Appendix A: Methodological Narrative

Bogota River Case

The data for the Bogotá River case was gathered/generated by Veronica Herrera and included 61 interviews, six participant observations, two seminal court rulings, NGO-produced documents, international financial institution reports, newspaper articles and secondary sources. Interviews were conducted during July-August 2017, most were tape-recorded, although interviewees occasionally asked for the tape to be stopped to go off the record. Interviews were conducted with semi-structured questionnaires, with follow up questions and prompts. Interviews were transcribed, hand-written interview notes were taken, and summaries of interviews were generated within 24-48 hours of interviewing. Interviews were on average one hour, with a range between 15 minutes (with a resident) and 180 minutes. Interviewees were selected using snowball sampling techniques, with initial seeds from diverse professional circles within each category of respondent. See Table 1 below for more information. Interview audio files, summaries, and transcriptions are not available due to IRB protections. Participant observations included on site visits to contaminated areas of the river basin, observing the collaborative oversight arena as the committee held their oversight functions, cultural ceremonies increasing public awareness of the river, and participation in whatsapp messaging groups of the *veedurías*.

An archival database of newspaper articles was created for *El Tiempo* and *El Espectador*, two major newspapers in Colombia that are fairly centrist, the former which covers environmental issues extensively in recent years. Research assistants identified all newspaper articles with relevant content using search terms such as "contaminación," "Rio Bogotá," "Consejo del Estado," "agua," and "rio" for the time period 1990-2016, and a more general search for specific events from 2016-2019. The newspaper article analysis aided in the construction of a timeline of events, to triangulate between claims made in interview material, and to confirm and incorporate perspectives from actors interviewed in news reports that were unavailable to be interviewed in person. Government sources and NGO reports were provided by interview respondents and were further found in online government archives such as the websites of the *Defensoría del Pueblo* or the *Contraloría General de la República*, further augmenting the evidence base from which this paper draws claims. Wherever possible, we triangulated between interviews and text-based sources to strengthen the evidentiary basis of claims.

Text-based sources (newspaper articles and key policy documents cited in the bibliography) are available as supplementary materials, labelled Appendix B and C. See pgs 4-5 of this document for itemized list of these documents.

Healthcare Case

The data for the healthcare case was gathered/generated by Lindsay Mayka. This data included semi-structured interviews, policy reports created by state agencies and NGOs, Constitutional Court rulings and orders, newspaper articles and secondary sources.

Fieldwork for the healthcare case took place during two periods: August 2009-July 2010, and a follow-up trip in June 2017. Fieldwork in 2009-2010 was conducted for a related research project that examined the origins and construction of nationally mandated participatory institutions in Brazil and Colombia, and which analyzed Colombia's health committees as a

case.[1] For that project, the Colombian health sector served as a negative case, since the Colombian health committees failed to become institutionalized. Mayka faced a challenge in conducting interviews on the health committees: it was difficult to interview stakeholders about a participatory institution that only existed on parchment. Mayka addressed this challenge by conducting 38 less-structured interviews to explore the political dynamics behind reform in Colombia's health sector, and the nature of popular participation in healthcare. These interviews revealed that while the nationally mandated health committees had failed, citizen participation around healthcare was playing an important role in the judiciary. Interview respondents also highlighted the importance of the *tutela* and the Constitutional Court's rulings in driving health reform. Mayka returned to Bogotá to do three follow-up interviews for this paper in June 2017, yielding a total of 41 interviews.

Interviews were tape-recorded and transcribed, though interview respondents occasionally asked for the tape to be stopped to go off the record. Mayka used both open-ended interviews and semi-structured questionnaires, with follow up questions and prompts. Detailed summaries were written within 72 hours of interviewing, and most interviews were transcribed afterwards. Interviews lasted an average of 58 minutes, ranging between 12 minutes (with a politician) and 133 minutes. Interview respondents for the original project were selected using snowball sampling techniques with the aim of understanding opportunities for participation in the health sector and the dynamics of health-sector reform overall. Interview respondents in 2017 were selected based on news articles and policy reports to address gaps from the original interview record. See Table 1 below for more information. Interview audio files, summaries, and transcriptions are not available due to IRB protections.

Whereas little has been written on the Bogotá River case prior to this article, a richer secondary literature already exists on the role of Colombia's Constitutional Court in health reform and the use of the *tutela* in healthcare. Mayka drew on this secondary literature, interview material, newspaper articles, and policy documents to build a timeline of events and to identify evidence of the four mechanisms in operation for the healthcare case. We triangulated claims as much as possible—for example, finding news articles that corroborated accounts in interviews about public hearings, and finding the original court orders for information sharing mentioned in secondary sources.

Text-based sources (newspaper articles and key policy documents cited in the bibliography) are available in Appendix B and C. See pgs 4-5 of this document for itemized list of these documents.

