

Pre-analysis Plan for “Accountability and Transparency in the Extractive Industries of Peru”

Renard Sexton*

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1 Introduction

Extractive industries represent a major part of the local economy in many rural parts of Peru, but these communities often do not experience development improvements due to corruption and poor management. Can access to information about the distribution of royalties and training on democratic accountability process in the country improve political accountability, increase local political participation, and reduce conflict related to extractive industries?

In resource-rich countries with weak governance, extractive industries can contribute to corruption and conflict. Elected officials may steal tax revenues or steer public spending towards allies to protect their political interests. Citizens often have poor information regarding the details how revenues from mining, oil, or other extractive industries are collected, distributed, and eventually spent. At the same time, many communities do not know how to use existing democratic accountability mechanisms, such as participative budgeting processes, budget reconciliation meetings, or recall elections, to hold elected officials accountable. If local communities do not experience benefits from nearby extractive industries, they may come to resent and distrust such industries. Not knowing how to get results through peaceful political processes or trusting that such efforts will bring real change, communities often turn to protest and conflict targeting mining or oil companies or the government.

In collaboration with Innovations for Poverty Action and Propuesta Ciudadana (PC), I am conducting a randomized evaluation to assess the effect of improving access to i) information about the distribution of royalties from extractive industries and ii) information and training on democratic accountability mechanisms. The project will randomly assign 80 communities in Piura to a treatment group (40 communities) or a comparison group (40 communities). In treatment communities, trained PC facilitators will hold a workshop to provide information about the royalties transferred to the local district, as well as any resulting development project, along with information about participative budgeting and recall elections. Comparison communities will not receive any workshops. Community leaders are the population of interest, rather than general public.

*Department of Politics, New York University; email: renard.sexton@nyu.edu.

I will use community leader surveys and administrative data collected by IPA to evaluate the effect of the program on political participation in two key accountability processes: participative budgeting and the recall election process. In addition, we will test several mechanisms, including whether the treatment results in greater comprehension of the redistribution laws, and political accountability processes. Finally, I will evaluate in the longer term whether treated communities, especially those who increased their political participation, receive greater levels of public spending from the mining revenues and whether that reduces perceived and real conflict.

As advised by Olken (2015), the following pre-analysis plan (PAP) will lay out the hypotheses, primary outcome variables, secondary outcome variables, statistical models and subgroup analysis that will be carried out when the study data are received by the PI from IPA (timestamped delivery). The plan will include specific variable definitions, details on compliance and attrition, and the usage of covariates. In keeping with the evolving state of the art for PAPs (e.g. Lin and Green 2016), this document will pre-register all components of the analysis that can be reasonably anticipated. Where additional analysis is suggested from the initial analysis, it will be conducted and noted in the appendix of the resulting paper(s). As suggested by Lin and Green (2016), any topic not specifically covered in the PAP will be addressed using the standard operating procedures of Don Green’s Lab at Columbia, published (as of July 28, 2016) at <https://github.com/acoppock/Green-Lab-SOP>.

2 Hypotheses

The following hypotheses are based in part on a scoping survey carried out before the RCT that indicated that low socio-economic (as measured by education, assets and poverty reduction program eligibility) individuals and communities are much less likely to be knowledgeable about Peru’s mining royalties process, know less about the participative budgeting process and be less likely to identify the steps for a recall election. In addition, qualitative information from the scoping survey indicate that at baseline smaller and/or less prosperous communities tend to be less well organized with respect to political activities than large and/or prosperous communities. This suggests that the treatment may be most effective in a middle set of communities that have the means to take action but have yet to get the requisite information or a useful coordination device, which the workshop can provide.

2.1 Main hypotheses

We expect the treatment workshops, on average to increase knowledge, participation and accountability. The heterogeneous treatment effects note where the effects should be strongest and weakest, and note that ceiling and/or floor effects might mean that significant treatment effects are restricted to a subset of cases.

- Treatment → greater knowledge about the mining canon process
- Treatment → greater knowledge about democratic accountability processes

- Treatment → greater participation in budget accountability processes
- Treatment → greater probability of beginning and proceeding through the steps of a recall

2.2 Alternative mechanism

It may be that in addition to, or instead of, providing new information to community leaders the workshops provide a coordination device that helps overcome a collective action problem with respect to pursuing accountability opportunities. If this is the case, the treatment should increase the participation and accountability outcomes even if knowledge does not increase. In addition, greater treatment effects in communities with higher education and economic means would be evidence for coordination rather than information, or if there were no difference between high and low education communities.

Evidence for coordination mechanisms

- Treatment → greater participation in budget accountability & no increase in knowledge
- Treatment → greater probability of beginning and proceeding through the steps of a recall & no increase in knowledge
- Treatment effects greater in high socio-economic communities

2.3 Heterogeneous effects

Based on the scoping survey we know that communities with lower average levels of education and economic status know less about the mining canon and accountability process, and thus have more to learn in the workshops. As noted above, examining the difference in effects between low and high socio-economic communities will help tease out the mechanism of action between information and coordination. As learned on the scoping survey, we would expect large communities with very high education and means to be relatively well informed and coordinated, meaning that there would be limits to how much the workshop can improve things. Similarly, we might expect the smallest and least prosperous communities to have trouble overcome their information and coordination deficiencies with a single workshop. This would suggest a quadratic relationship, where the treatment has the greatest effect for middle range communities. We can also look at the difference in effects between average community covariates, and the covariates of the leaders themselves.

