

## **Recognizing Good Governance: Pre-Analysis Plan for a Field Experiment in Uganda**

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### **Timing**

We register this preliminary pre-analysis plan prior to data collection and random assignment.

### **Summary**

We theorize that fostering collective pride in good governance and providing positive recognition for local leaders who forego corruption and work diligently to manage local projects will decrease corruption in a national park revenue-sharing program in western Uganda. We will implement a randomized field experiment and linked ethnographic field study to test whether offering community recognition for the successful planning and implementation of revenue-sharing projects, along with associated radio announcements and public ceremonies that praise good governance, will result in more equitable planning and better delivery of revenue-sharing projects. Our study thus departs from the dominant lines of research on corruption that focus on detection and punishment and instead asks how civic expectations can be realigned to counteract corruption at the local level. We compare outcomes in villages that are made experimentally eligible for positive recognition to those villages that do not have eligibility for recognition.

### **Treatment**

#### *Baseline*

All combination project management committee (PMC) / community procurement committee (CPC) will be provided with a checklist of procedures for considering bids for projects, evaluating the bids, and managing contractors. All combination committees will be trained in the procedures that would be required to earn excellence in revenue sharing.

#### *Intervention*

We propose that each combination project management committee (PMC) / community procurement committee (CPC) will be offered the opportunity to earn recognition if they complete a checklist of items during the implementation phase of revenue sharing. The opportunity to earn recognition will be highlighted both during the training on the checklist and at least bi-weekly via reminder messages sent over the Bwindi Information Network.

The recognition will consist of:

1. The large sign prominently placed along a roadway near or entering a village that commends the village for excellence in revenue sharing, but also lists the names of the members of the PMC and CPC in that village (or parish).
2. A radio announcement commending the village for excellence in revenue sharing and specifically naming the members of the PMC and CPC in that village (or parish).

In addition to the checklist, a community-wide announcement will be made about the chance for the whole community and committee members in general to earn recognition for excellence in revenue sharing, to change social expectations potentially.

### *Control*

To prevent spillover, the control committee will be explicitly told that while no formal recognition will be offered for completing the checklist, it was designed to help manage the process of implementation to ensure revenue sharing projects are delivered as approved.

### **Sample**

The sample consists of all village, parish-level or subcounty-level PMC/CPCs that are organized to manage and oversee the implementation of revenue sharing. While there are 96 villages that are independently eligible for revenue sharing, some villages have chosen to work together with other villages in their parishes or subcounties to pursue more major projects, like the construction of access roads. In these cases, parish-level or subcounty-level committees can be formed. We take the committee as the unit of analysis, whether the committee is organized at the subcounty, parish, or village level.

Additionally, at the time of this initial registration, 18 villages have yet to agree about what form their projects will take. These villages will likely be added to the sample in a second randomization phase in the near future. While these villages make their final deliberations, baseline surveys and initial treatment will occur in villages already randomized and part of the sample.

Because the number of villages that have yet to settle on projects and therefore are left out of the sample at this juncture, and because joint projects have reduce the number of committees (as compared to the number of eligible villages), the number of committees included in the sample at this initial registration is 58.

### **Outcomes Measures**

### *Direct Effects*

**(D1) Number of checklist items completed.** Our primary outcome measure is the number of items on the procedural checklist completed by each combination committee. We have designed each item on the checklist (11 total) such that it leads to an observable outcome for our research team.

**(D2) Proportion of projects completed as approved.** Our downstream outcome measure is the number of projects completed as approved that are at least somewhat verifiable. We expect that communities that have the opportunity to earn recognition for excellent management of revenue sharing projects will complete more verifiable projects. We will determine if a project is completed or mostly completed as approved using endline field audits (see Appendix C).

**(D3) Punishment in cooperation game (lab-in-field).** We intend to conduct lab-in-field games to assess the extent to which players will engage in costly punishment of defections in cooperative games, offering behavioral evidence of shifts in norms. At the time of this initial registration, this is an intention. We will file an addendum with the final data collection procedure prior to collecting outcome data.

**(D4) Cheating in cooperation game (lab-in-field).** We intend to conduct lab-in-field games to assess the extent to which players will cheat in cooperative games, offering behavioral evidence of shifts in norms among committee members. At the time of this initial registration, this is an intention. We will file an addendum with the final data collection procedure prior to collecting outcome data.

### *Mediators*

We assess the potential mechanisms by which the recognition treatment affects residents' and committee members' norms and expectations about the management of funds through a series of survey items as outlined in the table below. We will evaluate whether the intervention changes norms and expectations about corruption among both committee members elected to oversee implementation of revenue-sharing projects and a random sample of residents.

