

Existing numerical fiscal rules in the EU member states in 2011

Les questions signalées par un astérisque * nécessitent une réponse.

0 Developments in 2011

0.1 Please choose from: *

- The rule was REFORMED in 2011
- The rule remained UNCHANGED in 2011
- The rule was ABOLISHED in 2011

 0.2 Please indicate when the reform was adopted *

[Date]



0.3 Please indicate the date the reform entered into force


*

[Date]




0.4 Please indicate the main reasons for the reform of the rule: *

(maximum 2000 caractères)

 0.5 Please describe in general the changes affecting the rule: *


(maximum 2000 caractères)

 0.6 Did the reform affect any of the areas below? (*multiple replies possible*) *

- Coverage and target definition
- Statutory base of the rule
- Monitoring of compliance
- Enforcement of compliance
- None of the above

 0.7 Please indicate the main reasons for abolishing the rule: *

(maximum 2000 caractères)

 0.8 Has the abolished rule been substituted by another rule or is it going to be in the future?

*

(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"

- NO CHANGE
- Yes
- No

Additional information:

(maximum 500 caractères)

 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



Other - Please, specify: * (maximum 500 caractères)



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

(in case of revenue rules, please indicate the share in terms of general government revenue)

*



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):

(in case of revenue rules, please indicate the share in terms of general government revenue)

*



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) :

(in case of revenue rules, please indicate the share in terms of general government revenue)

*



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) :

(in case of revenue rules, please indicate the share in terms of general government revenue)

*



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? *


- NO CHANGE
- one-year budgetary cycle
- multi-annual
- other

Additional information:

(maximum 500 caractères)

 How many years are covered? *

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

 Additional information:

(maximum 500 caractères)

 Please, specify.

*
(maximum 2000 caractères)

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

- NO CHANGE
- ESA 95 accounting
- cash/budgetary accounting
- other

Additional information:

(maximum 500 caractères)



Please specify:

*

(maximum 200 caractères)

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

- | | | |
|---|--|---|
| <input type="radio"/> NO CHANGE | <input type="radio"/> Growth of nominal/real expenditure | <input type="radio"/> Decline of debt/debt to GDP ratio |
| <input type="radio"/> Structural balance | <input type="radio"/> Nominal/real debt | <input type="radio"/> Allocation of unexpected revenue |
| <input type="radio"/> Primary balance | <input type="radio"/> Growth of nominal/real debt | <input type="radio"/> Earmarking specific revenue |
| <input type="radio"/> Primary balance except capital investment | <input type="radio"/> Debt to GDP ratio | <input type="radio"/> Growth of revenue in relation to GDP growth |
| <input type="radio"/> Nominal/real expenditure | <input type="radio"/> Debt as % of current revenue | <input type="radio"/> Other |

Additional information: (maximum 500 caractères)



Please specify: * (maximum 2000 caractères)

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

- | | |
|-------------------------------------|--|
| <input type="radio"/> NO CHANGE | <input type="radio"/> % of GDP |
| <input type="radio"/> nominal terms | <input type="radio"/> percentage points related to GDP growth |
| <input type="radio"/> real terms | <input type="radio"/> percentage points related to a specific concept of economic growth (e.g. potential output) |
| <input type="radio"/> per cent | <input type="radio"/> other |

Additional information: (maximum 500 caractères)



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

*



Please specify:



(maximum 500 caractères)

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

- NO CHANGE
- 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
- Other



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

*

(maximum 500 caractères)



Specify:

*

(maximum 200 caractères)



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

(in case of revenue rules, please indicate the estimated value as % of local government revenue)

*



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):

(in case of revenue rules, please indicate the estimated value as % of regional/state government revenue)

*



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):

(in case of revenue rules, please indicate the estimated value as % of central government revenue)

*



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 expenditure (taking into account exclusions, if any):

(in case of revenue rules, please indicate the estimated value as % of social security revenue)

*



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 $80\% * 50\% = 40\%$.

%



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

(in case of revenue rules, please indicate the estimated value as % of general government revenue)

*



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:

%



Additional information:

(maximum 500 caractères)

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

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

Additional information: (maximum 500 caractères)



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

*

(maximum 500 caractères)

2.21 Please indicate the numerical value(s) of the ceiling implied by the rule

(e.g., % of GDP for budget balance rules, amount of a nominal ceiling, allowed growth rate of expenditures, etc.). t refers to the ongoing budget year.

Please leave blank if unchanged

For year t+1:

