

Access to Urban Services for Inclusive Development in Asia

Country Monograph: Vietnam



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Abstract

This paper investigates the relationship between local democracy and different forms of barriers to political and social inclusion of marginalized urban communities, particularly poor people living in slums areas and especially migrant groups in Vietnam. Vietnam had been a highly centralized state until early 1990s, with strictly tight control over the social, economic, and social life of its citizenry. Public services are provided by "public service companies" and "state non-business organizations". Access to basic services like electricity, water, health and education is much easier than in the past, especially after "Doimoi". The government has allowed the private sector to engage in the provision of certain services. However, in the current context of Vietnam, state agencies remain the primary public services provider. The economic boom has brought numerous significant social and political implications, particularly for the new social class of migrant workers. The government's stick to residence-based social policy created many barriers for marginalized groups, which mostly consist of migrants, to urban services including water and sanitation, health, education, and other socio – political rights that urban residents enjoys. The Vietnamese government has recently made significant efforts to remove this barrier. It was expected to make the accessibility of marginalized groups to urban services become easier, especially for immigrants.

Key words: *social inclusion, local democracy, decentralization, urbanization, barriers, marginalized, slums, poor, rural-urban migration.*

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ABOUT VEPR

Viet Nam Institute for Economic and Policy Research (VEPR), formerly known as Viet Nam Center for Economic and Policy Research, was established on July 7, 2008 as a research institute under the University of Economics and Business, Vietnam National University. VEPR has legal status, headquartered at the University of Economics and Business – Vietnam National University, Xuan Thuy Street, Cau Giay District, Ha Noi.

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Ha Noi, May 4th, 2018,

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List of Abbreviations

BOT	Build-Operate Transfer
BTO	Build-Transfer-Operation
BT	Build-Transfer
CPV	Central Party Committee
GDP	Gross Domestic Product
GRDP	Gross Regional Domestic Product
GSO	Vietnam General Statistics Office
HCMC	Ho Chi Minh City
ILO	International Labour Organization
LGBTs	Lesbian, Gay, Bisexual, and Transgender
MDGs	Millennium Development Goals
NUUP	National Urban Upgrading Project
NTPs	National Targeted Programs
OPHI	Oxford Poverty & Human Development Initiative
PAPI	Public Administration Performance Index
SDGs	Sustainable Development Goals
SOEs	State-owned Enterprises
SEDPs	Socio-economic Development Plans
UNFPA	United Nations Population Fund
UNDP	United Nations Development Programme
VUUP	Vietnam Urban Upgrading Project

1. Introduction

The 21st century was marked with the Indian economist Amartya Sen's idea of "development as freedom" (1999), where economic growth is redefined as a means of development instead of an end. According to this perspective, poverty is viewed as "capability deprivation" (Sen, 1999) of multiple dimensions such as education, health care, employment, income, protection, credit, and so on. This idea is adopted worldwide by governments and non-governmental entities. In 2010, Oxford Poverty & Human Development Initiative (OPHI) and the United Nations Development Programme (UNDP) developed the multi-dimensional poverty index (MPI) to measure poverty more comprehensively. Also in this spirit, aspects of freedom other than income are mentioned in policy discussions such as social and political inclusion or sustainable poverty reduction.

The notions of political inclusion and democratic governance are getting more meaningful in developing countries, particularly in places with high urbanization rates and rapid migration from rural areas into urban areas, which helps create a new generation of "second-class" city dwellers who have less access to public goods as well as political rights in their residence. Therefore, it is of significance, both academically and practically, to examine relationships between local governance and different forms of barriers to political and social inclusion of marginalized urban communities, particularly women, youth, migrants and ethnic minorities in developing countries.

Vietnam is a particular case for examination. As a transitional country with a bustling economy, it has the social and economic characteristics of a typical developing nation. As a communist one-party regime, however, the country also possesses a specific political and welfare system that aims to provide a comprehensive coverage for its citizens.

After its Renovation policy (or Doi Moi) with market-oriented reforms initiated in 1986, Vietnam has been one of the fastest growing Asian economies, with the annual growth rate fluctuating around 6 - 7 per cent for the past 30 years. The country has also been considered as a successful model for fulfilling Millennium Development Goals (MDGs), with particular regard to poverty reduction. However, despite such achievements, Vietnam still faces many problems in terms of the quality of growth, sustainable investment and social protection of vulnerable populations, who have been left behind Vietnam's successful stories.

One important consequence of the overall economic growth has been the increase in domestic migration. Nationwide, 13.6% of the population are migrants, of which the migration rate of the population aged 15 to 59 is 17.3% (UNFPA, 2016). Increasing migration reflects not only economic growth but also important regional socioeconomic disparities, particularly between the cities and the countryside, and the growing labour market in large cities and the expanding industrial zones. Up to 19.7% of the urban population are migrants, while in rural areas it stays at 13.4%. 79.1% of migrants originate in rural areas, while the rest (20.9%) have urban origins. The urbanization rate continues to accelerate in the coming time, with the closest estimation of urban dwellers at 40% of the population

in 2020, it is certain that domestic migration and its impacts will pose different challenges for policy makers.

For poverty reduction, for example, it is noteworthy that the country has maintained good record for decades and starts to pay more attention on multi-dimensional poverty. In 2015, the country built multi-dimensional poverty measurement to better capture the poverty situation¹, and also pay more attention to urban poverty. Although urban poverty accounts for the minor part of the overall poverty, it is complex, dynamic, and changing fast. Rapid urbanization rate together with busting internal migration contributes to the importance of the issue.

In addition to poverty reduction, political and social inclusion for marginalized groups in new urban areas also set difficult tasks for the government, both at the national and local level. These include issues ranging from decent work for migrants, affordable housing and healthcare system, education for migrant children, deteriorating living environment, grassroots democracy, among others. The new circumstance requires new understanding from not only policymakers, but also academia, civil society organizations, and international partners on marginalized communities in Vietnamese urban areas.

As such, the monograph aims to examine relationships between local governance and different forms of barriers to political and social inclusion of marginalized urban communities, particularly women, youth, migrants and ethnic minorities in Vietnamese biggest cities. To do so, the authors review (1) global use of social inclusion and social exclusion and (2) social inclusion in the case of Vietnam with a focus on marginalized groups including youth, women, migrants and ethnic minorities.

The monograph's goals are to answer the following questions:

(1) What are the barriers (structural and institutional) to political and social inclusion of the marginalized groups including women, youth, migrants and ethnic minorities in cities and towns in Vietnam?

(2) To what extent and how are the marginalized groups fully engaged in mechanisms and processes of local democracy – including local elections, community organization and participation, accountability and transparency of urban local governments, and better access to basic urban services – to cope with these barriers?

(3) What are the decentralization policy options, innovations and good practices to meet the needs and aspirations of marginalized groups in slums and squatter settlements and contribute to the achievement of SDG 11?

It is important to note that this research will focus on two mega cities of Vietnam, the capital Hanoi and the economic center Ho Chi Minh City (HCMC), with estimated population of 8 to 10 million each. This approach is made due to the fact that these cities account for the largest number of

¹ In the Prime Minister's Decision, No 59/2015/QĐ-TTg

migrants, who perhaps share the biggest portion of marginalized communities in urban areas. Migrants account for above 16% and 20% in Hanoi and HCMC respectively (UNFPA, 2016).

As for the terms used in this research, by “inclusion” we mean equality of opportunities to participate fully in the society (European Commission 2004, Hayes, Gray and Edwards 2008, Stewart 2000, World Bank 2011, Boushey et al. 2007, Levitas 2003). This participation requires multiple factors such as a standard well-being with basic needs met (European Commission 2004, Cappo 2002, Boushey et al. 2007), access to markets and public services (European Commission 2004), political voice (European Commission 2004) and feelings of respect and recognition (European Commission 2004, Hayes, Gray, and Edwards 2008, Cappo 2002, World Bank 2013, Levitas 2003). World Bank (2013), in its most general and up-to-date review of the concept social inclusion, suggested the definition as “the process of improving the terms for individuals and groups to take part in society”, with “the terms” being elaborated as ability, opportunity and dignity; this definition can be possibly said to generalize most of the factors aforementioned.

Though with the same theme, the term “inclusion” is focused on different issues depending on the socio-economic context of a specific country. For example, while United States and UK may be concerned about unemployment, race and chronic poverty, India pays attention to the inequality created by caste system, China about rural-urban inequality, homosexuality, and so on. That is to say, social inclusion is the term heavily depending on a specific context. Consequently, in Vietnamese case, we apply the methodology of measurement and analysis of the inclusiveness of marginalized communities that will be more suitable for the country’s characteristics.

In detail, the authors will combine institutional analysis, survey data, and in-depth interviews of key informants to identify the barriers to political and social inclusion of the marginalized groups in urban areas, understand their current engagement into the local governance system, what kind of limits they are facing with, and the policy options that follow.

The study will use secondary data from Vietnam General Statistics Office (GSO), reports from United Nations agencies (UNDP, UNFPA), World Bank, among others. For empirical data, the authors conduct a brief survey of nearly 100 migrant households in Hanoi and HCMC, along with in-depth interviews conducted with local officials.

The monograph is organized by three main parts. Firstly, the authors will provide the context analysis for Vietnam and the city of case studies (Hanoi and HCMC). Secondly, the authors will use survey data to analyze the situation of migrants in low-income settlements. Thirdly, the authors will synthesize the findings and provide policy implications for the case of Vietnam.

2. National and City Context Analysis



Vietnam had been a communist regime with strict control on the economy, domestic migration, and social policy in a Leninist style before the country adopted market-oriented reform policies in 1986, following what had been doing in China since their own “Open Door” policy in 1978. Consequently, Vietnam has gradually become one of the best economic performers in Asia with a consistent growth rate of around 6 – 7 percent over the past 30 years. The country has been dubbed as the new “Asian tiger”, implying its trajectory of development that resembles that of Asian newly-industrialized countries.

The economic boom has brought many significant social and political implications, particularly for the new social class of migrant workers. From over 80% of population living in rural areas, drastic waves of domestic migration have pushed a large number of population to newly urban areas in city and industrial zones, reducing rural population to 65% in 2016 and expected to fall under 60% in 2020 (GSO, 2017). By the 1990s, the number of cities had reached about 500. Since then, the number of cities continues to increase rapidly. As of December 2016, the country has 795 cities.