First stage, learning/knowledge:

- Greater treatment effect on knowledge of the canon and accountability in communities with less knowledge ex ante (measured by pre-treatment socio-economics)
- Greater treatment effect on knowledge in communities with greater leader participation (measured by attendance and survey responses)

Information vs coordination mechanism:

- If treatment effects greater with community socio-economic status, evidence for coordination
- If treatment effects fall with community socio-economic status, evidence for information

Ceiling and floor effects:

- Ceiling effects for very high socio-economic status communities and floor effects for low communities → greatest treatment effects for middle communities, lower for high and low.
- This can also be measured by previous year participation levels in the participative budgeting process.

2.4 Spillover effects

The treatment effect estimates obtained from this study may be biased if neighboring control communities were to learn of the treatment and update their beliefs as a result. This bias could be upwards or downwards depending on how these contaminated communities respond. To determine the extent of neighbor contamination/spillovers, I will examine how community endline survey responses (whole sample, and control alone) about the information treatment sessions vary by the travel distance to the closest treated community. If there are neighbor spillovers, we would expect control communities that are close to a treated community to have better information about the treatment regime than those farther away. Conditioning on distance to the district capital can eliminate this potential confounder. If there are neighbor spillovers, I will test if other outcomes are affected. This would utilize an instrumental variables specification that instruments the measured treatment level (collected on the endline) with distance to treated communities (conditional on population density). We would then be able to characterize the direction of any bias.

2.5 Secondary effects

If the training workshops indeed increase political participation and accountability for elected officials, we would expect district officials to change their behavior accordingly. Communities and districts with greater participation should see an increase in spending under the mining canon, and a reduction in the number of protests and perceived level of conflict.

3 Outcome variables

3.1 Primary outcomes

There are four primary outcome variables for this study. In this sub-section I will list each one and its corresponding definition. The endline survey instrument is included as an appendix for reference.

1. Knowledge about the mining canon process
 - Measured via the proportion of correct answers on endline survey questions 5.1, 5.3, 5.4 and 5.5
2. Knowledge about democratic accountability processes in Peru
 - Measured via the proportion of correct answers on endline survey questions 6.1, 6.2, 6.5, 6.7, 6.8, 6.11, 6.13, 6.14, 6.18 6.20 (up to two points), 6.21, 6.22, 6.23, 8.1, 8.2, 8.6, 8.7
 - There are two sub-sections: participative budgeting 6.1-6.8 an 8.1-8.2; recall process 6.11-6.23, which will be equally weighted in the index, as well as being tested separately.
3. Participation in budget accountability processes
 - Measured at the community level via endline survey questions 6.4 and 6.6
4. Beginning and proceeding through the steps of a recall
 - Measured by number of kits purchased at the district level, verified signatures collected by community and district.

3.2 Secondary outcomes

1. Community participation in workshop (per capita)
 - Measured via the number of participants recorded by PC at the workshops from each community; control communities are expected to have zero (but if participants from control communities are recorded as participating it will be included accordingly).
2. Verified leader participation
 - Participation “verified” (indicator=1) if yes on 8.3, and 8.4 and 8.5 are correct.
3. Community spending under the mining canon
 - Measured by the amount of new public infrastructure spending that directly affects each community
 - This will be collected from district transparency portals from the SNIP in the coming year.
4. Incidence of and participation in protest
 - Measured by survey question 4.23
 - Also measured by reviewing the Defensoria del Pueblo list of protest activities over the year following the workshop, and determining how many incidents involved each district.

4 Statistical model specification

The primary empirical specification for this project is a difference in means in the above outcomes between the treatment and control groups, operationalized via OLS and conditioning on the covariate strata used before randomization for stratification. To test the hypothesized heterogeneous effects, the treatment indicator will be interacted with the relevant covariate(s) and marginal effects computed using the delta method. The specifications will be done with and without the vector of covariates, with the covariates-adjusted specification reported as the main results, taking advantage of the increased precision of including covariates.

The unit of analysis is the community, with outcomes and covariates collapsed to the community average. As noted in the following section, there are two sets of community covariates that will be relevant for the analysis. First, average community characteristics are computed from census data from the Peruvian government (Sistema de Focalizacion de Hogares, or SISFOH). Second, average leader characteristics are computed from the leader survey; this is done under the assumption that the treatment will not affect leaders' truthfulness in reporting their pre-treatment level of education, home assets, or family eligibility for poverty reduction programs. For robustness, the results will be reported in three ways: i) full covariate adjustment, ii) only SISFOH covariates and iii) no covariates.

Baseline OLS specification

$$Y_i = \beta_1 T_i + \beta_2 S_i + \beta_3 X_i + \epsilon_i \quad (1)$$

where Y is the outcome or mechanism of interest, T is a treatment indicator, S is a vector of stratum indicators, X is a vector of pre-treatment covariates for community i with random error ϵ .

Interacted OLS specification

$$Y_i = \beta_1 T_i + \beta_2 H_i + \beta_3 T_i * H_i + \beta_4 S_i + \beta_5 X_i + \epsilon_i \quad (2)$$

where H is the covariate of interest, while all other variables are the same as equation (1).