[1] This research project culminated in Lindsay Mayka's book, *Building Participatory Institutions in Latin America: Reform Coalitions and Institutional Change* (Cambridge University Press, 2019).

Table 1: Interview Summary

Category	Number of Interviews	Number of Organizations
Environment Case		
Civil society actor	28	14
Bureaucrat	17	6
Private sector	5	5
Politician	4	2
Legal actor	4	3
Experts	3	3
Subtotal	61	33
Healthcare Case		
Civil society actor	11	9
Bureaucrat	18	7
Private sector	1	1
Politician	6	3
Legal actor	4	1
Experts	1	1
Subtotal	41	22
TOTAL	102	55

Categories of Actors*
Civil society actor (civil society organization leader, civil-society activist)
Bureaucrat (non-elected government official working in the executive branch; excludes Ombudsman and Attorney General)
Politician (elected officials and their aides)
Business (industry, industrial association, private sector)
Legal Actor (judges, paralegals, lawyers, representatives from Ombudsman and Attorney General)
Experts (journalists, academics)

*Several interviewees belong in multiple categories, for example, respondents who used to be a civil society leader and later served as a bureaucrat. In these cases, we chose whichever category was most central to the interview, although their multiple experiences informed our analysis. Thus, the number of organizations are underrepresented in the counts in Table 1, particularly for the healthcare case where many interviewees wore many hats.

Newspaper articles available in Appendix B as separate file

Conexión Capital. (2019, May 4). *El río Bogotá hoy ya es navegable*.

El Espectador. (2012, November 12). *La pelea por descontaminar el río Bogotá*.

El Espectador. (2016, October 16). *Sellan empresas que contaminan el agua en Bogotá*.

El Heraldo. (2013, August 11). *¿Quién ve por las veedurías ciudadanas?*

El Tiempo. (1996, January 15). *Embalse del Muña asfixia a Sibaté*.

El Tiempo. (2011, July 8). *Marchas frente a la Corte*.

El Tiempo. (2012, May 10). *Corte exige a Gobierno control sobre "mercaderes de la salud."*

El Tiempo. (2018, November 18). *Por contaminar el río Bogotá, sellan 23 curtiembres*.

El Tiempo. (2019a, January 4). *10 años después, tutelas en salud siguen creciendo en vez de reducirse*.

El Tiempo. (2019b, March 31). *Banco Mundial destaca avances de obras en el río Bogotá*.

El Tiempo. (2019c, May 17). *Con drones y cámaras vigilan el río Bogotá las 24 horas*.

Semana. (2011a, July 7). *Medidas para enfrentar el problema del sector salud son paliativas: Corte Constitucional*.

Semana. (2011b, July 8). *Sector salud no pasó examen de la Corte Constitucional*.

Semana. (2011c, December 5). *Nuevo Plan Obligatorio de Salud regirá a partir de enero*.

Semana. (2012a, July 3). *Conozca los cambios en el Plan Obligatorio de Salud*.

Semana. (2012b, May 7). *Unificación del POS le pone fin a la discriminación en la salud, dice Santos*.

Semana. (2015, February 16). *Santos firma ley para garantizar acceso a servicios de salud*.

Semana. (2018, October 26). *Destapan cáncer de corrupción en la Superintendencia de Salud*.

Key documents available in Appendices C 1-9 as nine separate PDF files

1. Appendix C. 1
    - Consejo del Estado. (2014). Sala de lo Contencioso Administrativo, Sección Primera, acción popular. M.P. Marco Antonio Velilla.

2. Appendix C. 2
    - Contraloría de Bogotá. (2014). Evaluación del programa de saneamiento del Río Bogotá 2008-2013. Bogotá.

3. Appendix C.3
    - Corte Constitucional. (2008). Sentencia T-760 de 2008.

4. Appendix C.4
    - Corte Constitucional. (2010). Auto 245/10.

5. Appendix C.5
    - Defensoría del Pueblo. (2009). La tutela y el derecho a la salud: Período 2006-2008. Bogotá: Defensoría del Pueblo.

6. Appendix C.6
    - Defensoría del Pueblo. (2015). La tutela y los derechos a la salud y a la seguridad social 2014. Bogotá: Defensoría del Pueblo.

7. Appendix C.7
    - Procuraduría General de la Nación. (2008). El derecho a la salud en perspectiva de derechos humanos y el sistema de inspección, vigilancia y control del Estado Colombiano en material de quejas en salud. Bogotá: Procuraduría General de la Nación, Agència Catalana de Cooperació al Desenvolupament, and Dejusticia.

8. Appendix C.8
    - Tribunal Administrativo de Cundinamarca. (2004). Sección Cuarta, Subsección "B," acción popular núm. 01-479. M.P.: Nelly Yolanda Villamizar.

9. Appendix C.9
    - World Bank. (2010, November 11). Informe No. 54311-CO: Proyecto de adecuación hidráulica y recuperación ambiental del Río Bogotá. Washington D.C., World Bank.