## **Hypotheses**

*Table 1. Outcome measures and covariates to be used for hypothesis testing*

<b>Outcome Measure</b>	<b>Covariates</b>
<b>H1:</b> Eligibility for recognition will cause committees to exert more effort and diligence in managing revenue sharing projects.	
<a href="#">D1</a>	<a href="#">O1</a> , <a href="#">O2</a>

<a href="#">C1.e</a>	C1.b, <a href="#">C13</a>
<b>H2:</b> Eligibility for recognition will increase the successful delivery of revenue-sharing projects.	
<a href="#">D2</a>	<a href="#">O1</a> , <a href="#">O2</a>
<a href="#">R12.e</a>	<a href="#">R12.b</a> , <a href="#">R2</a> , R18, R19, R21, R22, R23, <a href="#">R25</a> , <a href="#">R27</a>
<a href="#">R15.e</a>	<a href="#">R15.b</a> , <a href="#">R2</a> , R18, R19, R21, R22, R23, <a href="#">R25</a> , <a href="#">R27</a>
<b>M1:</b> Eligibility for recognition will change <u>residents'</u> norms and expectations to be less accepting of corruption and mismanagement.	
D3	
<a href="#">R41.m</a>	<a href="#">R2</a> , R18, R19, R21, R22, R23, <a href="#">R25</a> , <a href="#">R27</a>
<a href="#">R42.e</a>	<a href="#">R42.b</a> , <a href="#">R2</a> , R18, R19, R21, R22, R23, <a href="#">R25</a> , <a href="#">R27</a>
<a href="#">R43.e</a>	<a href="#">R43.b</a> , <a href="#">R2</a> , R18, R19, R21, R22, R23, <a href="#">R27</a>
<a href="#">R45.e</a>	<a href="#">R45.b</a> , <a href="#">R2</a> , R18, R19, R21, R22, R23, <a href="#">R27</a>
<a href="#">R46.e</a>	<a href="#">R46.b</a> , <a href="#">R2</a> , R18, R19, R21, R22, R23, <a href="#">R27</a>
<a href="#">R47.e</a>	<a href="#">R47.b</a> , <a href="#">R2</a> , R18, R19, R21, R22, R23, <a href="#">R27</a>
<a href="#">R48.e</a>	<a href="#">R48.b</a> , <a href="#">R2</a> , R18, R19, R21, R22, R23, <a href="#">R27</a>
<a href="#">R49.e</a>	<a href="#">R49.b</a> , <a href="#">R2</a> , R18, R19, R21, R22, R23, <a href="#">R27</a>
<a href="#">R50.e</a>	<a href="#">R50.b</a> , <a href="#">R2</a> , R18, R19, R21, R22, R23, <a href="#">R27</a>
<a href="#">R51.m</a>	<a href="#">R2</a> , R18, R19, R21, R22, R23, <a href="#">R25</a> , <a href="#">R27</a>
<b>M2:</b> Eligibility for recognition will change <u>committee members'</u> norms and beliefs about corruption and mismanagement.	
D4	
<a href="#">C2.e</a>	C2.b, C12, R18, R19, R21, R22, R23
<a href="#">C3.e</a>	C3.b, C12, R18, R19, R21, R22, R23
<a href="#">C4.e</a>	C4.b, C12, R18, R19, R21, R22, R23
<a href="#">C5.e</a>	C5.b, C12, R18, R19, R21, R22, R23
<a href="#">C10.e</a>	C10.b, C12, R18, R19, R21, R22, R23

<a href="#">C11.e</a>	C11.b, C12, R18, R19, R21, R22, R23
<a href="#">R49.e</a>	<a href="#">R49.b</a> , R18, R19, R21, R22, R23
<a href="#">R50.e</a>	<a href="#">R50.b</a> , R18, R19, R21, R22, R23
<b>Manipulation Check:</b> Treated committee members will expect recognition with signs, radio announcements, and/or receptions.	
<a href="#">MC1</a>	

## Exclusion Rules

The following situations will cause us to exclude from our analysis committees and the individuals nested within them for the purpose of the final analysis:

- We will exclude any committee that is disbanded and ceases to function.
- We will exclude any committee that has turnover greater than 50% after the training on the checklist.
- We will exclude any survey or audit outcomes from analysis for which >90% of the responses are in either the ceiling or floor category for the control group such that no further treatment effect is likely detectable in the predicted direction.

## Specifications of Statistical Tests

### *Tests*

Our primary statistical test will be a linear model with robust standard errors, clustered at the committee level for individual-level outcomes. For survey-based items, we will transform Likert-scale items onto an interval scale for analysis, with “don’t know” responses added to the middle category. The estimating equation at the core of our analysis is:

$$y = \alpha + \tau D_j + \beta X_{ij} + \varepsilon_j \quad (1)$$

Where  $y$  is the outcome of interest,  $\tau$  is the sample average treatment effect (target estimand),  $D_j$  is an indicator of the treatment assigned at the committee level,  $\beta$  is a vector of parameter estimates for covariates used to improve precision (as per Table 1 above),  $X_{ij}$  is a pre-specified list of covariates, and  $\varepsilon_j$  is an error term clustered that the unit of assignment (the highest level of collective project to which a village belongs).

*Observational covariates, committee-level*

**(01)** Delivery of project in previous year (2016-17 cycle)

**(02)** Common-good vs. private-good project (current cycle)

We will deem a project a common good project if a project is non-excludable. For example, a project to reduce problem-animals from exiting the forest and raiding local crops. Infrastructure projects that are excludable but are designed to equally allocate access to second-order private goods will also be treated as common-good. For example, a project to collect rainwater that potentially could benefit a portion of a community would be treated as a common-good project if no measures are taken to exclude others.

#### *Covariates, individual-level with rotating sample*

We outline the specific covariates to be used for individual tests in Table 1 above. For the resident surveys, we will not have a panel, but rather two cross-sections obtained by random walk, with some overlap in respondents. For individual subjects who are not re-contacted at endline, we will use the village-mean of the baseline covariate specified for estimation. For subjects who are re-contacted at endline, we will instead use their individual covariate values for estimation. As with outcomes, we will transform Likert-scale covariates onto an interval scale for our primary estimation, which will accommodate the cluster-level imputation from the baseline mean for missing baseline values.