5 Covariates

As noted earlier, there are covariates measured at two levels, census-based community average characteristics and survey-based leader characteristics. The following list will be included in the vector X of covariates. In addition, education, assets and poverty program participation are aggregated into an index of average community and leader socio-economic status.

1. Census-based covariates (whole community)

- population
- distance from the district capital
- distance from nearest treated unit
- number of treated units within 1 kilometer
- literacy rate
- assets index (share of households with blender, cellphone, internet)

2. Survey-based covariates

- years of education (leader); Question 2.4
- poverty program participation; Questions 4.8, 4.9, 4.10
- share of leader types (formal, NGO, unorganized); Question 1.8
- telephone signal in community
- assets index (share of community with blender, cellphone, internet)

3. Other covariates

- Previous year level of participation in the participative budgeting process (administrative data from districts; not clear if it can be collected in all districts)
- Political competition for the district presidency in previous election.

6 Subgroup analysis

Beyond the heterogeneous treatment effects enumerated in the hypothesis section, I will also carry out subgroup analysis based on the following.

1. *Gender*. I will break down the leader-based results based on gender, provided there are enough women in the sample
2. *Leader types*. I will do subgroup analysis for results by leader type: i) Formal elected leaders, ii) informal but institutionalized leaders (NGOs etc), iii) unorganized leaders
3. *Previous level of participation*.
4. *Win margin in most recent district president election*.

7 Other issues

7.1 Verifying randomization and sampling

After the randomization, I will conduct a balance test on the census-based covariates to insure that the randomization functioned appropriately. After collecting the endline survey,

I will conduct a balance test on the pre-treatment community and leader characteristics to insure that sampling was random and comparable.

7.2 Attrition

Attrition after the workshops have been held will be addressed by resampling and upweighting communities that match on covariates, as advised by Gerber and Green (2012).

References

- Gerber, A. S. and D. P. Green (2012). *Field experiments: Design, analysis, and interpretation*. WW Norton.
- Lin, W. and D. P. Green (2016, 7). Standard operating procedures: A safety net for pre-analysis plans. *PS: Political Science and Politics* 49, 495–500.
- Olken, B. A. (2015). Promises and perils of pre-analysis plans. *The Journal of Economic Perspectives* 29(3), 61–80.

Appendix: Survey Instrument

Accountability – Survey Instrument (Authority)

SECTION 1: INTRODUCTION AND CONSENT

| No. | Question | Instructions | Responses |
|------|-------------------------------------|--|--|
| 1.1 | Inverviewer’s identification number | | _ _ |
| 1.2 | Name of interviewer | | |
| 1.3 | Department | Piura’s code is 20. | _ |
| 1.4 | Province | | _ |
| 1.5 | District | | _ _ _ |
| 1.6 | Community ID | | _ _ _ |
| 1.7 | Respondent’s ID | Each respondent has an ID number. Begin with 1 for your first interview, 2 for the second and so on. | _ _ _ |
| 1.8 | Position of the respondent | The only case in which you should interview an ex authority is when no current authority can be found. | 1. <input type="checkbox"/> Current formal/elected community leader 2. <input type="checkbox"/> Current community organization/group leader 3. <input type="checkbox"/> Unorganized community leader 4. <input type="checkbox"/> Ex formal/elected community leader 5. <input type="checkbox"/> Ex community organization/group leader |
| 1.9 | Date of survey | Format: DD/MM/YYYY | _ _ / _ _ / _ _ _ _ |
| 1.10 | Time survey was started | Format: 24 HR | _ _ : _ _ |

Informed Consent

Hello, my name is _____ and I am working for the NGO IPA, Innovations for Poverty Action. We would like to invite you to participate in a 40-minute survey that aims to collect information about the community, the political involvement of your household, and your knowledge about the oil canon and sobrecanon. The objective of this research study is to understand how transparency affects political accountability.

You have been randomly selected to participate. To obtain an adequate representation of how the people in this district think, your participation in our survey is requested. I want to specify that all the information collected about you is totally confidential and only the researchers, their assistants and IPA will have access to it and all information will be kept confidential to the extent possible and allowed by law. You will not be asked to provide your name at any point of the survey, hence no one will be able to trace individual answers back to you. In addition, it is important to clarify that your participation in this research is completely voluntarily and that at any point you may refuse to participate or to not answer any question without being subject to any type penalty.

We anticipate there being no risks to your participation in this research study.

If you have more questions regarding your participation on this research study, you may contact our Research Associate at the cell phone number xxxxxx. If you wish to get in contact with the national office of IPA, you may call (01) 6781632 or visit our website, www.poverty-action.org/peru.

Thank you for taking the time to participate in our survey.

Consent to participate: [] Yes [] No

I have read the information presented above, I have had the opportunity to ask questions about this study, and I agree to participate in the study.

