt as % of GDP
- reducing public debt as % of GDP
- the rule had no significant effect on public debt as % of GDP
- other



Specify:


\*

(maximum 500 caractères)



Additional information:

(maximum 500 caractères)

 8.7 Please indicate the effect of the rule on the budget balance: so far, the rule has contributed to... *(multiple replies possible)*

\*

- constraining the budget deficit of the sector(s) concerned
- reaching the medium-term objective (MTO) for general government
- fostering compliance of general government with the Maastricht deficit criterion
- the rule had no significant effect on the budget deficit of the sector(s) of general government concerned
- other

 Specify:


\*

*(maximum 200 caractères)*



Additional information:

*(maximum 500 caractères)*

 8.8 Please indicate the effect of the rule on expenditure of the sector(s) of general government to which it applies: so far, the rule has contributed to... *(multiple replies possible)* \*

- reducing expenditure
- changing the composition of expenditure
- constraining investment
- the rule had no significant effect on expenditure of the sector(s) of general government concerned
- other



Specify:

\*

(maximum 500 caractères)



Additional information:

(maximum 500 caractères)



8.9 Please indicate the effect of the rule on revenues of the sector(s) of general government to which it applies:

so far, the rule has contributed to... *(multiple replies possible)*\*

- increasing public revenues
- decreasing public revenues
- affecting the composition of revenues
- the rule had no significant effect on revenues of the sector(s) of general government concerned
- other



Specify:

\*

(maximum 500 caractères)



Additional information:

(maximum 500 caractères)



8.10 Please indicate the effect of the rule on the conduct of fiscal policy over the cycle: so far, the rule has contributed to... \*

- limiting or preventing the implementation of pro-cyclical fiscal policies in good times
- limiting the work of automatic stabilizers in bad times
- the rule had no significant effect on the conduct of fiscal policy over the cycle
- other



Specify:

\*

(maximum 500 caractères)



Additional information:

(maximum 500 caractères)

8.11 According to general perception, is the rule contributing to budgetary discipline?

\*

- The rule is not or hardly contributing to budgetary discipline.
- The rule is regarded to contribute to budgetary discipline.
- The rule is importantly contributing to budgetary discipline.

Additional information:

(maximum 500 caractères)

## 9 End of the questionnaire

9.1 Contact details of the respondents: Names, firstnames, positions, departments, institutions, addresses, emails, phone numbers.

\*

9.2 Comments or remarks concerning the questionnaire:

(maximum 2000 caractères)