#### *Reporting*

We will report 95% confidence intervals on all estimates from robust standard errors and one-sided  $p$ -values in the direction of the hypotheses derived from randomization inference under the sharp null hypothesis.

#### *Power*

An accompanying *DeclareDesign()* output shows our power analysis for committee-level outcomes of the number of checklist items completed and our individual-level power analysis for survey items with a cross-sectional baseline. We find that the minimum detectable effect at target power 0.8 for checklist items is 2.1 using robust standard errors, which have conservative levels of coverage given our model assumptions. We find that the minimum detectable effect at target power 0.8 for Likert-scale survey items is 0.13 categories on the Likert-to-interval scale outcomes. We consider both of these effect sizes to be reasonably small targets

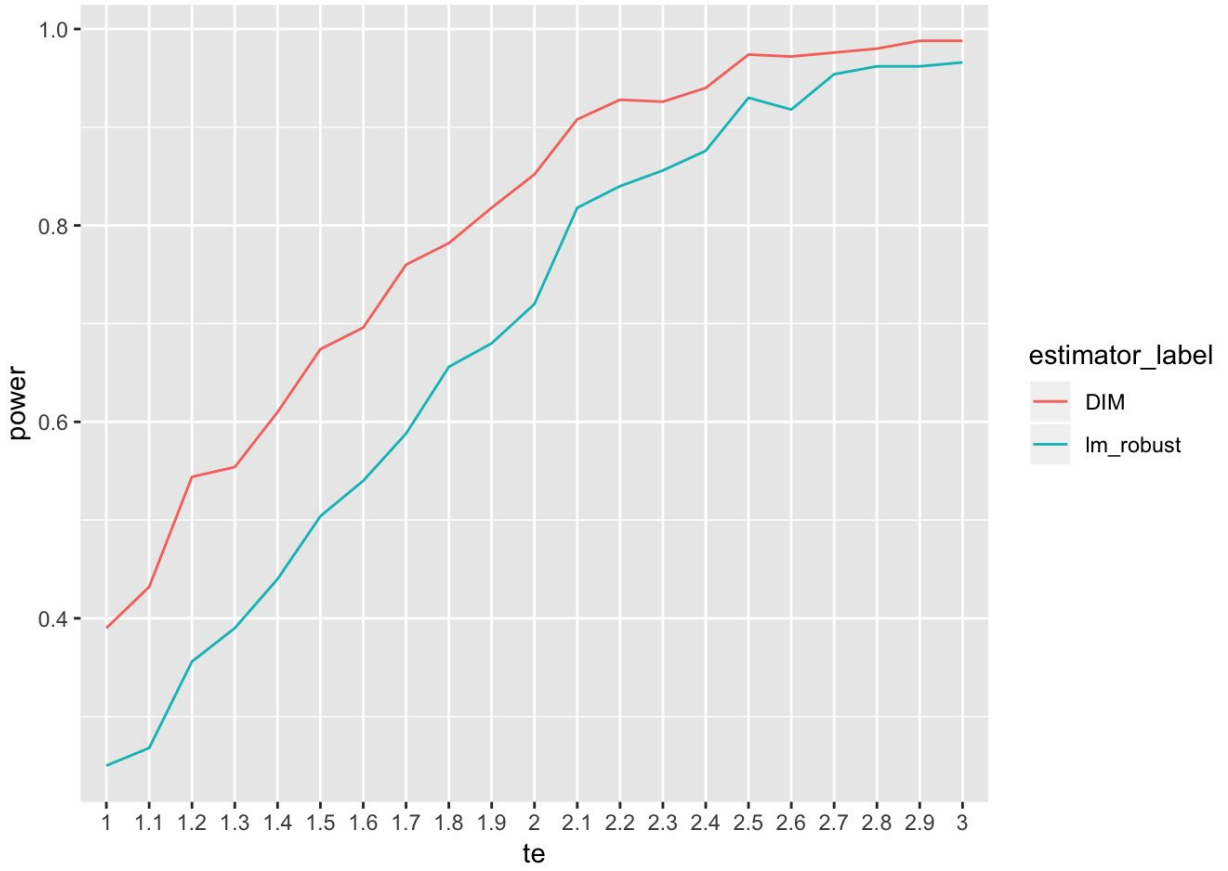


Figure 1. Minimum detectable effect for additional checklist items completed (committee)