Signature

Date

SECTION 2: BASIC INFORMATION

| No. | Question | Instruction | Response |
|-----|--|---|---|
| 2.1 | Gender | Do not ask to interviewee and mark the one that applies | 1. [] Woman 2. [] Man |
| 2.2 | How old are you? | | ____ <i>888 Don't know</i> <i>999 Refuse to answer</i> |
| 2.3 | Which category describes better your civil status? | Read the options. | 1. [] Single 2. [] Married a. [] Live together in the same house b. [] Live in different houses/cities 3. [] Live together but not married (spouse/partner) 4. [] Divorced 5. [] Widower/Widow 6. [] In a relationship, but live separately <i>888 Don't know</i> |

| | | | |
|------------|---|-----------------------|---|
| | | | <i>999 Refuse to answer</i> |
| 2.4 | What is the highest grade of education that you have completed? | | 0. <input type="checkbox"/> None 1. <input type="checkbox"/> Childcare Cuna 2. <input type="checkbox"/> Preschool - 3 years old 3. <input type="checkbox"/> Preschool - 4 years old 4. <input type="checkbox"/> Preschool - 5 years old 5. <input type="checkbox"/> Transition 6. <input type="checkbox"/> Elementary 1 7. <input type="checkbox"/> Elementary 2 8. <input type="checkbox"/> Elementary 3 9. <input type="checkbox"/> Elementary 4 10. <input type="checkbox"/> Elementary 5 11. <input type="checkbox"/> Elementary 6 12. <input type="checkbox"/> High school 1 13. <input type="checkbox"/> High school 2 14. <input type="checkbox"/> High school 3 15. <input type="checkbox"/> High school 4 16. <input type="checkbox"/> High school 5 17. <input type="checkbox"/> Superior Education Institute 1 18. <input type="checkbox"/> Superior Education Institute 2 19. <input type="checkbox"/> Superior Education Institute 3 20. <input type="checkbox"/> University Year 1 21. <input type="checkbox"/> University Year 2 22. <input type="checkbox"/> University Year 3 23. <input type="checkbox"/> University Year 4 24. <input type="checkbox"/> University Year 5 25. <input type="checkbox"/> Institute of technology 26. <input type="checkbox"/> Vocational training 27. <input type="checkbox"/> Postgraduate <i>888 Don't know</i> <i>999 Refuse to answer</i> |
| 2.5 | What is the language most regularly spoken in your community? | | 1. <input type="checkbox"/> Spanish 2. <input type="checkbox"/> Quechua 3. <input type="checkbox"/> Both equally 4. <input type="checkbox"/> Other (Specify): _____ <i>888 Don't know</i> <i>999 Refuse to answer</i> |
| 2.6 | Is there telephone signal in your community? | Only mark one option. | 1. <input type="checkbox"/> Yes, there is telephone signal in most parts of the community. 2. <input type="checkbox"/> Yes, there is telephone signal but it is not good. 3. <input type="checkbox"/> No, there is no telephone signal in the community. <i>888 Don't know</i> <i>999 Refuse to answer</i> |
| 2.7 | What amount of people in your community has cell phones? | Only mark one option. | 1. <input type="checkbox"/> None (0%) 2. <input type="checkbox"/> Few (1-25%) 3. <input type="checkbox"/> Some (26-49%) 4. <input type="checkbox"/> Half (50%) 5. <input type="checkbox"/> Many (51-75%) 6. <input type="checkbox"/> The majority (76-99%) |

| | | | |
|-----|--|-----------------------|---|
| | | | 7. <input type="checkbox"/> All (100%) 888 <i>Don't know</i> 999 <i>Refuse to answer</i> |
| 2.8 | What amount of people in the community has internet at home? | Only mark one option. | 1. <input type="checkbox"/> None (0%) 2. <input type="checkbox"/> Few (1-25%) 3. <input type="checkbox"/> Some (26-49%) 4. <input type="checkbox"/> Half (50%) 5. <input type="checkbox"/> Many (51-75%) 6. <input type="checkbox"/> The majority (76-99%) 7. <input type="checkbox"/> All (100%) 888 <i>Don't know</i> 999 <i>Refuse to answer</i> |
| 2.9 | What amount of people in the community has a blender? | Only mark one option. | 1. <input type="checkbox"/> None (0%) 2. <input type="checkbox"/> Few (1-25%) 3. <input type="checkbox"/> Some (26-49%) 4. <input type="checkbox"/> Half (50%) 5. <input type="checkbox"/> Many (51-75%) 6. <input type="checkbox"/> The majority (76-99%) 7. <input type="checkbox"/> All (100%) 888 <i>Don't know</i> 999 <i>Refuse to answer</i> |

SECTION 3: GENERAL INFORMATION AND SOCIAL INTEGRATION

| No. | Question | Instructions | Response |
|-----|--|--------------|---|
| 3.1 | Where were you born? | | 1. <input type="checkbox"/> Same community 2. <input type="checkbox"/> Other community 888 <i>Don't know</i> 999 <i>Refuse to answer</i> |
| 3.2 | How long have you lived in this community? | | 1. <input type="checkbox"/> Less than five years 2. <input type="checkbox"/> More than five years 888 <i>Don't know</i> |

| No. | Question | Instructions | Response |
|------------|--|---|---|
| | | | 999 Refuse to answer |
| 3.3 | What is the name of your district mayor? | See the list of district mayors to check if the answer is correct. If he/she only says the last name, that is okay. | 1. <input type="checkbox"/> Correct 2. <input type="checkbox"/> Incorrect 999 Refuse to answer |
| 3.4 | What amount of people in the community work in the oil industry? | Only mark one option. | 1. <input type="checkbox"/> None (0%) 2. <input type="checkbox"/> Few (1-25%) 3. <input type="checkbox"/> Some (26-49%) 4. <input type="checkbox"/> Half (50%) 5. <input type="checkbox"/> Many (51-75%) 6. <input type="checkbox"/> The majority (76-99%) 7. <input type="checkbox"/> All (100%) 888 Don't know 999 Refuse to answer |
| 3.5 | What amount of people in the community has a close relationship (social, professional, or other) (outside of the house) with a person who works in the oil industry? | Only mark one option. | 1. <input type="checkbox"/> None (0%) 2. <input type="checkbox"/> Few (1-25%) 3. <input type="checkbox"/> Some (26-49%) 4. <input type="checkbox"/> Half (50%) 5. <input type="checkbox"/> Many (51-75%) 6. <input type="checkbox"/> The majority (76-99%) 7. <input type="checkbox"/> All (100%) 888 Don't know 999 Refuse to answer |