Vietnam is experiencing a high rate of urbanization. In a critical review of urbanization in East Asia, World Bank assessed that urbanization in Vietnam has been dramatically accelerated, both

spatially and demographically, as during the 2000-10 decade the country overtook Thailand and the Republic of Korea in the amount of urban land. In terms of population, Vietnam is the sixth-largest in East Asia with 23 million people (World Bank, 2015). The spatial growth of urban land in Vietnam stays third in East Asia, only behind China and Indonesia. World Bank also notes that the rapid rate of expansion in Vietnam's two biggest cities (3.8 percent in Hanoi and 4.0 percent in HCMC per year, respectively) is much faster than other East Asian countries, except China.

The country is suffering from failure to steer urbanization for its development. The huge increase in urban population puts pressure on the cities' housing, infrastructure, services and social-welfare systems. Infrastructure in Hanoi and HCMC is failing to meet demands of the population and new development. When it has been generally agreed that infrastructure stock needs to reach around 70 percent of GDP for an economy to sustain urban growth, Vietnam falls short of this benchmark with its share standing at 47 percent in 2013 (World Bank 2035 report, 2016).

In terms of housing and accommodation, migrants face highly poor conditions of living standards. More than 40% of migrants live in places with areas less than 10m², while this number in non-migrant population is just 16% (UNFPA, 2016). Vietnam is expected to service, upgrade or rebuild an estimated 4.8 million housing units in two main categories: (i) non-permanent houses and (ii) houses that lack basic services (World Bank, 2015).

The household registration system, or *hộ-khẩu* (*hukou* in China), which was used as a tool for social control in the pre-1986 period, proves to be one of the major barriers that discriminates migrants from non-migrant population.

Many migrants (49%) only register temporary residence and 13.5% of migrants were not even registered for temporary residence / temporary absence. This circumstance poses various difficulties for migrants without *Ho khau*, from non qualification for formal banking credits, difficulty for registration of vehicles such as motorbikes, to education for their children. At the same time, qualitative interviews show that registration procedures for *Ho khau* in many places are complex and even require informal costs, i.e. bribes (UNFPA, 2016).

In addition to housing, three main challenges for Vietnam's rising urban areas are providing reliable services of education, health, water and waste management.

In terms of education for migrant children, about 13.4% of migrants with school-aged children (5-18 years old) say that their children are not attending school, according to the report entitled National Domestic Migration Surveillance 2015 by the United Nations Population Fund. The proportion in non-migrant population is 5.5%. The main response to that trend is that they cannot cover the cost of education for their children (46.6%) (UNFPA, 2016). Providing decent education services proves to be a difficult task particularly in Vietnam's biggest cities, as they face with the issues of overpopulation, lack of appropriate investment, and institutional barriers for migrants such as the *Ho khau* system.

Health care is better in urban areas than in the countryside, however, there is still a lot of room for improvement. For example, according to General Statistical Office (2018), the rate of children with malnutrition under 5 years old (according to their weights) is 7.5%.

In addition, the environmental concerns of migrants in big cities namely HCMC and Hanoi have been rising quickly, mainly due to high population density and pollution in these two cities. Issues such as "rising temperatures", "pollution", and "water pollution" are repeatedly mentioned in our in-depth interviews with migrants in the two cities.

Approximately half of the new urban areas have centralized waste water treatment stations, the remaining half have no wastewater treatment stations, causing serious environmental problems (National Report on Environment: Urban areas, Vietnam Environment Administration, 2016). According to GSO (2018), of 781 cities, only 228 cities possessing qualified solid waste management system, and 44 having qualified wastewater management system.

Transportation and construction issues were also mentioned in the in-depth interviews.

In the following parts, the authors will gradually address key issues that are related to urban migrants.

1.1 2.1. Government decentralization policies and programs to accommodate the needs of marginalized groups within the city and nationally

Vietnam had been a highly centralized state before the early 1990s, with strictly tight control over the social and economic life of its citizens. However, this sets changes after market-oriented reforms were introduced in late 1980s, which saw the gradual demolition of the centrally-planned economic system. The economic changes inevitably brought policy changes in terms of political and social governance.

Prompted by episodes of rural protest in Thai Binh province and elsewhere in the 1990s, the governing Communist Party of Vietnam (CPV) has put in place the legal framework for the expansion of direct citizens' participation in local government, or the so-called "grass-roots democracy" in a series of Party guiding documents and then government decrees². In 2007, the National Assembly issued the Order No 34/2007/PL-UBTVQH11 on implementing democracy in local level, officially realizing their CPV's guidance into governing orders.

A study by (Thanh Thuy and Zouikri, 2011) states that decentralization has generally improved Vietnamese local government efficiency, but some indicators are more sensitive than the others, both in de jure and de facto terms.

² Most notably Instruction No 30-CT/TW (1998) by the Central Committee, Decree 29/1998/NĐ-CP by the Government.

In terms of other decentralization policies, after Doi Moi, there are three co-existent and interrelating decentralization processes in Vietnam: fiscal, administrative and political decentralization (Vu, 2016).

2.1.1. Fiscal decentralization

The process of fiscal decentralization in Vietnam can be seen via three important documents- State Budget Law 1996, 2002 and 2015 (amended). State Budget Law 1996 marks an important milestone for fiscal decentralization in Vietnam by, for the very first time, clearly specifying the division of rights and responsibilities between central and provincial governments as well as among different levels of local government with respect to revenue and expenditure. According to the Law on State Budget 2002, tax revenue is shared between provincial and central governments and the rate is kept stable for intervals of five years.

The most recent State Budget Law was approved in 2015 and became effective from the 2017 fiscal year. With regard to decentralization, despite enormous pressures from many provinces demanding a fair share of import tax collected at the provincial level, the new State Budget Law rejects this demand. It nevertheless adds income tax of the so-called overall-sector including SOEs to the tax-sharing list (Vu, 2016).

With those changes, the government wants to strengthen fiscal discipline in the system, from central to provincial level. The amended State Budget Law 2015 specifies the maximum level of debt that provincial governments can mobilize, for Hanoi and HCMC specifically, the ratio between debt and decentralized revenue should not exceed 60 percent. For other provinces with decentralized revenue, maximum ratio is only 20 per cent.

It should be noted that with the decentralizing policies on state budget, people at the local level, in theory, can have a voice in the distribution of the budget via their representatives at the local levels: member of the elected People's Council.

Regarding the decentralization of public investment, the government first issued a regulation regarding investment management and construction in 1999, under which provincial governments are entitled to decide on public investment projects of Category B and C, while decisions concerning the most important projects (i.e., Category A) are retained at the central government. In 2005, the government issued a decree on to allow provincial governments to decide on all public investment projects. However, the list of Category A projects is still decided by the Prime Minister, and the capital amount must be jointly decided by the central and local governments. Decentralization of public investment was extended in 2007 when provincial governments were entitled to ratify the list of and grant licenses for Build-Operate-Transfer (BOT), Build-Transfer-Operation (BTO) and Build-Transfer (BT) projects.

It is important to note that the decentralization of public investment also occurred in the 2000s. For instance, before 2004, provincial governments were given "block funding" for all National Targeted Programs (NTPs), which allowed them to allocate this funding among different NTPs. However, in

2004, the central government retook the rights to allocate NTP funding, and provinces can only allocate funds within each NTP.

On lower administrative level (districts and communes), the government first issued the Circular No. 60/2003/TT-BTC in 2003 to instruct the operation of budget at low level. The Circular then was upgraded into Circular No 344/2016/TT-BTC in 2016 in accordance with the new amended State Budget Law (2015). Both circulars specify the responsibilities and rights of grassroots governments to use budget that they mobilize, as well as set the shares that they can use for their own affairs. This gives a considerable room for local governments to use state budget, including spending for social affairs such as supporting marginalized communities.

2.1.2. Administrative decentralization

Vietnam administratively consists of 63 provinces and 63 local governments accordingly. Officially, local administrative provincial units in Vietnam are classified into four groups. The first group (special administrative units) includes Hanoi and HCMC which enjoy special status. Group I includes three other cities directly under the central government – Hai Phong, Da Nang, and Can Tho – which have higher level of central oversight, but have more space for local affairs and potentially have more access to central funding. The two other groups (II and III) are subjected to a common decentralization framework, depending much on their population sizes, economic development, and to some extent geographical position, according to the Law on Local Government Organizations (2015).

Under the provincial/central city level, the local governments are organized under smaller units by districts and then communes. Officially, communes are the most grassroots level of local governance in Vietnam; however, under communes there are wards/villages/blocks level, which do the jobs of communicating between the people and the commune governance. Village/block chiefs do not have direct salaries from the state budget or full status as state employees, rather they act as a “freelance” communicator and receive a minuscule payment from the commune governance.

The administrative decentralization in Vietnam has gone through three phases of reforms, starting in early 1990s (lasts for 10 years each) and continuing until today (phase 3). The reform, generally, concentrates much on two aspects: the provision of public services and socio-economic development plans (SEDP). In the first phase (1991 - 2001), the main focus was to restructure the state bureaucracy and specify responsibilities of different state branches. The second phase (2001 - 2010) concentrated on 04 main goals: institutional reform, administrative reform, improving state officials' capacity, and fiscal reform. The third phase (2011 - 2020) focuses on perfecting the institution of "market economy with socialist orientation" and building a competitive business environment, in addition to other goals set up in previous phases.

For the provision of public services, the process of decentralization in education and healthcare has been accelerated at the provincial and lower levels during the 1996, 2002 and 2015 State Budget Laws, particularly for education and healthcare. However, it should be noted that provincial governments must follow guidance from the central government, specified in terms of quotas,

standardization, and cost norms. For poor provinces, the share of predetermined expenditure in local budgets can reach 80 to 90 per cent (Kim and Vu, 2008). As such, although in principle most provinces enjoy freedom in allocating local revenues, they are still strictly controlled by the central government.

As regards SEDP, since 2003 local People's Councils (at provincial/district/and commune levels) have been given more authority to draft and verify SEDPs for their levels. Starting from 2004, Provincial People's Councils were able to issue documents in the areas of socio-economic development; budget allocation; defense and security; and people's livelihoods. Accompanied by fiscal decentralization, this is a significant progress towards decentralization in Vietnam.