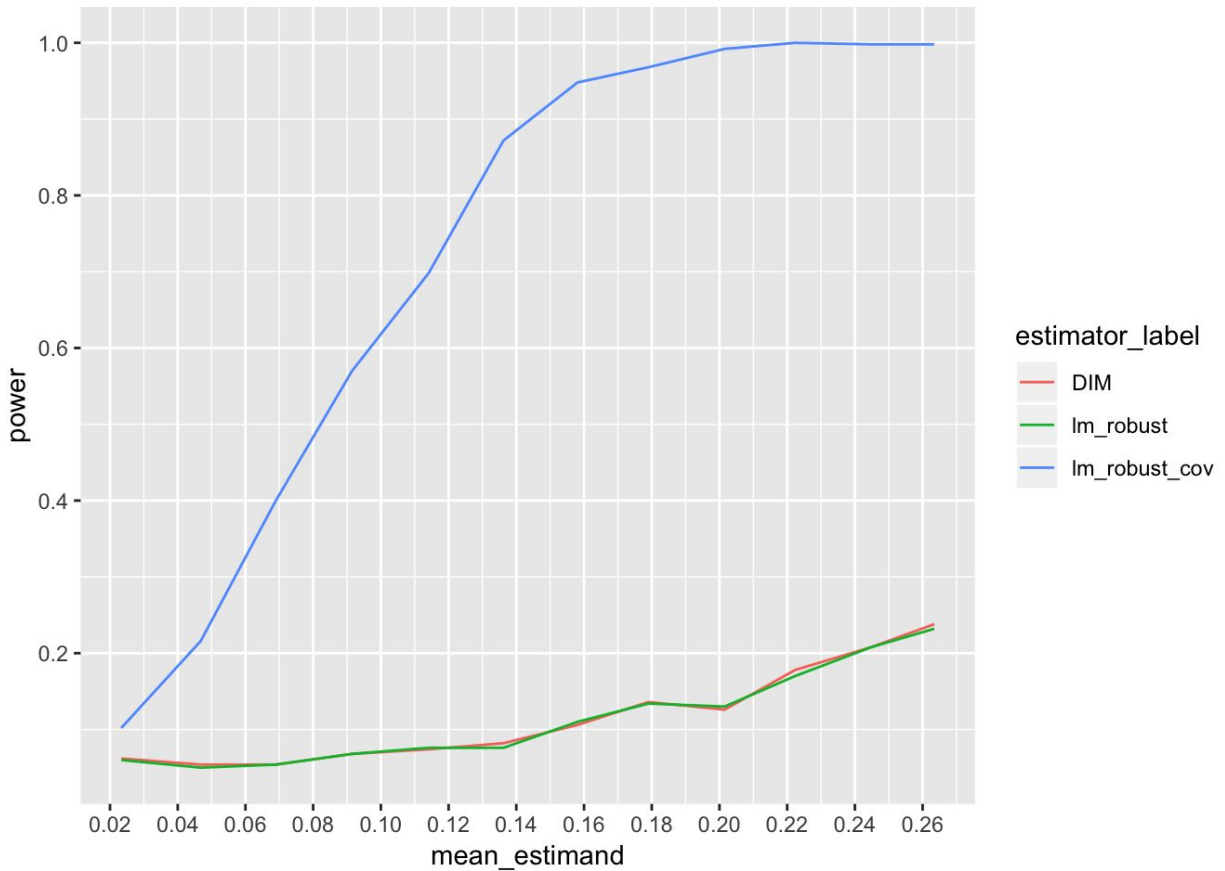


Figure 2. Minimum detectable effect for Likert-scale survey items (individual)

## Extended and Exploratory Analyses

1. In addition to reporting the total number of checklist items completed by each committee-project, we will also report the treatment effect about each individual checklist item where <90% of the control committees complete the item as an extended analysis, in case treatment affects certain kinds of actions more than others.

## Contingencies

### *Attrition*

We do not expect attrition in the committee-level, since we our research team will independently collect committee-level outcomes associated with the completion of the worksheet and an audit of the delivery of revenue sharing projects. If we have unexpected attrition at the committee level, we will report on whether that attrition is plausibly associated with potential outcomes. If we are able to reject the null hypothesis of no differential attrition



in these tests at the 0.10 level, we will report Lee bounds on the associated treatment effects. If we are not able to reject the null hypothesis of no differential attrition, we will proceed without further adjustments for attrition.

If we experience significant attrition for outcome **D1** (number of checklist items completed), because committees do not turn the worksheets because of loss, illiteracy, or other reason, we will conduct an intensive follow-up with a random sample of committees in each of the treatment conditions to evaluate the variance in outcomes among non-reporters. We will report analyses where missing committee outcomes are imputed with a random draw from the intensive follow-up group and estimates and standard errors are derived from a bootstrap.

### *Non-compliance*

We do not expect non-compliance to be a problem, since delivery of treatment will be entirely controlled by our research team. We will cross-check the treatment as delivered against the random assignment file. To the extent that we find errors in treatment delivery, our primary analysis will be intent-to-treat. If there is a strong reason to believe that non-compliance is unrelated to the characteristics of the committees (e.g., enumerator accidentally switched to villages due to reading error), we will also report as-treated results and treat such errors as randomly assigned by nature.

### *Interference*

We will test for spillover effects as an extension by creating a spillover treatment indicate  $S_j$  that indicates whether none, one, or both of the contiguous villages are treated. We will test for the effect of  $S_j$  on village- and individual-level outcomes by adding it to the estimating equations above as a robustness check. To the extent that we detect significant spillover effects, we will include  $S_j$  in our main specifications. If we detect significant spillover effects, we will also perform robustness checks that define spillover as the number of treated villages within larger bounds of contiguity.

### *Manipulation check*

In our survey with members of the PMCs/CPCs one month following the completion of the treatment roll-out, we will ask about whether they believe they are eligible to earn formal, public recognition, such as posted signs or radio announcements, if they achieve excellence in revenue sharing as follows:

**(MC1)** If our committee completes all items of the checklist, we expected to receive public recognition in the form of signs, radio announcements, or ceremonies this year.