SECTION 4: POLITICAL INVOLMENT AND SOCIAL PROGRAMS PARTICIPATION

| No. | Category | Question 1 | Question 2 | Question 3 | Question 4 | Category |
|-----|----------|--|------------------------------|-------------------------|------------|----------|
| | | Did you vote in the last elections for | What amount of people in the | Do you think voting for | --- | |

| | | | | | | |
|------------|---|--|--|---|--|---|
| | | _____? <i>Yes = 1 No = 2 I don't know = 3</i> | community voted in the last elections for _____? <i>None (0%) = N Few (1-25%) = P Some (26-49%) = A Half (50%) = MIT A lot(51-75%) = M The majority (76-99%)= MAY All (100%) = T I don't know = 3</i> | is important? <i>Yes = 1 No = 2 I don't know = 3 N/A = 99</i> | | --- |
| 4.1 | The board of directors of your community | | | | | |
| 4.2 | Your district | | | | | |
| | | | | | | |
| | | In the last 12 months, have you attended a _____? <i>Yes = 1 No = 2 I don't know = 3</i> | How many times did you attend a _____ during the last 12 months? Enter the number, including 0 | In the last 12 months, what amount of people in the community have attended a _____? <i>None (0%) = N Few (1-25%) = P Some (26-49%) = A Half (50%) = MIT A lot(51-75%) = M The majority (76-99%)= MAY All (100%) = T I don't know = 3</i> | Do you think attending a _____ is important for the wellbeing of the community? <i>Yes = 1 No = 2 I don't know = 3 Does not apply = 99</i> | |
| 4.3 | Community assembly | | | | | |
| 4.4 | Open council meeting | | | | | |
| 4.5 | Meeting organized by a political party or association | | | | | |
| | | | | | | |
| | | In the last 12 months have you participated in a - _____? <i>Yes = 1 No = 2 I don't know = 3</i> | In the last 12 months, has any member of your home other than you participated in a _____? <i>Yes = 1 No = 2 I don't know = 3</i> | In the last 12 months, have you or any member of your family had a management position in a _____? <i>Yes = 1 No = 2 I don't know = 3</i> | In the last 12 months, what amount of homes in the community have participated in a _____? | Do you think participating in a _____ is important for the wellbeing of the community? <i>Yes = 1 No = 2 I don't know = 3 Does not apply = 99</i> |

| | | | | | | ? None (0%) = N Few (1-25%) = P Some (26-49%) = A Half (50%) = MIT A lot(51-75%) = M The majority (76-99%)= MAY All (100%) = T I don't know = 3 |
|------|--|--|--|--|--|---|
| 4.6 | Political association or political party | | | | | |
| 4.7 | Rural community (meetings/activities) | | | | | |
| 4.8 | Glass of Milk program (Vaso de leche) | | | | | |
| 4.9 | JUNTOS program | | | | | |
| 4.10 | JASS program | | | | | |
| 4.11 | Women organization | | | | | |
| 4.12 | Peasant Patrol (Ronda campesina) | | | | | |
| 4.13 | Irrigation community | | | | | |
| 4.14 | Forestry community | | | | | |
| 4.15 | Livestock community | | | | | |
| 4.16 | Sports club | | | | | |
| 4.17 | Producers association | | | | | |
| 4.18 | Community enterprise | | | | | |
| 4.19 | Qali Warma | | | | | |
| 4.20 | Beca 18 | | | | | |
| 4.21 | Pensión 65 | | | | | |
| 4.22 | Church group (including attending a mass) | | | | | |
| 4.23 | Some people say that participating in a demonstration is a good way of expressing political opinions. Would you agree with that opinion? | | | | | 1. [] Yes 2. [] No 888 Don't know 999 Refuse to answer |
| 4.24 | Have you participated in a demonstration in the last 12 months? | | | | | 1. [] Yes 2. [] No |

| | | | |
|------|---|---|---|
| | | | 888 Don't know 999 Refuse to answer |
| 4.25 | What amount of people in the community has participated in a demonstration in the last 12 months? | | 1. <input type="checkbox"/> None (0%) 2. <input type="checkbox"/> Few (1-25%) 3. <input type="checkbox"/> Some (26-49%) 4. <input type="checkbox"/> Half (50%) 5. <input type="checkbox"/> Many (51-75%) 6. <input type="checkbox"/> The majority (76-99%) 7. <input type="checkbox"/> All (100%) 888 Don't know 999 Refuse to answer |
| 4.26 | Did you vote in the last presidential elections? | Skip to section 5 if NO. | 1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No 888 Don't know 999 Refuse to answer |
| 4.27 | Who did you vote for in the second round of the elections? | <i>Remind the respondent that they can refuse to answer this question or any question in the survey</i> | 1. <input type="checkbox"/> Fuerza Popular (Keiko Fujimori) 2. <input type="checkbox"/> Peruanos por el Cambio (Pedro Pablo Kuczynski-PPK) 3. <input type="checkbox"/> Blank vote 4. <input type="checkbox"/> Invalid vote 888 Don't know 999 Refuse to answer |

