Three Essays on Sanctions of Politicians in Brazil

A proposal submitted in partial fulfillment of the requirements for the Degree of Doctor of Philosophy in Public Policy

Andre Assumpcao*

December 5, 2018

Abstract

This dissertation project will investigate the relationship between legal sanctions and politics in Brazil. In the first paper, I look at the effect of convictions for electoral infractions on electoral performance in four municipal elections between 2004 and 2016. The second paper tests whether State Court judges significantly rule in favor of politicians involved in small claim court cases. Finally, the last paper investigates whether active and passive transparency simultaneously improve government performance and increase the number of legal sanctions for government wrongdoing. These papers contribute significantly to the literature in political science, economics, and law by exploring the relationship between legal sanctions and local political dynamics in developing countries. In addition, I also contribute new data sources in the form of judicial decisions and innovative identification strategies using institutional features of Brazilian electoral and judicial systems.

Keywords: political economy of development; electoral politics; judicial politics; transparency; economics of crime.

*PhD Student, Department of Public Policy, The University of North Carolina at Chapel Hill. Contact details: aassumpcao@unc.edu

1 Active and Passive Transparency in Brazilian Municipalities

1.1 Introduction

1.2 Institutional Background

1.3 Data

Table 1: Descriptive Statistics by Treatment Condition

	Active Transparency			*Passive Transparency*			*Active and Passive Transparency*		
	Control (1)	Treatment (2)	Diff. (3)	Control (1)	Treatment (2)	Diff. (3)	Control (1)	Treatment (2)	Diff. (3)
Share Urban (Pop.)	0.632	0.626	0.006	0.625	0.631	-0.007	0.630	0.629	0.002
			(0.411)			(0.405)			(0.890)
Share Female (Pop.)	0.505	0.505	0.000	0.505	0.505	-0.001	0.505	0.506	-0.001
			(0.463)			(0.178)			(0.513)
Illiteracy Rate	0.170	0.181	-0.010	0.179	0.171	0.007	0.172	0.185	-0.013
			(0.001)			(0.039)			(0.013)
Income Per Capita (ln)	9.150	9.046	0.104	9.052	9.140	-0.089	9.132	9.030	0.102
			(0.000)			(0.000)			(0.004)
Gini Coefficient	0.510	0.512	-0.002	0.512	0.510	0.003	0.510	0.511	-0.001
			(0.250)			(0.269)			(0.767)
Human Development Index	0.653	0.645	0.008	0.645	0.652	-0.007	0.652	0.644	0.008
			(0.000)			(0.007)			(0.030)
Share Poor (Pop.)	0.249	0.270	-0.021	0.270	0.251	0.019	0.253	0.270	-0.017
			(0.000)			(0.003)			(0.081)
Presence of AM Radio	0.204	0.199	0.005	0.203	0.203	0.000	0.204	0.189	0.015
			(0.685)			(0.990)			(0.466)
Presence of Health Council	0.759	0.776	-0.017	0.767	0.762	0.004	0.761	0.801	-0.040
			(0.203)			(0.781)			(0.067)
Presence of Ed. Council	0.973	0.968	0.005	0.971	0.972	-0.001	0.973	0.959	0.014
			(0.326)			(0.868)			(0.203)
Seat of Judiciary Branch	0.500	0.501	-0.001	0.486	0.503	-0.017	0.498	0.538	-0.041
			(0.968)			(0.346)			(0.133)
N	4,177	1,326		960	4,543		5,137	366	

Note: This table displays means for all observations in each treatment arm against all other. Thus, the sum of observations is larger than the total sample size (5,503). Columns (1)-(3) are the means for the control group, the treatment group, and difference across means; p-values are displayed in parentheses.

1.4 Theory

1.5 Empirical Strategy

1.6 Preliminary Results

1.7 Further Development