2.1.3. Political decentralization

Despite much progress in fiscal and administrative decentralizations, political decentralization remains a challenging topic, given Vietnam's strictly-controlled one-party regime. In principle, CPV monopolises the absolute political power in Vietnam, implementing via their ability to nominate, allocate, and dismiss high-level officials in all main government structures from central to local levels. This can be done due to CPV's supreme and sole power in Vietnamese politics, with all of senior government posts requiring Party membership. As a result, even the elected provincial People's Councils and Committees are popularly referred as "Party appoints, people vote" (*Đảng cử, dân bầu*) reality, as the people can only vote for the candidates that CPV already scan and choose.

All key provincial officials are under direct management and supervision by the CPV, who can be classified into three categories. The first category includes Party Secretary, Chairman of People's Council, and Chairman of People's Committee of Hanoi and HCMC, who are suggested and verified by the Politburo of CPV. It is worth noting that Party secretaries of Hanoi and HCMC are members of the Politburo. The second tier are the positions decided by the Central Party Committee and Central Party Secretariat, including chairman and party secretaries of the other provincial People's Council and People's Committee. In a normal process, the position of provincial party secretaries is elected by the People's Committees, then the election will be verified by higher levels of CPV (Central Party Committee). In special cases such as following a dismissal of a punished official, however, this position will be decided directly by the Politburo and the Central Party Secretariat. The chairman of the People's Committee is usually co-chairs the Deputy Secretary post of the CPV provincial branch.

The third category includes those positions that need verifying by the Central Committee. Since 2007, the Vice Chairman of People's Council and People's Committee are no longer subjected to pre-evaluation by the Central Committee, but fully depends on the local provincial People's Committee. It is noted that these positions in Hanoi and HCMC still needs to be verified by the Central Committee, given the strategic importance of these two cities.

Under a lower level of districts and communes, the most notably guiding document is the Party Directive No 30/CT-TW, dated February 18, 1998. As mentioned above, this Directive was issued right after the social unrest in Thai Binh province in 1997, which the Politburo believed to result from "undemocratic practices" of local governments. Later on, this was issued as Decree 29 in 1998,

superseded in 2003 by Decree No. 79. The National Assembly formalized this Directive by issuing the Order No. 34/2007/PL-UBTVQH11 in 2007, titled “Order on implementing grassroots democracy in commune levels”. These “grassroots” policies, along with other various guiding documents, provide new mechanisms for citizens to have more voice over government activities in the grassroots level. These were summed up in the well-known motto of the CPV “people know, people discuss, people implement, and people supervise” (danbiet, dan ban, dan lam, dankiemtra). However, this principle finds it hard to be practically implemented, given the tight control of the CPV in all administrative levels.

The decentralization of Vietnamese governance system, as analyzed above, has given more room for self-determination in several policy areas of local governments, particularly in terms of public services and poverty reduction. However, the process of decentralization in Vietnam remains sluggish, particularly at the grassroots levels. In reality, the CPV still holds much power in designing policies even at the lowest levels.

1.2 2.2. Government’s urban development programs

Since Doi Moi, Vietnam’s urban population grown rapidly, with increasing economic transition toward industrial manufacturing, in terms of both employment and economic output. However, the change is imbalanced: Vietnam’s rapid economic growth is driven by two urban systems, which are Hanoi and HCMC, with high level of industrial concentration within these cities and their surroundings. With few exceptions, small cities grew the least or lost population.

It is thus not surprising that while HCMC and Hanoi has relatively early urban development plans (For example, HCMC with Decision No 20/1993/QD-Ttg ratifying HCMC master planning in 1993 and the similar Decision on Hanoi in 1998), it often takes much later time for other smaller cities to have such plans.

Since early 2000s, with the appearance of Law on Construction (2003) and then its guiding documents (Decree No 08/2005/ND-CP and Decision No 03/2008/QD-BXD), city governance has been much improved in Vietnam, with local governments put more effort on urban planning. This process is enhanced by the Law on Urban Planning, which was ratified in 2010. Consequently, the legal framework for urban planning has been much consolidated for local governance, in terms of both master planning for cities/economic areas and lower level of administrative governance. However, Vietnam’s urban planning programs are still interrupted with misunderstandings of master planning, lack of implementation capability, and lack of efficient coordination mechanism (Centre for Urban Forecast and Research (PADDI), 2014).

Below, we put more detail on the timeline of Vietnam’s urban development policies, which is combined by the Vietnam Urbanization Review, a technical report carried out by World Bank (2011).

Table 1: Government policies to control and guide urban development in Vietnam

Urban Development Policies	Consequences
Central Control of Administrative Boundary Shifts	From 1954 to the present, administrative boundary changes required approval from the central government. This has historically been viewed as an effective tool for controlling city size and encroachment of urban areas onto agricultural lands. With the increase in urbanization since Doi Moi policies in the late 1980s, the loss of agricultural land to urban use is increasing conflicts at the urban fringe of many cities.
Controlling Population Movements and the Demographic Transition	The demographic transition has been largely controlled by the urban residency permission system, which is essentially a Vietnamese version of the Chinese hukou system. This was considered largely effective for its intended purpose from 1954 to 1990. Since 1990 this policy has been relaxed - the effects of which can be seen in the demographic transition since 1990; the urban population rose from 19.5% in 1990 to roughly 30% in 2009. However, remnants of this system may actually still result in an undercount of the actual urban population with many migrants potentially not accounted for in this number.
Urban Service Provision and the Welfare Transition	From 1954 to early 1990s uniform utility rates for the provision of urban services largely discouraged the provision of these services and impacted their quality. In most cases since the 1990s and the 2000s, reforms in service provision have been made to allow for cost recovery in tariffs and an orientation to commercial practices. This has had a general positive impact on increasing access to basic services across all urban classifications. Quality of services remains a problem.
Urban Finance and the Economic Transition	Urban Construction finance from 1954 to the present has been largely controlled through the state and the redistribution of revenues on a per capita basis. This has had a positive impact on equity

	<p>between regions and urban areas. But many cities still struggle to make infrastructure investments necessary to keep them competitive and in pace with demand. There is a growing trend for cities and the private sector to take over urban construction, though large SOEs still dominate in many areas. Land sales are a big component of ‘own source’ revenues that cities have for infrastructure investments. There is growing debate nationally to create new rules for larger cities (e.g. the Law on the Capital City).</p>
<p>Land Markets and the Physical Transition</p>	<p>Urban land markets were largely ignored from 1954 to the 1990s. The 1993 Land Law was a step forward to release land into the land and housing market. Conversion of farmland to urban use accelerated rapidly, though it was considered to have been chaotic due to low levels of legally recognized land use rights and many informal transactions. The 2003 Land Law further grants the use of land as a resource input in business and as eligible for compensation when land is acquired by the government for development. The Land Price Framework (generally lower than ‘market’ rates by 30 - 70%) is intended to stimulate economic development. It is viewed as being successful in attracting real estate investment; but it is also viewed as source of land speculation, land conflicts, and as raising land prices to the end user to benefit the state and property developers at the expense of the original land owners and by the creation of a de facto two tiered land price system.</p>

<p>Transition towards Pro-Urban Policies?</p>	<p>The Government Decree No. 72 (2001) and Decree No. 42 (2009) established city and town classification requirements in an attempt to distinguish between the roles of different cities. The classification system has implications for administrative functions, tax collection and state funding allocations. A possibly unintended consequence has been a trend for cities to exploit loopholes in the classification system to move up in the ranking. These moves are largely administrative and not necessarily based on the actual economic function of the cities.</p> <p>Government Decision No. 10 (1998) on the Urban System and Development Strategy to 2020 called for the development of medium and small sized cities and containing the growth of the largest cities. By 2009, Government Decision No. 445 updating the 1998 Decision with a vision to 2050 accepts the possibility of mega-cities with populations over 10 million. The current thinking is to develop a system of cities that each plays a role in the country's urban economy. However, these Decrees are non-binding, and are seen as only statements of intent.</p> <p>The 2011-2020 Socio Economic Development Strategy de facto accepts that urbanization will be necessary to promote the country's goals of industrialization and modernization.</p>
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Source: World Bank (2011)

1.3 2.3. Overview of slum policies and other government programs

Officially, Vietnam does not have a slum policy, as the country's policymakers are reluctant to recognize "slums" even exists. In 1998, Vietnamese government authorized master plan on urban policy, yet did not have meaningful strategies for efficient urban planning and management. In order to revise it, the government consulted with its international donor assistance to address its urgent need for urban policy, especially focusing on marginalized urban communities.

As the result, from 2001 to 2003, World Bank-managed consultants carried out four in-depth studies to: assess the housing and infrastructure constraints faced by the urban poor; review ongoing national and international urban upgrading programmes; develop a detailed action plan for the city of Can Tho; and prepare a national strategy for expanding upgrading programmes and providing better housing and services to the urban poor (World Bank, 2003).

Following the consultations with World Bank, other partners, and the internal discussions among domestic playmakers, the government launched the Vietnam Urban Upgrading Project (VUUP), a 10-year, USD 417 million project partly funded by international donors to improve living conditions for the poor and make planning processes more inclusive and pro-poor in urban areas. It was piloted in four main cities (Hai Phong, Nam Dinh, HCMC, and Can Tho), serving as a test case for the national urban upgrading programme.

With the success from Phase One, the government has recently authorized Phase Two of the program that extends to seven cities in the Mekong Delta (Vinh Long, Ben Tre, Long An, HauGiang, SocTrang, An Giang, Bac Lieu) (Government Office, 2016).

Along with the pilot project, in 2009 the government also issued Decision No 445/QĐ-TTg to pass the amended Master plan on Vietnam's urban development to 2025 with the prospect to 2050. In the amended master plan, the government raised significant goals for urban development, such as basic areas per person, the rates of land used for traffic infrastructure, etc.

As Hanoi and HCMC are the most important urban areas in Vietnam and have special status, these two cities also have their own programs in urban development and particularly in reducing urban poverty. For example, Hanoi built a Plan on Housing Development 2012 – 2020 towards 2030 which was approved by the Prime Minister Decision No 996/QĐ-TTg, in which Hanoi set the goals to demolish makeshift housing, slums, and unsafe housing by 2020.

Overall, Vietnam has been doing well in terms of basic services such as electricity, water, and education. However, the country is seeing more difficulty in pushing for more hi-quality service. Details can be seen below (World Bank, 2011).