- a. Strongly disagree
- b. Slightly disagree
- c. Neither disagree or agree

- d. Slightly agree
- e. Strongly agree
- f. Refused to answer

If we cannot detect differences in beliefs between committees assigned to treatment and committees assigned to control, we will conduct in-depth interviews with committee members to learn about why treated committee members did not find the treatment believable and why control committee members might have believed that they were eligible for recognition.

#### *Randomization check*

We will report balance statistics for each covariate collected in terms of raw percentages of the treatment and control group. We will also conduct an F-test of a model that uses all available committee-level covariate data to predict the randomly assigned treatment status. We will aggregate individual-level data into committee-level means for this test.

#### *Multiple testing*

For each family of outcome measures for a single hypothesis indicated in Table 1, we will report both nominal  $p$ -values for individual tests, as well as the minimum family-wise false discovery rate for which each individual hypothesis would be rejected after applying the Benjamini-Hochberg procedure.

#### *Missing data on covariates*

For the main analysis, we will impute all missing covariate values with the mean of the cluster immediately higher than the level at which the covariate is measured. For instance, if we are missing individual-level survey items, we will impute missing values based on the village-level mean of subject in the same target sample. If we are missing village-level covariates, we will impute based on the block-level mean.

## Appendix A. Question Bank, Committees

\*\*\*Note: not all items will be used in final survey, which will be posted separately with replication materials.

**(C1.b)** How many hours do you think you will spend each week on your management or procurement committee responsibilities during the period of implementation for revenue sharing?

**(C1.e)** How many hours do you think you spent each week on your management or procurement committee responsibilities during the period of implementation for revenue sharing?

**(C2.b)** I believe local residents will recognize efforts that the management and procurement committees make to implement revenue-sharing projects successfully.

- a. Strongly disagree
- b. Slightly disagree
- c. Neither disagree or agree
- d. Slightly agree
- e. Strongly agree
- f. Refused to answer

**(C2.e)** Local residents recognized efforts that the management and procurement committees made to implement the revenue-sharing project.

- a. Strongly disagree
- b. Slightly disagree
- c. Neither disagree or agree
- d. Slightly agree
- e. Strongly agree
- f. Refused to answer

**(C3.b)** I believe the LC1 chair and vice-chair will recognize efforts that the management and procurement committees make to implement projects successfully.

- a. Strongly disagree
- b. Slightly disagree
- c. Neither disagree or agree
- d. Slightly agree
- e. Strongly agree
- f. Refused to answer

**(C3.e)** The LC1 chair and vice-chair recognized efforts that the management and procurement committees made to implement the revenue-sharing project.

- a. Strongly disagree

- b. Slightly disagree
- c. Neither disagree or agree
- d. Slightly agree
- e. Strongly agree
- f. Refused to answer

**(C4.b)** I believe sub-county or district officials will recognize efforts that the management and procurement committees make to implement projects successfully.

- a. Strongly disagree
- b. Slightly disagree
- c. Neither disagree or agree
- d. Slightly agree
- e. Strongly agree
- f. Refused to answer

**(C4.e)** Sub-county or district officials recognized efforts that the management and procurement committees made to implement the revenue-sharing project.

- a. Strongly disagree
- b. Slightly disagree
- c. Neither disagree or agree
- d. Slightly agree
- e. Strongly agree
- f. Refused to answer

**(C5.b)** I believe UWA staff will recognize efforts that the management and procurement committees make to implement projects successfully.

- a. Strongly disagree
- b. Slightly disagree
- c. Neither disagree or agree
- d. Slightly agree
- e. Strongly agree
- f. Refused to answer

**(C5.e)** UWA staff recognized efforts that the management and procurement committees made to implement the revenue-sharing project.

- a. Strongly disagree
- b. Slightly disagree
- c. Neither disagree or agree
- d. Slightly agree
- e. Strongly agree
- f. Refused to answer

**(C6)** I believe local residents appreciate efforts that the management and procurement committees make to implement projects successfully.

- a. Strongly disagree
- b. Slightly disagree
- c. Neither disagree or agree
- d. Slightly agree
- e. Strongly agree

**(C7)** I believe the LC1 chair and vice-chair appreciate the efforts that the management and procurement committees make to implement projects successfully.

- a. Strongly disagree
- b. Slightly disagree
- c. Neither disagree or agree
- d. Slightly agree
- e. Strongly agree

**(C8)** I believe sub-county or district officials appreciate the efforts that the management and procurement committees make to implement projects successfully.

- a. Strongly disagree
- b. Slightly disagree
- c. Neither disagree or agree
- d. Slightly agree
- e. Strongly agree

**(C9)** Serving on the procurement or management committee will increase my standing in the village.

- a. Strongly disagree
- b. Slightly disagree
- c. Neither disagree or agree
- d. Slightly agree
- e. Strongly agree

**(C10.b)** If I work diligently to implement the revenue sharing project, my standing in the village will increase.

- a. Strongly disagree
- b. Slightly disagree
- c. Neither disagree or agree
- d. Slightly agree
- e. Strongly agree
- f. Refused to answer

**(C10.e)** Because I worked diligently to implement the revenue sharing project, my standing in the village has increased.