SECTION 5: THE OIL CANON AND SOBRECANON

| No. | Question | Instructions | Response |
|-----|---|--|--|
| 5.1 | Do you know what the oil canon and sobrecanon is? | <i>If respondent gets correct definition (option 1) skip to 5.3. If he says an incorrect definition or doesn't know and asks what it is, tell him you will explain</i> | 1. <input type="checkbox"/> Transfers/benefits from the oils fields or firms operating oil fields to the government 2. <input type="checkbox"/> Mentions money generated by oil firms but does not know where it goes 3. <input type="checkbox"/> Mentions money used by governments for |

| | | | |
|-----|--|---|---|
| | | <i>it later</i> | investment projects but does not know where it comes from. 4. <input type="checkbox"/> Other incorrect definition 888 <i>Don't know</i> 999 <i>Refuse to answer</i> |
| 5.2 | Do you think the oil industry gives tax money to the government? | <i>If NO or I don't know, skip to section 6. If YES, explain that this transaction is called oil canon</i> | 1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No 888 <i>Don't know</i> 999 <i>Refuse to answer</i> |
| 5.3 | What governments do you think benefit from the transaction between the oil firm and the government? | Read the options and mark the ones he/she agrees with in the left column. | 1. <input type="checkbox"/> National government <input type="checkbox"/> 2. <input type="checkbox"/> Regional government <input type="checkbox"/> 3. <input type="checkbox"/> Provincial government <input type="checkbox"/> 4. <input type="checkbox"/> District government <input type="checkbox"/> 888 <i>Don't know</i> 999 <i>Refuse to answer</i> |
| 5.4 | Can you order, from greatest to least, these governments according to the money that they receive from the oil firm? | Reread the responses that have been marked in 5.3 and mark the response in the right column. If he/she only said one government in 5.3, mark 1 next to that government. | |
| 5.5 | What do you think the money is spent on that the government receives from the oil firm? | Do not read the responses. | 1. <input type="checkbox"/> Research 2. <input type="checkbox"/> Public health 3. <input type="checkbox"/> Education 4. <input type="checkbox"/> Investment 5. <input type="checkbox"/> Sanitation 6. <input type="checkbox"/> Public services 7. <input type="checkbox"/> Infrastructure (including streets, highways) 8. <input type="checkbox"/> Wages/payments 9. <input type="checkbox"/> Construction 10. <input type="checkbox"/> Gardens 11. <input type="checkbox"/> Food 12. <input type="checkbox"/> Irrigation 13. <input type="checkbox"/> Social programs 14. <input type="checkbox"/> Security (including police) 15. <input type="checkbox"/> Corruption/bribery 16. <input type="checkbox"/> Development of the mine 17. <input type="checkbox"/> Benefits for the mine employees 18. <input type="checkbox"/> Other (Specify): 888 <i>Don't know</i> 999 <i>Refuse to answer</i> |
| 5.6 | Do you think the community benefits from the oil canon and sobrecanon? | | 1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No 888 <i>Don't know</i> 999 <i>Refuse to answer</i> |

SECTION 6: ACCOUNTABILITY

Read: I will now ask you questions about your knowledge of political processes. We are interested in understanding your knowledge of these processes as well as in learning about how you feel about some related topics

| No. | Question | Instructions | Response |
|-------|--|---|---|
| 6.1 | Have you heard about the participatory budgeting process? | | 1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No 888 <i>Don't know</i> 999 <i>Refuse to answer</i> |
| 6.2 | Do you know what the “participatory budgeting” process is? | <i>Skip to 6.5 if does not know or provides a wrong definition</i> | 1. <input type="checkbox"/> It's a process through which authorities and citizens decide together how public funds are spent 888 <i>Don't know</i> 999 <i>Refuse to answer</i> |
| 6.3 | Did you or anyone in your community participate in this process last year? | | 1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No 999 <i>Refuse to answer</i> |
| 6.4 | Have you or anyone in your community participated or plans to participate in this process this year? | | 1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No 3. <input type="checkbox"/> I don't know |
| 6.5 | Do you think citizens can propose investment projects and participate on the decision making process of how the budget is spent? | If NO, skip to 6.7. If YES, explain that this process if called participatory budgeting | 3. <input type="checkbox"/> Yes 4. <input type="checkbox"/> No 888 <i>Don't know</i> 999 <i>Refuse to answer</i> |
| 6.6 | If you were in disagreement with how district budget is spent, would you attend a participatory budgeting meeting? | If YES, skip to 6.7 | 1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No 888 <i>Don't know</i> 999 <i>Refuse to answer</i> |
| 6.6-1 | Why would not you participate? | Mark all that apply. | 1. <input type="checkbox"/> Lack of interest in participating 2. <input type="checkbox"/> Lack of information 3. <input type="checkbox"/> Distance issues 4. <input type="checkbox"/> Transportation costs 5. <input type="checkbox"/> I don't have time 6. <input type="checkbox"/> Issues with the mayor 7. <input type="checkbox"/> Lack of trust in the process itself. 888 <i>Don't know</i> 999 <i>Refuse to answer</i> |
| | | | |
| 6.7 | Have you heard of the “rendición de cuentas” process? | <i>If NO skip to 6.9</i> | 1. <input type="checkbox"/> Yes |