Table 2: Access to basic services in urban areas in Vietnam

Urban services	Accessibility
Electricity	<p>Vietnam, has achieved high coverage of electricity at an incipient stage of urbanization, raising from just 14 percent of total households in 1993, to above 96 percent in 1993 – 2009 period. In urban areas, 100% households have access to electricity</p>
Clean water and sanitation	<p>Vietnam has also done a remarkable job increasing access to water in urban areas. Data from 65 utility companies show that only 12 percent of households in the area covered by the companies had access to the water network in 2002. By 2007 more than 70 percent of the population in the area was connected. Access to water seems to be positively correlated with city size. Data from the Vietnam Water Utilities Database, it is observed that water coverage is higher in larger cities.</p> <p>However, access levels to sanitation are low and also exhibit an uneven distribution across the country. Wastewater collection and treatment, and sanitation infrastructure systems are deficient both in urban and rural areas. Nevertheless, sanitary issue is improving fast in urban areas: from just around 17 percent in 1999, more than 67 percent of households in urban areas had access to a toilet in 2009.</p> <p>Access to sanitation also decreases with city class. While larger cities such as Hanoi have access to sanitation connection rates above 80 percent, smaller cities like Bac Kan have access rates below 15 percent.</p> <p>Wastewater treatment operates at very low levels in Vietnam even in urban areas. In 2004 none of Vietnam’s cities collected or treated municipal wastewater; by 2009, only six cities had wastewater treatment plants (WWTP) built (Da Nang, Halong</p>

	City, Hanoi -West Lake, HCMC-BinhChanh, Da Lat, and Hue)
Education	Vietnam has achieved high primary education enrolments in both its urban and rural regions (almost 90%). However, inequality in education remains high: national averages mask differences between the rich and the poor, between Kinh and Chinese on the one hand and ethnic minorities, and between regions. Completion rates in rural areas are about two-thirds of those in urban areas. In general and as might be expected, the more urban a province is (the higher the share of its population that is ‘urban’), the higher student attainment
Urban Transport and Land Use	80% of all trips in Vietnam’s major cities are made by private vehicles, which slowly create huge problems for Vietnam’s main urban areas as the car ownership has been rising up rapidly in recent years. This comes in the absence of adequate public transit. Hanoi and HCMC are building their first metros and trying to improve the bus system. However, these efforts are strained by the lack of financial resources and inexperience of urban planning.

Source: World Bank (2011)

1.4 2.4. Different schemes and programs of NGOs for slum improvements

Hanoi and HCMC, with their great importance, are the destinations for activities of many international NGOs, particularly in the areas of urban poverty reduction and helping marginalized urban communities. The most notable organizations include Oxfam, ActionAid, Plan International, Care International among others. Oxfam and ActionAid, for example, did a five-year project on urban poverty (2008 – 2012) (Oxfam and ActionAid, 2012).

As mentioned above, World Bank is also a very active stakeholder in slum improvements in Hanoi and HCMC. The VUUP and NUUP help steer the government toward a more inclusive urban development model, with emphasis on broad-based upgrading programmes. The projects have significant access to basic services such as water supply, drainage, roads and in urban areas, with at least 200,000 low-income people now having access to better health centers, kindergartens and primary schools (World Bank, 2003).

Vietnamese NGOs have also been playing a more active part in slum improvements in Hanoi and HCMC. Different groups of NGOs, ranging from LGBT's to education, poverty reduction to rights groups, have made relentless efforts in helping urban poor and marginalized communities. Although civil society is discouraged of independent development in Vietnam, NGOs in Hanoi and HCMC usually enjoy better freedom than other provinces. However, activities from local NGOs remain modest and do not have an effective cooperation mechanism among different stakeholders.

1.5 2.5. Scale of deficits in access of the marginalized groups to urban services

Perhaps the most policy deficit in Vietnamese urban areas, particularly in Hanoi and HCMC, is the government's stick to residence-based social policy. This has helped create a lot of barriers for marginalized groups, who mostly consist of migrants, from accessing urban services including water and sanitation, health, education, and other socio – political rights that urban residence enjoys.

The government, with expectation to have tight control over the population that they did under Vietnam's Soviet-style state management before 1986, discourages spontaneous migration as it will make it harder for population control. As a result, the government uses housing policy to prevent temporary migrants from purchasing and possessing residence at their destination. This residence-based policy depends on *Ho khau*, a Vietnamese version of Chinese *Hokou* system.

This strict policy has made it almost impossible for migrants to own a house, consequently, almost all the migrants have to rent a residence. Most of them seek accommodation in low-quality houses in poor neighborhoods with poor infrastructure. In addition, higher charges are normally applied to temporary residents (without ho khau) for electricity and clean water (which can be implemented by landlords or local governments), and other charges such as fees for rubbish collection, community sanitation, road/lane reparation, security, and so on.

Migrants without Ho khau also have restricted access to affordable health care services, as they are not allowed to buy health insurance at their temporary residence, but at their homeland. It is thus not surprising that migrants are more susceptible to illnesses and diseases. The situation is getting worse with the increasing privatization of Vietnamese health service rising costs of medication.

1.6 2.6. Institutional mapping the functional mandates and boundaries of the agencies that provide services/regulate the urban affairs of cities in Vietnam

According to the Article 1 of Law 85/2015/QH13 and chapter I of Law 57/2014/QH13, people exercise vote for their representatives in National Assembly, which exerts important influence on national policies and governmental personnel. People also exercise vote for their representatives in People's Council at different levels, which exerts important influence on the unit's policies and personnel of the corresponding People's Committee. This is clearly stated in the Article 1 of Law

Note: The numbers in round brackets are of 1986 and in square brackets are of 2015.

Source: Vu ThanhTuAnh (2016)

According to the State Budget Law in 2015, the National Assembly approves the annual budget of the Government as well as allocating to each public sector. The ministries and agencies, including local departments, are responsible for overseeing the implementation of general regulations. For example, the Ministry of Planning and Investment is responsible for issuing investment licenses and approving public investment projects and programs. The Ministry of Finance is responsible for the construction of fees and taxes. The Ministry of Home Affairs is responsible for regulations of personnel in the public sector. Ministries, branches and local authorities are responsible for monitoring specific regulations. The Ministry of Health is responsible for managing health services. Since public services are considered strategically important for socio-economic development, leading Party organizations often have to issue guidelines and directions for development of a number of areas such as public management, culture, education and health.

Table 3: The management organizations for public services

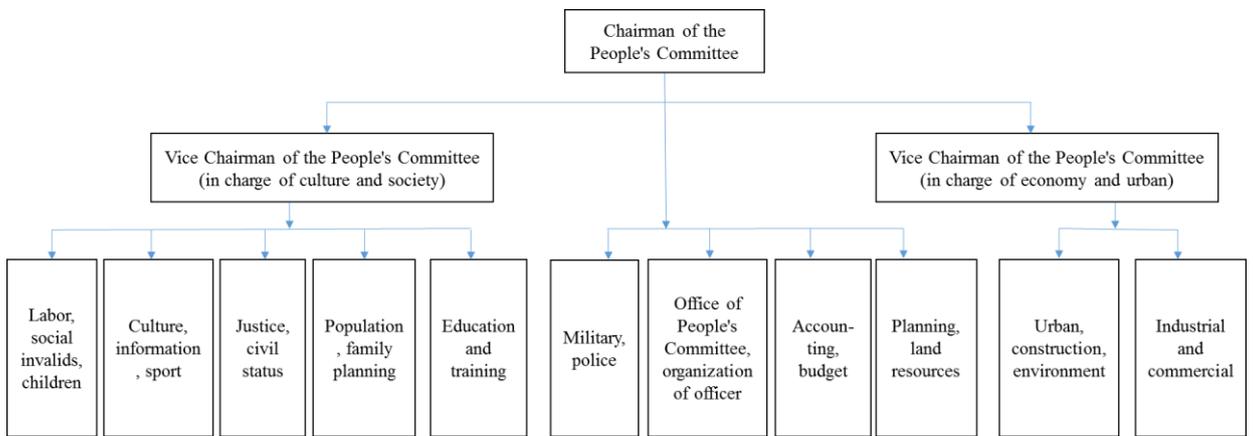
Service sectors	Administrative organizations
State management (public administration)	Ministry of Home Affairs, Party organization (about personnel)
Education and training	Ministry of Education
Social health	Ministry of Health, Ministry of Labour – War Invalids and Social Affairs
Culture, entertainment and sports	Ministry of Information and Communications, Ministry of Culture, Sports and Tourism, Central Commission of Ideology and Culture, Vietnam Television, Voice of Vietnam
The unions	Party organization, The Vietnamese Fatherland Front, Associations
Public and private services	Local government (People’s Committee), and related ministries (local departments)

Source: MUTRAP, 2009

Also regulated in the State Budget Law in 2015, at the local level, specifically at the commune/ward/township level, the government is responsible for providing and executing public expenditure tasks for public service activities. Related to: (i) Education – training and vocational training; (ii) Science and technology; (iii) National defense, security, social order and safety, and local management; (iv) Health care, population and family; (v) Culture and information; (vi) Radio and television broadcasting; (vii) Physical training and sports; (viii) Environmental protection; (ix) Economic activities; (x) Activities of state management agencies, political organizations and socio-

political organizations; to support the activities of socio-political and professional organizations, social organizations, socio-professional organizations in accordance with the provisions of law; (xi) Social security expenditures, including expenditures on implementation of social policies in accordance with law; (xii) Investment in projects managed by localities in the areas specified in Clause 2 of this Article; (xiii) To invest and provide capital support to enterprises providing public goods and services ordered by the State, economic organizations and financial organizations in their respective localities in accordance with the provisions of law; and (xiv) Other expenses as prescribed by law.