- a. Strongly disagree
- b. Slightly disagree
- c. Neither disagree or agree
- d. Slightly agree
- e. Strongly agree
- f. Refused to answer

**(C11.b)** The average resident in this village expects that the management and procurement committees will work diligently to implement a successful revenue sharing project.

- a. Strongly disagree
- b. Slightly disagree
- c. Neither disagree or agree
- d. Slightly agree
- e. Strongly agree
- f. Refused to answer

**(C11.e)** The average resident in this village expects that the management and procurement committees will work diligently to implement a successful revenue sharing project.

- a. Strongly disagree
- b. Slightly disagree
- c. Neither disagree or agree
- d. Slightly agree
- e. Strongly agree
- f. Refused to answer

**(C12)** Prior to this year, how many times have you served on a project management committee or community procurement committee for revenue-sharing?

**(C13)** I know the right person to contact if I need more information about my committee responsibilities for Revenue Sharing.

- a) Strongly disagree
- b) Slightly disagree
- c) Neither disagree or agree
- d) Slightly agree
- e) Strongly agree
- f) Refused to answer

## Appendix B. Question Bank, Residents

\*\*\*Note: not all items will be used in final survey, which will be posted separately with replication materials.

### *Attitudes*

R1) How satisfied are you with the overall management of Bwindi National Park?

- a) Very dissatisfied
- b) Somewhat dissatisfied
- c) Neutral
- d) Somewhat satisfied
- e) Very satisfied
- f) Don't know
- g) Refused to answer

**(R2)** How satisfied are you with Bwindi National Park's Revenue Sharing Program?

- a) Very dissatisfied
- b) Somewhat dissatisfied
- c) Neutral
- d) Somewhat satisfied
- e) Very satisfied
- f) Don't know
- g) Refused to answer

R3) Has your community ever directly benefited from Bwindi National Park's Revenue Sharing Program?

- a) No
- b) Yes
- c) Don't know
- d) Refused to answer

R4) Have you or your family ever directly benefited from Bwindi National Park's Revenue Sharing Program?

- a) No
- b) Yes
- c) Don't know
- d) Refused to answer

R5) In your opinion, how important is it to protect the forest and wildlife in Bwindi National Park?

- a) Not at all important
- b) Not very important

- c) Somewhat important
- d) Very important
- e) Don't know
- f) Refused to answer

*Knowledge and Access to Information*

R6) How satisfied are you with the amount of information the Uganda Wildlife Authority has provided about Bwindi National Park's Revenue Sharing Program?

- a) Very dissatisfied
- b) Somewhat dissatisfied
- c) Neutral
- d) Somewhat satisfied
- e) Very satisfied
- f) Don't know
- g) Refused to answer

R7) How much do you agree or disagree with the following statement: Based on all of the information that is available to me, I can generally explain how Bwindi National Park's Revenue Sharing Program works.

- a) Disagree
- b) Somewhat disagree
- c) Somewhat agree
- d) Agree
- e) Don't know
- f) Refused to answer

R8) How much do you agree or disagree with the following statement: Based on all of the information that is available to me, I can explain how the Revenue Sharing Program works in my village specifically.

- a) Disagree
- b) Somewhat disagree
- c) Somewhat agree
- d) Agree
- e) Don't know
- f) Refused to answer

*Participation, Agency, and Empowerment*

R9) How much do you agree or disagree with the following statement: People like me have opportunities to participate in the planning of the Revenue Sharing Program for my village.

- a) Disagree
- b) Somewhat disagree



- c) Somewhat agree
- d) Agree
- e) Don't know
- f) Refused to answer

R10) How satisfied are you with your current opportunities to communicate with the Uganda Wildlife Authority about the Revenue Sharing Program?

- a) Very dissatisfied
- b) Somewhat dissatisfied
- c) Neutral
- d) Somewhat satisfied
- e) Very satisfied
- f) Don't know
- g) Refused to answer

R11) How much do you agree or disagree with the following statement: I know the right person [in my village or at UWA] to contact if I have concerns about the Revenue Sharing Program.

- g) Disagree
- h) Somewhat disagree
- i) Somewhat agree
- j) Agree
- k) Don't know
- l) Refused to answer

### *Effectiveness*

**(R12.b)** In your opinion, how valuable will the economic benefits provided to your village by revenue-sharing project or projects be this year?

- a) Not at all valuable
- b) Not very valuable
- c) Somewhat valuable
- d) Very valuable
- e) Don't know
- f) Refused to answer

**(R12.e)** In your opinion, how valuable are the economic benefits provided to your village by revenue-sharing project or projects this year?

- g) Not at all valuable
- h) Not very valuable
- i) Somewhat valuable
- j) Very valuable
- k) Don't know

l) Refused to answer

R13) The allocations from revenue sharing are distributed fairly among members of the village:

- a) Disagree
- b) Somewhat disagree
- c) Somewhat agree
- d) Agree
- e) Don't know
- f) Refused to answer

R14) What is a revenue sharing project that your village received in the past 6 months?

**(R15.b)** How much of a problem do you expect corruption or mismanagement to be for your village's revenue sharing project or projects this year?

- a) A large problem
- b) A small problem
- c) Not a problem at all
- d) Refused to answer

**(R15.e)** How much of a problem was corruption or mismanagement for your village's revenue sharing project or projects this year?

- e) A large problem
- f) A small problem
- g) Not a problem at all
- h) Refused to answer

R16) Did you participate in any RS meetings during the last several months?