--

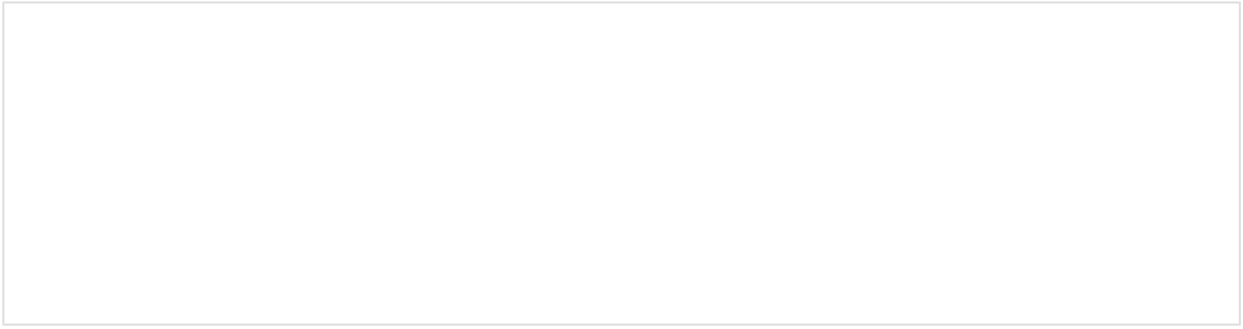
... year t+2

--

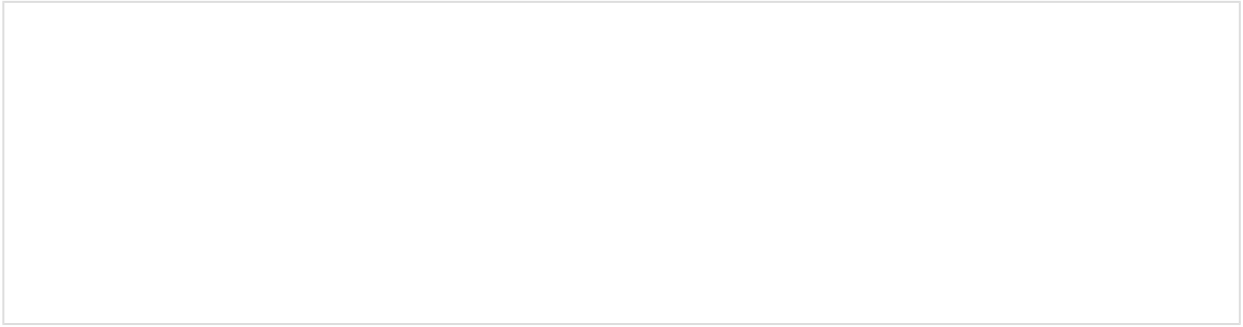
... year t+3

--

... year t+4

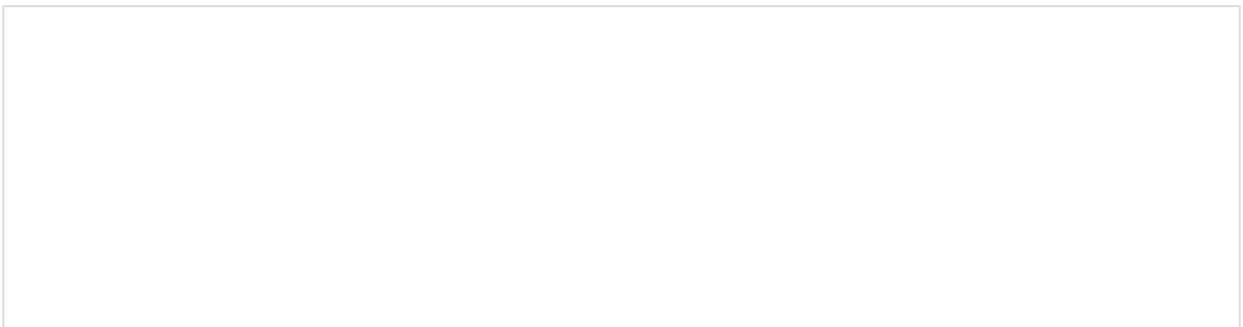


... year t+5



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:

*

- | | |
|---|--|
| <input type="radio"/> NO CHANGE | <input type="radio"/> basic (i.e. other than constitutional/organic) law |
| <input type="radio"/> political agreement between coalition partners
medium-term agreement. | <input type="radio"/> organic law |
| <input type="radio"/> commitment made by an authority (e.g., Minister of
Finance, president of a regional government etc.) | <input type="radio"/> constitutional law |
| <input type="radio"/> agreement between sectors of general government
(e.g., Domestic Stability Pact) | <input type="radio"/> other |

Additional information:

(maximum 500 caractères)



Specify:

*

(maximum 500 caractères)



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

*

- | | |
|-------------------------|-----------------------------------|
| <input type="radio"/> 1 | <input type="radio"/> 5 |
| <input type="radio"/> 2 | <input type="radio"/> More |
| <input type="radio"/> 3 | <input type="radio"/> Unspecified |
| <input type="radio"/> 4 | <input type="radio"/> Other |



Additional information:

(maximum 500 caractères)



Specify:

*
(maximum 500 caractères)



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)



Specify:

*

(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"/> NO CHANGE | <input type="checkbox"/> Court of Auditors |
| <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 |

 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)

*

- NO CHANGE
- Yes
- No



Additional information: (maximum 1000 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 (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"/> NO CHANGE | <input type="checkbox"/> Governmental body other than the Ministry of Finance |
| <input type="checkbox"/> There is no body in charge with enforcing compliance | <input type="checkbox"/> An independent fiscal institution other than the Court of Auditors |
| <input type="checkbox"/> Ministry of Finance | <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"/> Parliament | <input type="checkbox"/> Other |
| <input type="checkbox"/> Court of Auditors | |



Specify:

*

(maximum 500 caractères)

Additional information:

(maximum 500 caractères)

5.2 Please describe the characteristics of the escape clauses:

*

- NO CHANGE
- 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?

*

- NO CHANGE
- 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.)

*

- NO CHANGE
- 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
- the government/the Ministry of Finance is obliged to take specific corrective actions
- there is an automatic correction mechanism (e.g., a cut in next year's resources upon non compliance);
- there is a possibility to impose sanctions
- there is an automatic sanction mechanism in case of 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)

7 Compliance with the rule in 2011


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 2000 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 500 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

8.6 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... *

- decreasing the growth of public debt as % 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, adresses, emails, phone numbers.

*

9.2 Comments or remarks concerning the questionnaire:

(maximum 2000 caractères)