Figure 2: Administrative structure of the Commune/Ward/Town in Vietnam

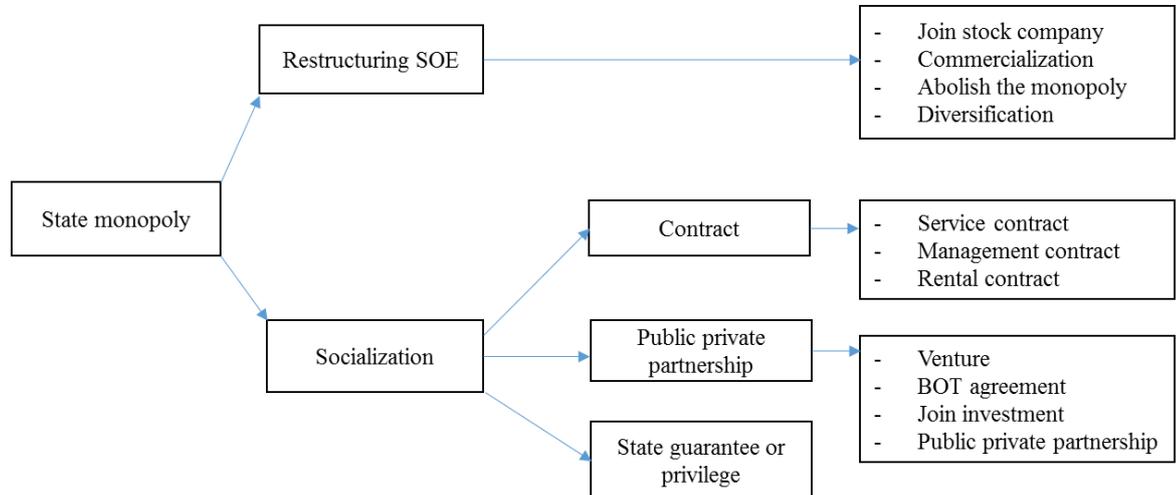


Source: Author compilation.

Before Doi-Moi (1986), the government controlled almost all service activities, ranging from trade, finance, tourism and transportation to education, health, security and defense. Since the beginning of the renovation process, the government has allowed the private sector to engage in the provision of certain services such as security, aviation and notary services. However, in the current context of Vietnam, state agencies remain the primary and not-for-profit public service providers.

Public services are provided by "public service companies" and "state non-business organizations", which are established under state agencies such as the Government, Ministries, departments, People's Committees. According to (CIEM, 2007), public services in Vietnam can be divided into three groups: (i) services are directly provided by state organizations such as public security, defense, public health and other service groups; (ii) services are provided by non-governmental organizations and private entities under government mandates such as the construction of public projects (buildings, roads and public projects); and (iii) services are provided through public-private partnership such as providing basic services such as education, health, water and sanitation to the community with joint efforts between the Government, non-governmental organizations and community organizations.

Figure 3: The transformation of public service providers in Vietnam



Source: (ILO, 1999). Managing the privatization process and restructuring public services (water, gas and electricity). International Labor Office: Geneva. p. 4.

It is important to note, as aforementioned, that the current structure does not cover spontaneous migrants, as the government wants to discourage this form of migration. The government believes that spontaneous migration creates pressures on the overloaded urban social services, infrastructure and employment capacity, as well as social orders. As such, institutionally, there is no government agency to deal with the issues related to spontaneous migration. For example, the Ministry of Public Security deals with Ho khau registration and management, and the Ministry of Labour-Invalids and Social Affairs (MOLISA) does not have a policy tailored to the particular risks posed to these migrants.

1.7 2.7. Institutional mechanisms promoting community organization and participation, accountability and transparency of urban local governments, and better access to basic urban services

- **Participation**

According to the Law on the Election of Deputies to the Parliament and the People's Council (Law No. 85/2015/QH13), the election of Parliament deputies and People's Council deputies shall be conducted on the principle of popularity and equality, direct and secret ballot. However, in reality, the election of deputies to the Parliament as well as the People's Councils from the provincial to the commune level are based on the party nominate – people vote mechanism. The election of these agencies is not really democratic, competitive, and still heavily planned to ensure representation (World Bank, 2016). Ordinary people do not actually directly elect the leaders of these agencies, except electing direct leaders at the village/street level. That people directly elected leaders at village/street level are also clearly defined in Joint Circular No. 01/2005/TTLT/BTTUBTWMTTQVN-BNV guiding the

process of electing, dismissing village/block chiefs. The representative of the household or all eligible voters in accordance with the regulations will participate in the election in the form of a show of hands or secret ballot, ensuring the principle of democracy. Article 13 of the Ordinance No. 34/2007/PL-UBTVQH11 on the implementation of democracy at the commune, ward and township levels clearly states: "The village chief is elected by the people in the village". There are no regulations specifies that immigrants who do not have permanent residence registration will not be allowed to participate in the election process of the village chief where they live. However, according to the survey results of the research team, the percentage of voters in the residential quarters was rather low, only 32.5% of the respondents answered at least once to participate in the election.

- **Accountability**

The Ordinance on the Implementation of Democracy at the grassroots level has focused on communal governments and stipulates four basic rights: "people know, people discuss, people do, people check." These rights are applied in many activities at the commune level, such as the use of public budgets and contributions, socio-economics development plans projects and plans for public investment, land use management, legal documents, administrative procedures and many other activities.

An important milestone in the accountability of local governments is to assign Provincial People's Councils to approve the allocation of local budget revenues to lower levels, criteria and mechanisms for allocation and collection of fees and contributions of people. Local government financial supervision has also been strengthened through the establishment of the State Audit with the function of an independent audit of all state budget revenues and expenditures, including local budgets.

Local governments are accountable to the superiors for budget use. The central authority regulates certain limits and standards that provincial governments must apply when allocating funds to achieve development goals.

- **Transparency**

Since 1998, a number of regulations have been enacted to implement grassroots democracy, encourage people's participation in public meetings, but these regulations have not yet made any clear changes in the structure of commune governments (World Bank, 2016). Article 5 of the Ordinance 34/2007/PL-UBTVQH11 clearly stipulates the transparent contents so that people can know. A total of 11 items are required to be publicized under this ordinance, including regulations on public finance transparency, revenues and expenditures of commune governments. Article 6 of the Ordinance on Democracy in Communes, Wards and Towns (2007) also stipulates that the commune authorities should apply the following forms of publicity: (i) Listed publicly at the headquarters of the People's Council, the People's Committee; (ii) Publicity on the commune radio system; (iii) Publicize through the village head, the head of the residential quarter to inform people.

In 2004, the regulation on public financial transparency was promulgated under the Prime Minister's Decision No. 192/2004/QĐ-TTg, requiring local governments to publicize their estimates and use the annual state budget, supplements from the higher level budget, the collection and payment of the contribution of people. In addition, other mechanisms implemented may also enhance the transparency of local government, such as the mandatory declaration of income and assets for local high-level officials and the obligation to respond people's inquiries within 10 days.

- **Access**

Public services in developing countries are often subject to criticism for lack of infrastructure, lack of service providers such as teachers, doctors, low quality, corruption, non-transparency, bias and discrimination treatment (MUTRAP, 2009). About 10 years ago, electricity and water was a serious problem, affecting the life and production of people in the slums. Many houses were not directly water-supplied and the connection to the sewage system is limited. At the time of the survey, access to water and electricity services of households living in slums along canals and boarding houses was easier (In-depth interviewed with Government officer in HCMC).

Related to sanitation issues, most households do not have septic tanks. The sanitary area is made in a diaphragm, covered by old iron sheets or plastic sheets and discharged directly into the canal. Rented households do not have their own toilets, about 5-6 households share a toilet at the hostel. Local authorities also have support money to build toilets for disadvantaged households. However, such supports are not enough and the disadvantaged households have to pay additional amount of money, which is quite considerable compared to their income.

The survey results show that 76.3% of respondents can approach the educational services. There is still a large percentage of people who do not have access to education services because of economic difficulties. Although access to basic education is still available, there is a high probability of dropping out of school because of insufficient funds to cover tuition fees. According to the Vietnam 2035 Report (World Bank, 2016), the poorer a student is, the less likely they are to graduate from high school or go on to college or university compared to other students.

The survey results also showed that 83.8% of respondents had access to basic health services. According to the Vietnam 2035 Report, 20% of the poorest account for about one third (33%) of visits to medical examination and treatment at the commune level. Meanwhile, 20% of the richest make up nearly half (46%) of visits to central hospitals (World Bank, 2016). The urban poor still face more health risks than the rural poor, including those resulting from the quality of their living environment, traffic safety and air quality, water supply, sanitation and solid waste management, while infectious diseases are always stalking in urban areas such as dengue fever and pulmonary tuberculosis (World Bank, 2016).

As temporary residents have no residence registration, migrants' access to local community institutions and activities are severely limited. Their general social exclusion and isolation is evident in several ways: difficulties in finding employment, low and unstable income, poor living arrangements, home sickness, poor healthcare and labour exploitation.

Half of them said that they took no actions to address these problems, and most of the rest relied on the pre-existing social network of relatives and friends for support. Almost no migrants sought help from official sources, even about their safety, which was one of their key concerns.

The studies also find a very low level of community participation among the migrants. For example, less than 5 per cent of the interviewed migrants participated in community events, such as sports and cultural activities, or local meetings to learn about government policies and programmes, as well as local programmes. By doing so, migrants exclude themselves from useful information and potential supports. When being asked why, the majority of the migrants answered that they did not fit the official categories that would permit them to attend.

They are generally not invited by the local authorities. They are often informed about the local news and activities through their landlords, who attend the local meetings. At some surveyed communities, the landlords are requested by the local authorities to 'keep an eye on tenants [migrants]'. The issue of security for the local community is often mentioned by local police in the regular meetings of residential clusters. Migrants are sometimes referred to as those making the community 'unsafety'. This reinforces the negative view of the community towards them. Migrants consider themselves as 'outsiders', and have minimum or no contact with local residents.

1.8 2.8. Identification of some innovations and or good practices at the national and the city level

Vietnam has made rapid progress in poverty reduction over the past two decades. The country's poverty reduction achievements are recognized along with high economic growth as well as equality-oriented policies such as improved access to basic services, as well as infrastructure development policies to increase opportunities for the poor. Social policies are implemented in various forms, from economic policies, solutions and measures to movements such as: the program of granting free healthcare insurance cards for the poor, mobilizing the building of free-of-charge medical charity funds, etc., has made remarkable efforts in reducing the burden of medical expenses for the poor; priority policy for investment capital for rural areas to upgrade technical and social infrastructure; the state invests and mobilizes the people to contribute to upgrading each residential area and neighborhood, contributing to the improvement of living conditions in the poor residential areas; the program of mobilizing contributes to build "gratitude house, compassion house"; the program of building houses for low-income people... has contributed greatly to social achievement.

In Vietnam, education and healthcare are always given top priority by the Government as stipulated in the Constitution as well as important orientations of the Party and State documents. Education and health are becoming more and more concerned as these two sectors are rapidly changing along with the process of socializing public services. Basic education in Vietnam has improved significantly and the Government continues to demonstrate a strong commitment to innovation in the education system in the country, with particular attention to preschool and primary education. Health

of citizens is improved when they have more access to nutritious food and clean water, as well as better healthcare system (MUTRAP, 2009).