- a) Yes
- b) No
- c) No Reply

R17) (Compliance): Did you see the messages that we sent to you during the last several weeks?

- a) Yes
- b) No
- c) No Reply

**(R18)** What is your age?

**(R19)** What is your gender?

- a) Female

- b) Male
- c) Refused to answer

(R20) What is your first name?

**(R21)** What is your mobile phone number?

- a) Number \_\_\_\_\_
- b) No mobile phone
- c) Refused

**(R22)** What is your approximate monthly income?

- a) 20,000 shillings or less
- b) 20,000 - 100,000 shillings
- c) 100,000 - 200,000 shillings
- d) 200,000 - 500,000 shillings
- e) 500,000 - 1 million shillings
- f) 1 million shillings or more
- g) Refused to answer

**(R23)** Can you read?

- a) No, I cannot read at all
- b) No, but I have a close family member who can read
- c) Yes, I can read somewhat
- d) Yes, I can read very well
- e) Refused to answer

**(R24)** Did you receive messages through the Bwindi Information Network over the past year?

- a) Yes
- b) No
- c) Refused to answer

**(R25)** Are you a beneficiary of this year's revenue-sharing project in your village?

- a) Yes
- b) No
- c) Don't know
- d) Refused to answer

R26) Overall, how satisfied are you with the implementation of last year's Revenue Sharing project, not taking into account planning of the project?

- a) Very Dissatisfied
- b) Somewhat Dissatisfied
- c) Somewhat Satisfied
- d) Very Satisfied

e) Refused to answer

**(R27)** Overall, how satisfied are you with the planning of this year's Revenue Sharing project?

- a) Very dissatisfied
- b) Somewhat dissatisfied
- c) Somewhat satisfied
- d) Very satisfied
- e) Don't know
- f) Refused to answer

R28) Would you choose the same project again given how it was planned?

- a) Yes
- b) No
- c) Refused to answer

R29) How satisfied are you with the overall management of Bwindi National Park?

- a) Very dissatisfied
- b) Somewhat dissatisfied
- c) Neutral
- d) Somewhat satisfied
- e) Very satisfied
- f) Don't know
- g) Refused to answer

R30) How satisfied are you with Bwindi National Park's Revenue Sharing Program?

- a) Very dissatisfied
- b) Somewhat dissatisfied
- c) Neutral
- d) Somewhat satisfied
- e) Very satisfied
- f) Don't know
- g) Refused to answer

R31) Have you or your family ever directly benefited from Bwindi National Park's Revenue Sharing Program?

- a) No
- b) Yes
- c) Don't know
- d) Refused to answer

R32) In your opinion, how important is it to protect the forest and wildlife in Bwindi National Park?

- a) Not at all important

- b) Not very important
- c) Somewhat important
- d) Very important
- e) Don't know
- f) Refused to answer

R33) How satisfied are you with your current opportunities to communicate with the Uganda Wildlife Authority about the Revenue Sharing Program?

- a) Very dissatisfied
- b) Somewhat dissatisfied
- c) Neutral
- d) Somewhat satisfied
- e) Very satisfied
- f) Don't know
- g) Refused to answer

R34) How much do you agree or disagree with the following statement: I know the right person [in my village or at UWA] to contact if I have concerns about the Revenue Sharing Program.

- a) Disagree
- b) Somewhat disagree
- c) Somewhat agree
- d) Agree
- e) Don't know
- f) Refused to answer

R35) In your opinion, how valuable are the economic benefits provided to your village through the Revenue Sharing program?

- a) Not at all valuable
- b) Not very valuable
- c) Somewhat valuable
- d) Very valuable
- e) Don't know
- f) Refused to answer

R36) The allocations from revenue sharing are distributed fairly among members of the village:

- a) Disagree
- b) Somewhat disagree
- c) Somewhat agree
- d) Agree
- e) Don't know
- f) Refused to answer

R37) Has corruption ever been a problem with your village's previous Revenue Sharing projects?

- a) Yes
- b) No
- c) No Reply

R38) Did you participate in any RS meetings during the last several months?

- a) Yes
- b) No
- c) No Reply

R39) Would you like to receive notices through the Bwindi Information Network in the future?

- a) Yes
- b) No

R40) Is there anything else you would like to tell us about living near Bwindi National Park or the Revenue Sharing program?

**(R41.m)** I expect that the local procurement and management committees will work diligently to avoid the mismanagement of revenue sharing funds.

- a) Strongly disagree
- b) Somewhat disagree
- c) Somewhat agree
- d) Strongly agree
- e) Don't know
- f) Refused to answer

**(R42)** I feel proud of how revenue sharing projects are implemented in my village.

- a) Strongly disagree
- b) Somewhat disagree
- c) Somewhat agree
- d) Strongly agree
- e) Don't know
- f) Refused to answer

**(R43)** I get upset when I hear about local officials who mismanage funds for local projects.

- a) Strongly disagree
- b) Somewhat disagree
- c) Somewhat agree
- d) Strongly agree
- e) Don't know
- f) Refused to answer

(R44) I am likely to verbally thank local leaders who make an effort to implement revenue sharing diligently.

- a) Disagree
- b) Somewhat disagree
- c) Somewhat agree
- d) Agree
- e) Don't know
- f) Refused to answer

(R45) I feel proud to be a resident of [village].