| | | | |
|---------------|---|---|---|
| | | | 2. <input type="checkbox"/> No 888 Don't know 999 Refuse to answer |
| 6.8 | Do you know what the "rendicion de cuentas" process is? | <i>If NO skip to 6.11</i> | 1. <input type="checkbox"/> It is a process by which authorities inform the public of their administration 2. <input type="checkbox"/> Mentions that is a public meeting that he myor hosts but does not know its objective 888 Don't know 999 Refuse to answer |
| 6.9 | Did you or anyone in your community participate in this process last year? | | 1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No 888 Don't know 999 Refuse to answer |
| 6.10 | Have you or anyone in your community participated or are planning to participate in this process this year? | | 1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No 888 Don't know 999 Refuse to answer |
| 6.11 | Do you think that is the mayor's duty to inform the public about his administration? | If NO, skip to 6.13 If YES, explain that that is called rendición de cuentas | 1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No 888 Don't know 999 Refuse to answer |
| 6.12 | If you were in disagreement with how district budget is spent, would you attend a rendicion de cuentas meeting? | If YES, skip to 6.13. | 1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No 888 Don't know 999 Refuse to answer |
| 6.12-1 | Why wouldn't you participate? | Mark all that apply | 1. <input type="checkbox"/> Lack of interest in participating 2. <input type="checkbox"/> Lack of information 3. <input type="checkbox"/> Distance issues 4. <input type="checkbox"/> Transportation costs 5. <input type="checkbox"/> I don't have time 6. <input type="checkbox"/> Issues with the mayor 7. <input type="checkbox"/> Lack of trust in the process itself. 888 Don't know 999 Refuse to answer |
| 6.13 | Have you heard about the recall process? | <i>If NO, skip to 6.17</i> | 1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No 888 Don't know 999 Refuse to answer |
| 6.14 | Do you know what a recall is? | Skip to 6.17 if NO | 1. <input type="checkbox"/> Remove authorities from their positions 888 Don't know 999 Refuse to answer |

| | | | |
|---------------|---|---|--|
| 6.15 | Have you or anyone in your community ever participated in a recall process? | <i>If NO, skip to 6.17</i> | 1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No <i>888 Don't know</i> <i>999 Refuse to answer</i> |
| 6.16 | For the district or regional authority? | | 1. <input type="checkbox"/> District authorities 2. <input type="checkbox"/> Regional authorities <i>888 Don't know</i> <i>999 Refuse to answer</i> |
| 6.17 | Have you or anyone in our community participated or plans to participate in the recall process this year? | | 1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No <i>888 Don't know</i> <i>999 Refuse to answer</i> |
| 6.18 | Do you think that democratically elected authorities can be removed from their positions? | If YES, explain that that is called a recall process. If NO, skip to section 7. | 1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No <i>888 Don't know</i> <i>999 Refuse to answer</i> |
| 6.19 | If you were in disagreement with how district budget is spent, would you support a recall for the mayor? | | 1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No <i>888 Don't know</i> <i>999 Refuse to answer</i> |
| 6.19-1 | Why wouldn't you participate of the recall process? | Mark all that apply | 1. <input type="checkbox"/> Lack of interest in participating 2. <input type="checkbox"/> Lack of information 3. <input type="checkbox"/> Distance issues 4. <input type="checkbox"/> Transportation costs 5. <input type="checkbox"/> I don't have time 6. <input type="checkbox"/> Issues with the mayor 7. <input type="checkbox"/> Lack of trust in the process itself. <i>888 Don't know</i> <i>999 Refuse to answer</i> |
| 6.20 | Do you know some of the processes that must be carried out in order to complete a recall? | Do not read the options. <i>Only for those who get 6.14 right</i> | 1. <input type="checkbox"/> Obtain a kit 2. <input type="checkbox"/> Obtain signatures 3. <input type="checkbox"/> Obtener approval from RENIEC 4. <input type="checkbox"/> Obtener approval from ONPE 5. <input type="checkbox"/> Request recall from the ONPE 6. <input type="checkbox"/> Call for public consultation (JNE) 7. <input type="checkbox"/> Organize an assembly 8. <input type="checkbox"/> Take a vote 9. <input type="checkbox"/> Other (Specify): <i>888 Don't know</i> <i>999 Refuse to answer</i> |
| 6.21 | What quantity of voters has to vote in order for the recall to be valid? | Do not read the options. <i>Only for those who</i> | 1. <input type="checkbox"/> There is no requirement 2. <input type="checkbox"/> Above 50% 3. <input type="checkbox"/> Another percentage |

| | | | |
|-------------|--|---|---|
| | | <i>get 6.14 right</i> | <i>888 Don't know 999 Refuse to answer</i> |
| 6.22 | Of the valid votes cast, what part has to be votes approving the recall in order to revoke an authority? | Do not read the options. <i>Only for those who get 6.14 right</i> | 1. <input type="checkbox"/> Fifty percent plus 1 (50% + 1) 2. <input type="checkbox"/> All 3. <input type="checkbox"/> Other percentage. <i>888 Don't know 999 Refuse to answer</i> |
| 6.23 | When in the term of an authority can a recall be carried out? | Do not read the options. Mark all that he/she says. <i>Only for those who get 6.14 right</i> | 1. <input type="checkbox"/> Anytime except the first year 2. <input type="checkbox"/> Anytime except the last year 3. <input type="checkbox"/> Half year 4. <input type="checkbox"/> Other <i>888 Don't know 999 Refuse to answer</i> |