The Vietnamese health system consists of three levels: (i) the basic health system consists of medical units in the districts and production facilities providing basic medical treatment and temporary medical treatment (including commune health units); (ii) provincial and regional health facilities, including regional clinics and health centers, can serve patients who are residents of the area; (iii) central health facilities include central hospitals under the direct administration of the Ministry of Health.

The Vietnamese Constitution has also made a strong commitment to equality for ethnic minorities. Article 5 of the Constitution states that all nationalities are equal, and all forms of discrimination are punished. The Constitution also promises that the state will implement comprehensive development policies for ethnic minorities. The provisions of the Constitution also give priorities to ethnic minorities in healthcare, education, poverty reduction and livelihood enhancement policies.

Vietnam has a significant proportion of people with disabilities – those who frequently confront barriers to accessing services such as medical, education, social assistance, transportation, infrastructure, media, culture and sport (NCCD, 2010). The Government of Vietnam has made some commitments to promoting the rights of disabilities people. The highest commitment is the Law on People with Disabilities adopted in 2010, and the United Nations Convention on the Rights of People with Disabilities adopted by Vietnam in 2015. The Law on People with Disability guarantees them the following rights: (i) equal participation in social activities; (ii) live independently and get on well in the community; (iii) exemption from some contributions in social activities; (iv) enjoy healthcare, rehabilitation, education, vocational training, job creation, legal aid, access to public facilities, transportation, information technology, culture, sports, tourism and other services appropriate to the form and level of disabilities.

The participation of immigrant groups in local jobs is modest. However, the new Residence Law in 2007 has loosened and allowed temporary residents to apply for permanent residency in municipalities and to eliminate geographical restrictions on birth registration. Employment is required for household registration and a written confirmation from the ward, commune or district authorities of the migrant is also compulsory. Household registration accompanies with access to public services and as an entry requirement of many administrative procedures (Marx and Fleischer, 2010).

3. Analysis of Access to Urban Services in Low-income Settlements Based on the Surveys' Data from the Selected Low-income Settlements

1.9 3.1. Institutional mapping

As mentioned above, public services are provided by "public service companies" and "state non-business organizations", which are established under state agencies such as the government, ministries, departments, People's Committees. For instance, in District 4 (in the surveyed area), wholly state – owned public service companies are responsible for providing public services namely urban sanitation, urban drainage, maintenance of parks, trees, streets and alleys in the area. Some basic services such as electricity and water provision are also supplied by some state – owned or private corporations and companies. Citizens, taking the role of consumers will pay for using such services. Local people's committees are managing agencies. According to annual budget allocation, there are current expenditures for healthcare, education and training, culture and sport, environment protection and basic construction and investment, etc.

1.10 3.2. Demographic of survey households

A survey of a selected slum settlements in Hanoi and HCMC was conducted to assess practical barriers to political and social inclusion of the marginalized groups. In each city, 40 households who are living in shelters and slums were interviewed. The total number of participants in both cities was 80 households. In Ha Noi, the research sample is mainly focused on poor working people who are living in shelters with limited living conditions in CauGiay District. In HCMC, the team focused on people living in slums in District 4.

The selection of sites as well as research subjects comes from the natural features of each region. In the North generally and in Hanoi particularly, the phrase "slums" is not widely used. It is difficult to find and locate slums. People living in "slums" in Hanoi are often dispersed and they are mainly migrant workers renting accommodations with low quality. The development of urban areas in Hanoi to the west has led to the formation of more and more low-cost housing for migrant workers in CauGiay district. In HCMC, District 4 is the focus of most slums, especially the area along the canals that has been resided for a long time. Identification as well as access to slum dwellers in HCMC is considered to be easier than in Hanoi. Respondents were selected randomly, based on the basic information provided by the facilitators – the village/block chiefs or commune officials at the survey site.

Table 4 shows the demographic characteristics of survey respondents and household heads. It is clearly seen that the gender of the respondents is quite equal between male and female (46.3% and 53.8% respectively). The average age of respondents is 44.9. In terms of marriage status of respondents, 63.8% of them were married. In particular, this figure in Hanoi was 67.5% and in HCMC was 60%.

For the household heads, 53.8% of them were male and 46.3% were female. Most of them finished secondary school and lower education level. Regarding the health condition of the household

heads, nearly 60% feel very good or normal. However, still up to 40% had some slight physical illnesses. Especially, in HCMC, the rate of household head had some slight physical illnesses was 65%. It is understandable because 70% of the respondents in HCMC are household heads and the average age of respondents was 57.6, much higher than that of Hanoi (the average age of 32.2).

Table 4: Socio-economic information of the surveyed households

	Both provinces		Ha Noi		HCMC	
	No.	%	No.	%	No.	%
Gender of respondents						
Male	37	46.3	15	37.5	22	55
Female	43	53.8	25	62.5	18	45
Gender of household heads						
Male	43	53.8	22	55	21	52.5
Female	37	46.3	18	45	19	47.5
Marriage status of respondents						
Married	51	63.8	27	67.5	24	60.0
Single	17	21.3	12	30.0	5	12.5
Widower	6	7.5	1	2.5	5	12.5
Widow	5	6.3	0	0.0	5	12.5
Divorced	1	1.3	0	0.0	1	2.5
Relation to household heads						
Household head	58	72.5	30	75.0	28	70.0
Spouse	11	13.8	6	15.0	5	12.5
Brother/Sister	2	2.5	2	5.0	0	0.0
Spouse's parent	1	1.3	0	0.0	1	2.5
Son/Daughter	8	10.0	2	5.0	6	15.0
Literacy of household heads						
Cannot read or write	5	6.3	0	0.0	5	12.5
Elementary and lower	17	21.3	2	5.0	15	37.5
Secondary and lower	28	35.0	13	32.5	15	37.5
High school and lower	20	25.0	15	37.5	5	12.5
Bachelor's degree and above	10	12.5	10	25.0	0	0.0
Health condition of household heads						
Very good	15	18.8	14	35.0	1	2.5
Normal	31	38.8	19	47.5	12	30.0
Has some slight physical illnesses	32	40.0	6	15.0	26	65.0
Has some slight mental illnesses	2	2.5	1	2.5	1	2.5
Average age of respondents						
Mean (\pm SD)	44.9 \pm 17		32.2 \pm 10		57.6 \pm 12	

Source: Results of the survey

The research team also asked households for other information such as housing status, toilets types and drinking water supplies. According to the survey, there were 86.3% of households with roofs made from metal sheets, 73.8% of floors were paved and 67.5% of houses are built from brick. In Hanoi, 77.5% of households have roofs made from metal sheets, 77.5% of floors were paved and 87.5% of houses were built from brick. In HCMC, 95% of the roofs were covered with metal sheets, 70% of the floors were paved and only 47.5% of the walls were made from brick. Up to 32.5% of the walls were temporarily built using metal roofing.

In terms of home ownership, only 43.8% were privately owned and 46.3% were rental properties. In particular, the percentage of households owning private houses in HCMC was 85% and 87.5% of respondents in Hanoi were currently renting their accommodations. Almost all respondents in Hanoi and HCMC used daily clean water sources such as tap water or bottled water. The point is that only 56.3% of respondents said their families had toilets. The percentage of households with private toilets in Hanoi was 77.5% and in HCMC was only 35%.

Table 5: Socio-economic information of the survey households (cont.)

	Both provinces		Ha Noi		HCMC	
	No.	%	No.	%	No.	%
Main material of dwelling roofs						
Cement/concrete	9	11.3	9	22.5	0	0.0
Metal/cement roofing sheet	69	86.3	31	77.5	38	95.0
Others	2	2.5	0	0.0	2	5.0
Main material of dwelling floors						
Tiles	59	73.8	31	77.5	28	70.0
Cement/concrete	10	12.5	6	15.0	4	10.0
Soil	3	3.8	3	7.5	0	0.0
Wood	6	7.5	0	0.0	6	15.0
Others	2	2.5	0	0.0	2	5.0
Main material of dwelling walls						
Tiles	54	67.5	35	87.5	19	47.5
Cement/concrete	2	2.5	2	5.0	0	0.0
Wood	6	7.5	1	2.5	5	12.5
Metal roofing sheet	15	18.8	2	5.0	13	32.5
Others	3	3.8	0	0.0	3	7.5
House ownership status						
Hiring	37	46.3	35	87.5	2	5.0
Private	35	43.8	1	2.5	34	85.0
Others	8	10.0	4	10.0	4	10.0

	Both provinces		Ha Noi		HCMC	
	No.	%	No.	%	No.	%
Main sources of drinking water						
Tap water	64	80.0	25	62.5	39	97.5
Well water	1	1.3	1	2.5	0	0.0
Bottled water	15	18.8	14	35.0	1	2.5
Have latrine or not						
Yes	45	56.3	31	77.5	14	35.0
No	35	43.8	9	22.5	26	65.0

Source: Results of the survey

Regarding income, the average income per person each month of households surveyed in Hanoi was VND 2.96 million, 2.4 times lower than GRDP per capita per month in Hanoi in 2017, two times higher than the poverty line applied in Hanoi in the period from 2016 to 2020. Meanwhile, in HCMC, the average income per person per month of households surveyed was VND 1.52 million, 6.9 times lower than the GRDP per capita per month in HCMC in 2017, even lower than the poverty line applied in HCMC. Most of households' members living in slums in HCMC were unskilled labors, which led to low and unstable income. Moreover, the average number of members in a household surveyed in HCMC was 4.6 people, while in Hanoi it was only 2.6. This might be the reason why the average income per capita of the households surveyed in Hanoi was lower than that of HCMC.

Table 6: Average per-person income in Hanoi and HCMC

	VND Million
Average per-person income per month of the households surveyed in Hanoi	2.96
Average per-person income per month of the households surveyed in HCMC	1.52
Poverty line (per month) in Hanoi, 2016-2020	1.40
Poverty line (per month) in HCMC, 2016-2020	1.75
GRDP per capita per month in Hanoi, 2017	7.17
GRDP per capita per month in HCMC, 2017	10.47
GDP per capita per month in Vietnam 2017	4.46

Source: Results from survey, Hanoi Statistics Office (2017), HCMC Statistics Office (2017) and GSO (2017)

1.11 3.3. Community organization and participation

Table 6 shows the frequency of the respondents using the communication media. The survey's result illustrates that, the means of social media that respondents regularly used were television and cell phone with the rates of regular use at 38.8% and 43.8% respectively and highly regular use at 6.3% and

15% respectively. Meanwhile, there was a large percentage of respondents who have never heard of radio (78.8%) and have never used the internet (53.8%).