- a) Strongly disagree
- b) Somewhat disagree
- c) Somewhat agree
- d) Strongly agree
- e) Refused to answer

(R46) When someone hears about the mismanagement of funds by local officials, they have a responsibility to report it, even if it will bring trouble to themselves.

- a) Strongly disagree
- b) Somewhat disagree
- c) Somewhat agree
- d) Strongly agree
- e) Don't know
- f) Refused to answer

(R47) If I reported that local officials mismanaged funds, I fear that there would be negative consequences for me and my family.

- a) Strongly disagree
- b) Somewhat disagree
- c) Somewhat agree
- d) Strongly agree
- e) Don't know
- f) Refused to answer

(R48) Most people in my village would not accept corruption or the mismanagement of funds, if they learned about it.

- a) Strongly disagree
- b) Somewhat disagree
- c) Somewhat agree
- d) Strongly agree
- e) Don't know
- f) Refused to answer

**(R49)** Although corruption can be harmful, ordinary people just have to accept it.

- a) Strongly disagree
- b) Somewhat disagree
- c) Somewhat agree
- d) Strongly agree
- e) Don't know
- f) Refused to answer

**(R50)** Ordinary people can make a difference in the fight against corruption.<sup>1</sup>

- a) Strongly disagree
- b) Somewhat disagree
- c) Somewhat agree
- d) Strongly agree
- e) Don't know
- f) Refused to answer

**(R51.m)** I expect that the local procurement and management committees will do more than the minimum requirements to ensure that revenue sharing funds are implemented with excellence.

- a) Strongly disagree
- b) Somewhat disagree
- c) Somewhat agree
- d) Strongly agree
- e) Don't know
- f) Refused to answer

## **Appendix C. Endline Project Audit Procedures**

### *Overview*

We will visit all villages that surround the Bwindi National Park and have shared this year's revenue sharing funds. The purpose of the visits is to find out how closely the implemented projects align with what UWA had approved for the villages and whether the projects have been delivered as planned.

The research team shall enter the village with a prior knowledge on which project was approved and the beneficiaries (whether individual or common project). The team will then conduct a physical audit of the approved revenue sharing program.

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<sup>1</sup> Transparency International Corruption Barometer 2015/16. See: [https://www.transparency.org/whatwedo/publication/people\\_and\\_corruption\\_citizens\\_voices\\_from\\_around\\_the\\_world](https://www.transparency.org/whatwedo/publication/people_and_corruption_citizens_voices_from_around_the_world) (Accessed December 2018).



Upon entering a village, the enumerators should first try to make contact with the LC1 chair, with a request that this individual guide the enumerator in recording evidence of the project. The LC1 chair may delegate a guide if appropriate. To the extent that the LC1 Chair is not available, members of the project management committee should be sought for this task.

### *Physical Audit*

During the visits, the enumerators should take time to observe the following:

1. Is there **physical evidence** that the project was at least partially implemented? Check all the items that are observed. Record a photograph of the item and write a detailed description.
  - a. Tagged goat / sheep / piglets / hens
  - b. Newly constructed or graded road
  - c. Newly constructed water source
  - d. Newly constructed pit latrine
  - e. Problem Animal Management items — pangas and hoes
  - f. Sign posts
  - g. Constructed or rehabilitated community health center
  - h. Constructed or rehabilitated school or school facilities
  - i. Constructed or rehabilitated community house or center
  - j. Constructed or rehabilitated tourist facility
  - k. Plastic seats
  - l. Culverts
  - m. Community camp
  - n. Planting of edge crops for PAM
  - o. Solar lamps
  - p. Other [fill out reason]

### **[take photographs and notes to record as much evidence as possible]**

2. Had the project been implemented as planned, what proportion of physical outputs that would have resulted are currently observable:
  - a. Complete evidence (almost all of the physical outputs that would have been produced by a completed project is available and recorded, 90-100%)
  - b. Mostly complete evidence (a majority of the physical outputs that would have been produced by a completed project is available and recorded, 60-90%)
  - c. Partially complete evidence (about half of the physical outputs that would have been produced by a completed project is available and recorded, 40-60%)

- d. **Mostly incomplete evidence** (a majority of the physical outputs that would have been produced by a completed project is not available and only a small amount is recorded, 10-40%)
  - e. **No or very limited evidence** (no or very little physical output is available that indicates the project was completed, 0-10%)
3. How objectively verifiable is it that the evidence comes from this cycle of the revenue sharing program (as opposed to from some other source)?
- a. **Verifiable** (objective evidence show it is all or mostly from the program)
  - b. **Somewhat verifiable** (some objective evidence exists, but it is not certain that all of the physical outputs come from the program)
  - c. **Not verifiable** (any physical evidence that exists requires taking the word of people on the ground about being from the revenue sharing program)
4. What reasons do the LC1 or members of the Project Management Committee give for why physical evidence may have existed previously, but is no longer available for observation? (check all that apply)
- a. Project was not delivered or only partially delivered
  - b. Project budget was insufficient to carry out planned project
  - c. Project was changed to one not approved
  - d. Livestock/animal sold or died
  - e. Road having been washed away by erosion
  - f. Labels removed or destroyed
  - g. Poor labels or lack of labels on delivery
  - h. Other [fill out reason]

**[create a detailed, written log about all observations in the village]**