SECTION 7: PERCEPTIONS

Read: I will now ask you questions about your perceptions and opinions regarding local authorities and extractive firms in your area. We're interesting in learning how you feel about these actors.

| No. | Question | Instructions | Responses |
|------------|---|--------------|--|
| 7.1 | Do you approve or disapprove of the job the district mayor is doing? | | 1. <input type="checkbox"/> Approve 2. <input type="checkbox"/> Disapprove 3. <i>888 Don't know 999 Refuse to answer</i> |
| 7.2 | Are you satisfied or unsatisfied with the construction of public infrastructure that your major has undertaken? | | 1. <input type="checkbox"/> Satisfied 2. <input type="checkbox"/> Unsatisfied <i>888 Don't know 999 Refuse to answer</i> |
| 7.3 | In general, does the district mayor respond to the community? | | 1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No <i>888 Don't know 999 Refuse to answer</i> |
| 7.4 | If someone were to propose an effort to replace the mayor, would you support or not support this? | | 1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No <i>888 Don't know 999 Refuse to answer</i> |
| 7.5 | Do you approve or disapprove of the role oil | | 1. <input type="checkbox"/> Approves |

| | | | |
|-----|---|--|--|
| | companies have in your region? | | 2. <input type="checkbox"/> Disapproves 888 <i>Don't know</i> 999 <i>Refuse to answer</i> |
| 7.6 | In general, do oil firms respond to the community? | | 1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No 888 <i>Don't know</i> 999 <i>Refuse to answer</i> |
| 7.7 | Are you satisfied or unsatisfied with what oil firms have contributed to the community? | | 1. <input type="checkbox"/> Satisfied 2. <input type="checkbox"/> Unsatisfied 888 <i>Don't know</i> 999 <i>Refuse to answer</i> |

SECTION 8: TRAINING CONTENT

| | | | |
|-----|--|--|---|
| 8.1 | Where can you find information about the oil canon and sobrecanon assigned to your district? | Don't read options to respondent. Mark all that apply. | 1. <input type="checkbox"/> MEF's website (Ministry of Economy and Finance) 2. <input type="checkbox"/> In my district municipality 3. <input type="checkbox"/> Mentions that can find information on the Internet but does not specify the website 888 <i>Don't know</i> 999 <i>Refuse to answer</i> |
| 8.2 | Where can you learn how the budget from the oil canon and sobrecanon was used? | Don't read options to respondent. Mark all that apply. | 1. <input type="checkbox"/> MEF's website (Ministry of Economy and Finance) 2. <input type="checkbox"/> In my district municipality 3. <input type="checkbox"/> Mentions that can find information on the Internet but does not specify the website 888 <i>Don't know</i> 999 <i>Refuse to answer</i> |
| 8.3 | Have you participated in a training about the oil canon and sobrecanon in the last 3 months? | | 1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No 888 <i>Don't know</i> 999 <i>Refuse to answer</i> |
| 8.4 | Where did the training take place? | | 1. <input type="checkbox"/> In the community 2. <input type="checkbox"/> In another place 888 <i>Don't know</i> 999 <i>Refuse to answer</i> |

| | | | |
|-----|--|--|--|
| 8.5 | Do you remember how many people participated? | | Number [] 888 <i>Don't know</i> 999 <i>Refuse to answer</i> |
| 8.6 | What is the amount of the budget of the oil canon and sobrecanon that has been assigned to your district? | | 1. <input type="checkbox"/> Less than a S/1 million 2. <input type="checkbox"/> More than a S/1 million but less than S/3 million 3. <input type="checkbox"/> More than S/3 million but less than S/5 million 4. <input type="checkbox"/> More than S/5 million 888 <i>Don't know</i> 999 <i>Refuse to answer</i> |
| 8.7 | Taking into account the population and level of poverty in your community compared to the other communities in your district, do you think the level of expenditure on public construction projects in your community is lower than, equal to, or higher than the rest of the communities in the district? | | 1. <input type="checkbox"/> High 2. <input type="checkbox"/> Medium 3. <input type="checkbox"/> Low 4. <input type="checkbox"/> The same 888 <i>Don't know</i> 999 <i>Refuse to answer</i> |

SECTION 9: FINALIZATION

| | | | |
|-----|---|---|---------------|
| 9.1 | Time of finalization of the survey | Format of time: 24 hours | _ _ _ : _ _ _ |
| 9.2 | If someone helped the authority give responses to the survey questions, please indicate who it was. | 1. <input type="checkbox"/> Husband/wife 2. <input type="checkbox"/> Child 3. <input type="checkbox"/> Other (Specify): 4. <input type="checkbox"/> No one helped the respondent | |