Table 7: Frequency of use of communication media of respondents in both provinces

	Never		Rarely		Occasionally		Regularly		Very regularly	
	No.	%	No.	%	No.	%	No.	%	No.	%
Newspaper	27	33.8	19	23.8	15	18.8	16	20.0	3	3.8
Radio	63	78.8	6	7.5	8	10.0	3	3.8	0	0.0
Television	20	25.0	7	8.8	17	21.3	31	38.8	5	6.3
Internet	43	53.8	0	0.0	7	8.8	18	22.5	12	15.0
Cell phone	11	13.8	2	2.5	20	25.0	35	43.8	12	15.0
Public announcements	27	33.8	17	21.3	18	22.5	17	21.3	1	1.25

Source: Results of the survey

Only a very small percentage of respondents participate in the community/village leadership, accounting for 3.75% (equivalent to three people). Similarly, the percentage of households with members working in community/village leadership was very small (1.25%).

Table 8: Participation in the community/village leadership board

	Both provinces		Ha Noi		HCMC	
	No.	%	No.	%	No.	%
Members of the community/village leadership						
Yes	3	3.75	0	0	3	7.5
No	77	96.25	40	100	37	92.5
Family members working in community/village leadership						
Yes	1	1.25	1	2.5	0	0
No	79	98.75	39	97.5	40	100

Source: Results of the survey

As regards the number of times participating in voting for community/village leaders, 32.5% of respondents have at least once, meanwhile 67.5% have never voted. These rates in Ha Noi were 7.5% and 92.5% respectively, and in HCMC were 57.5% and 42.5% respectively. Most of respondents in Ha Noi were immigrants, that is why the number of times participating in voting for community/village leader is low.

Table 9: Number of times participating in voting for community/village leaders

	Both provinces		Ha Noi		HCMC	
	No.	%	No.	%	No.	%
At least once	26	32.5	3	7.5	23	57.5
Never	54	67.5	37	92.5	17	42.5

Source: Results of the survey

In terms of the person who has the final word in important community/village issues, 30% of respondents said that it was the community/village leadership, 18.8% thought it was the whole-member conference of villagers and up to 51.3% of respondent said that they did not know. The difference between Ha Noi and HCMC is that while 90% respondents in Ha Noi said that they did not know who makes the final decision, in HCMC, the community/village leadership have an important role when up to 57.5% of respondents said that the community/village leadership decided.

Table 10: Person who has the final word in important community/village issues

	Both provinces		Ha Noi		HCMC	
	No.	%	No.	%	No.	%
Community/village leadership	24	30.0	1	2.5	23	57.5
Whole-member conference of villagers	15	18.8	3	7.5	12	30
Don't know	41	51.3	36	90	5	12.5

Source: Results of the survey

The participation of women in the public affairs of the community/village was quite positive while up to 56.3% of respondents chose frequent participation and only 20% said it rarely happened. 77.5% of respondents said that the participation of women in the public affairs of the community/village was equal compared to that of men.

Table 11: The participation and equality in participation of women in the public affairs of the community/village

	Both provinces		Ha Noi		HCMC	
	No.	%	No.	%	No.	%
The participation of women						
Frequently	45	56.3	24	60.0	21	52.5
Rarely	16	20.0	4	10.0	12	30.0
Almost never	1	1.3	0	0.0	1	2.5
Don't know	18	22.5	12	30.0	6	15.0
Equality in participation						
Yes	62	77.5	30	75.0	32	80.0
No, men play more active roles	3	3.8	1	2.5	2	5.0
No, women play more active roles	3	3.8	2	5.0	1	2.5
Don't know	12	15.0	7	17.5	5	12.5

Source: Results of the survey

Most of respondents in Ha Noi and HCMC said that the communication with other community residents was important (97.5%). Up to 82.5% of respondents communicated with other community residents via meetings in community public space and 53.8% communicated when

dropping by. 51.3% of respondents said that they could borrow materials from their neighbors when necessary and 85% of them could obtain help. Only 38.8% of respondents used to participate in community affairs and 57.5% of them were willing to participate in. These rates in Hanoi were 25% and 77.5% respectively and in HCMC were 52.5% and 37.5% respectively.

In terms of trust, more than 90% of respondents in Ha Noi and HCMC said that they had trust in the community service organization and their neighbors. Up to 96.3% of respondents felt happy when living in their current community. This rate in Ha Noi was 97.5% and in HCMC was 95%. As a result, only 40% of respondents were willing to move to another community and up to 60% were not.

In terms of their willingness to participate in community services, 67.5% of respondents said “yes” while about 58.8% of respondents were willing to encourage other community residents to participate in community affairs. These rates in Ha Noi were 85% and 70% respectively, much higher than that of HCMC (only 50% and 47.5% respectively said “yes”).

Regarding the participation of migrants and ethnic minorities in community affairs, only 23.8% said that they were fully participated in. The main reason for not participating in the community affairs of the migrants and ethnic minorities is that they are too busy to earn for their living and they are not local people.



Table 12: Communication and participation in community/village activities

	Both provinces		Ha Noi		HCMC	
	No.	%	No.	%	No.	%
The importance of communication with other community residents						
Yes	78	97.5	39	97.5	39	97.5
No	2	2.5	1	2.5	1	2.5
How to communicate with other community residents						
Chat when dropping by	43	53.8	18	45.0	25	62.5
Meet in community public space	66	82.5	34	85.0	32	80.0
Via telephone/message/online	4	5.0	2	5.0	2	5.0
Others	1	1.3	0	0.0	1	2.5
Able to borrow materials when needed from neighbors						
Yes	41	51.3	24	60.0	17	42.5
No	39	48.8	16	40.0	23	57.5
Able to obtain help when needed from neighbors						
Yes	68	85	35	87.5	33	82.5
No	12	15	5	12.5	7	17.5
Ever participated in community affairs						
Yes	31	38.8	10	25.0	21	52.5
No	49	61.3	30	75.0	19	47.5
Willing to participate in community affairs						
Yes	46	57.5	31	77.5	15	37.5
No	34	42.5	9	22.5	25	62.5
Trust community service organizations						
Yes	75	93.8	38	95.0	37	92.5
No	5	6.3	2	5.0	3	7.5
Trust other community neighbors						
Yes	74	92.5	38	95.0	36	90.0
No	6	7.5	2	5.0	4	10.0
Feel happy living in current community						
Yes	77	96.3	39	97.5	38	95.0
No	3	3.8	1	2.5	2	5.0
Willing to move to another community						
Yes	32	40.0	17	42.5	15	37.5
No	48	60.0	23	57.5	25	62.5
Willing to participate in community services						
Yes	54	67.5	34	85.0	20	50.0
No	26	32.5	6	15.0	20	50.0

	Both provinces		Ha Noi		HCMC	
	No.	%	No.	%	No.	%
Willing to encourage other community residents to participate in community affairs						
Yes	47	58.8	28	70.0	19	47.5
No	33	41.3	12	30.0	21	52.5
Migrants and ethnic minorities can fully participate in community affairs						
Yes	19	23.8	8	20.0	11	27.5
No	52	65.0	28	70.0	24	60.0
Don't know	9	11.3	4	10.0	5	12.5

Source: Results of the survey

1.12 3.4. Vulnerability assessment

Regarding the preparation of government departments in providing basic urban services such as clean water, electricity, healthcare and education, etc., 52.5% of respondents evaluated that it was well prepared. This rate in Hanoi was 57.5% and in HCMC was 47%. Only a small percentage of their answers was poorly prepared.

Table 13: The preparation of the government departments to provide basic urban services

	Both provinces		Ha Noi		HCMC	
	No.	%	No.	%	No.	%
Poor preparation	6	7.5	5	12.5	1	2.5
Normal	27	33.8	11	27.5	16	40.0
Good preparation	42	52.5	23	57.5	19	47.5
Very good preparation	3	3.8	1	2.5	2	5.0
Don't know	2	2.5	0	0.0	2	5.0

Source: Results of the survey

Only 16.25% of respondents were aware of any development plans of local governments which focus on urban service delivery and management. This rate in Ha Noi was 20% and in HCMC was 12.5%.

Table 14: Aware of any development plans by local government which focus on urban service delivery and management

	Both provinces		Ha Noi		HCMC	
	No.	%	No.	%	No.	%
Yes	13	16.25	8	20	5	12.5
No	67	83.75	32	80	35	87.5

Source: Results of the survey

The disasters that the respondents in the surveyed areas have been confronted with were flood and fire. Up to 57.5% of respondents said that they have faced flood. This rate in Ha Noi was 32.5%

and in HCMC was 82.5%. Meanwhile, 12.5% of respondents have dealt with fire. This rate in Ha Noi was 20% and in HCMC was only 5%.

Table 15: Facing with disasters

	Both provinces		Ha Noi		HCMC	
	No.	%	No.	%	No.	%
Flood						
Yes	46	57.5	13	32.5	33	82.5
No	34	42.5	27	67.5	7	17.5
Fire						
Yes	10	12.5	8	20	2	5
No	70	87.5	32	80	38	95

Source: Results of the survey

In the question “Are the service provision projects of the government or NGOs targeted for youth, women, migrants or ethnic minorities?”, 56.3% of respondents chose “Yes”. However, up to 31.3% said that they “Did not know”. These rates in Ha Noi were 52.5% and 27.5% and in HCMC were 60% and 35%, respectively.

Table 16: Are the service provision projects of the government or NGOs targeted for youth, women, migrants or ethnic minorities?

	Both provinces		Ha Noi		HCMC	
	No.	%	No.	%	No.	%
Yes	45	56.3	21	52.5	24	60.0
No	10	12.5	8	20.0	2	5.0
Don't know	25	31.3	11	27.5	14	35.0

Source: Results of the survey

Only 13.8% of respondents participated in any open budget sessions of the local government. This rate in Ha Noi was moderately at 5% and in HCMC was 22.5%.

Table 17: Participation in any open budget sessions of the local government

	Both provinces		Ha Noi		HCMC	
	No.	%	No.	%	No.	%
Yes	11	13.8	2	5.0	9	22.5
No	69	86.3	38	95.0	31	77.5

Source: Results of the survey

1.13 3.5. Access to urban services

Table 18 shows the ability to access to urban services of the respondents. Accordingly, 92.5% of respondents had access to safe drinking water, 94.9% to community level sanitation and waste

disposal, 83.8% to primary healthcare facilities, 76.3% to education facilities, 98.8% to food, 97.5% to electricity and 75% in terms of restrooms. The notable point is that the proportions of respondents who had access to primary healthcare and education were the lowest of all services. Many households said that they did not even have enough money to go to the clinic or send their children to school.

Table 18: Access to the services

	Both provinces		Ha Noi		HCMC	
	No.	%	No.	%	No.	%
Safe drinking water						
Yes	74	92.5	38	95.0	36	90.0
No	6	7.5	2	5.0	4	10.0
Community-level sanitation and waste disposal						
Yes	75	94.9	40	100	35	89.7
No	5	5.1	0	0	5	10.3
Primary healthcare facilities						
Yes	67	83.8	30	75.0	37	92.5
No	13	16.3	10	25.0	3	7.5
Education facilities						
Yes	61	76.3	30	75.0	31	77.5
No	19	23.8	10	25.0	9	22.5
Food						
Yes	79	98.8	40	100	39	97.5
No	1	1.3	0	0	1	2.5
Electricity						
Yes	78	97.5	40	100	38	95.0
No	2	2.5	0	0	2	5.0
Restrooms						
Yes	60	75.0	36	90.0	24	60.0
No	20	25.0	4	10.0	16	40.0

Source: Results of the survey

There were 31.3% of respondents saying that they received supports during disasters and 10% of respondents received developing supports. These rates in Ha Noi were 7.5% and 5%, in HCMC were 55% and 15%, respectively. These supports were primarily related to health issues, and home building materials from local governments.

Table 19: Receiving supports

	Both provinces		Ha Noi		HCMC	
	No.	%	No.	%	No.	%
Received any supports during disasters						
Yes	25	31.3	3	7.5	22	55.0
No	55	68.8	37	92.5	18	45.0
Received developing supports						
Yes	8	10.0	2	5.0	6	15.0
No	72	90.0	38	95.0	34	85.0

Source: Results of the survey

In terms of the expected role of local government in dealing with service provision and access, the issues that the respondents wanted the local governments to put high priority on children's education, support for the elderly and people with disabilities, healthcare, livelihood, housing, door-to-door awareness campaign and credit of the local governments. Details were presented in Table 20.

Table 20: Expected roles of local government dealing with service delivery and access

Both provinces	Low priority		Priority		High priority	
	No.	%	No.	%	No.	%
Proper public announcement	10	12.5	25	31.3	44	55.0
Helping to build community-level shelters	14	17.5	25	31.3	40	50.0
Mobilizing community members	16	20.0	28	35.0	36	45.0
Door-to-door awareness campaign	4	5.0	16	20.0	59	73.8
Use of community radio	20	25.0	29	36.3	30	37.5
Support for the elderly and people with disabilities	1	1.3	8	10.1	69	87.3
Cleaning and maintaining the shelters	3	3.8	25	31.7	50	63.3
Community-based preparedness	3	3.8	22	27.9	51	64.6
Developing more infrastructure for resilience	7	8.8	26	32.5	46	57.5
Arranging local transport for moving to shelters	19	23.8	26	32.5	34	42.5
Building appropriate infrastructure	4	5.0	27	33.8	47	58.8
Livelihood	3	3.8	15	18.8	61	76.3
Housing	7	8.8	13	16.3	59	73.8
Recovery policy	7	8.8	26	32.5	46	57.5
Healthcare	3	3.8	9	11.3	67	83.8
Credit of the local government	2	2.5	22	27.5	55	68.8
Children's education	1	1.3	1	1.3	77	96.3

Source: Results of the survey

1.14 3.6. Level of overall satisfaction

In terms of overall assessment of sense of safety/confidence, drinking water and community public safety were most assessed as high and very high by the respondents. Other issues namely natural environment, living place, future of their family, government policies, local government, community leadership and the whole society were mostly rated at medium level. Details are presented in Table 21.

Table 21: Overall assessment of sense of safety/confidence

Both provinces	Low and very low		Medium		High and very high	
	No.	%	No.	%	No.	%
Natural environment	8	10.0	46	57.5	26	32.5
Current living place	3	3.8	47	58.8	30	37.5
Drinking water	5	6.3	18	22.5	57	71.3
Community public safety	2	2.5	15	18.8	63	78.8
Future of the family	17	21.3	36	45.0	27	33.8
Government policy	8	10.0	40	50.0	31	38.8
Local government	8	10.0	41	51.3	31	38.8
Community leadership	9	11.3	36	45.0	35	43.8
The whole society	5	6.3	47	58.8	28	35.0

Source: Results of the survey

Regarding the overall satisfaction about the performance of the organizations, 75% of respondents were satisfied with the community/village leadership. 57.5% were satisfied and 22.5% were somewhat satisfied with local government. Meanwhile, nearly a half of respondents were neither satisfied nor dissatisfied with the government agencies at high level like the central government, provincial and municipal governments.

Table 22: Overall satisfaction about the performance of the organizations

Both provinces	Somewhat satisfied		Neither satisfied nor dissatisfied		Satisfied	
	No.	%	No.	%	No.	%
Central government	11	13.8	37	46.3	32	40.0
Provincial government	10	12.5	39	48.8	31	38.8
Municipal government	9	11.3	36	45.0	35	43.8
Local government	18	22.5	16	20.0	46	57.5
Community/village leadership	12	15.0	8	10.0	60	75.0
NGOs	2	2.5	70	87.5	8	10.0

Source: Results of the survey

Table 23 shows the overall assessment of the respondents about the institutional features of local government. Most of features get medium or high rate of satisfaction from the respondents. Some

features got high assessment from the respondents such as gender sensitivity (47.5%), responsiveness to special needs of marginalized groups (45%), politicization of service delivery (43.8%), level of trust by community members (43.8%). As mentioned in **Table 11**, up to 77.5% of respondents said that there was equality in participation of women in the public affairs. It may be why gender sensitivity is highly appreciated. Local government also had well preparation in providing basic urban services, including provided support for the marginalized groups.

Only 23.8% of respondents evaluated corruption of local government at high level and also 23.8% evaluated at low level. This might be a good signal. However, corruption was a sensitive and complex matter. When asked about this issue, the respondents often avoid to answer directly and often give the answer that they do not know (up to 33.8%).

There was a high rate of respondents who did not know about other features such as capacity to plan (53.8%), resource management capacity (35%) and transparency of activities (34.6%). It is not easy for the respondent to make an assessment on these features if they do not have enough time to work and regular contact with government officers.

Table 23: Overall assessment of the institutional features of local government

Both provinces	Low		Medium		High		Don't know	
	No	%	No	%	No	%	No	%
Corruption	19	23.8	15	18.8	19	23.8	27	33.8
Quality of service delivery	4	5.0	33	41.3	41	51.3	2	2.5
Politicization of service delivery	8	10.0	32	40.0	35	43.8	5	6.3
Resource mobilization capacity	10	12.5	33	41.3	22	27.5	15	18.8
Resource management capacity	7	8.8	26	32.5	19	23.8	28	35.0
Equitability of resource distribution	11	13.8	22	27.5	20	25.0	27	33.8
Capacity to plan	4	5.0	18	22.5	15	18.8	43	53.8
Work efficiency	5	6.3	31	39.2	31	39.2	12	15.2
Adequacy of manpower	4	5.0	23	28.8	31	38.8	22	27.5
Transparency of activities	10	12.8	22	28.2	19	24.4	27	34.6
Level of accountability	8	10.0	26	32.5	29	36.3	17	21.3
Community participation	9	11.3	35	43.8	31	38.8	5	6.3
Level of trust by community members	4	5.0	35	43.8	35	43.8	6	7.5
Gender sensitivity	0	0.0	33	41.3	38	47.5	9	11.3
Responsiveness to special needs of marginalized groups	2	2.5	24	30.0	36	45.0	18	22.5
Overall image	5	6.3	39	48.8	32	40.0	4	5.0

Source: Results of the survey



4. Analysis of Data from the City and Low Income Settlements

1.15 4.1. Brief description of innovations and good practices to meet the needs and aspirations of marginalized groups in slums and squatter settlements

4.1.1. Access to public services in disadvantaged areas in Vietnam

Infrastructure development (electricity, roads, bridges, schools, health stations, clean water...) is the outcome of large-scale programs of the Vietnamese government for the poor and ethnic minority groups such as Program 134, 135 (Phase I and II), Program 168 and the Poverty Reduction Program for Central Vietnam. Roads to remote villages, especially in the area of ethnic minorities, which was separated from the rest of the world, are now improved and asphalted that allowed cars to access. For example, transportation system to Sa Thay and Kon Ray districts in the province of Kon Tum was now much more convenient than before that cars could access to the centre of most of the communes in these districts (VASS, 2009).

Road upgrade is considered to be a crucial criteria to improve the ability to access markets of people in remote areas. Goods sale and distribution are easier and transport costs are reduced, which encourages people to produce and trade their goods to raise income. Subsistence farmers now trade their products to increase and vary their income sources (VASS, 2009). Infrastructure upgrade also

allows people in remote areas to have access to social services, raise their education level and improve their health status. Most households have been more willing to send their children to school or go to hospitals at district or provincial level (VASS, 2009).

One of the remarkable changes was the construction of electricity system (Program 135 – Phase II, Poverty Reduction Program for Central Vietnam). Most of households in the concentrated areas now have got electricity, except for ones which scattered too far. With access to electricity, their living standards have been greatly enhanced (VASS, 2009).

Vietnamese government has launched a great number of poverty reduction policies and programs at different levels which bring positive results for people. For example, thanks to Program 135, people in some communes in Lang Son province now have had access to clean water and utilise wasteland for production. In Binh Thuan province, many households were lifted out of poverty thanks to the cultivation of a cross-bred kind of corn which was subsidized, and such households could borrow advanced materials from the government. Moreover, poor ethnic minority households received charity houses and food supports on special occasions, borrowed capital from Vietnam Bank for Social Policies and received a part of free materials for production. There have been about 20 policies and programs for the poor in An Giang so far, with some programs for ethnic minorities only. The Program 134 assists ethnic minorities when they work outside the province, build charity houses, support them to raise cows. Their children can go to school with free tuition, free textbooks, study in district and provincial ethnic boarding schools and can be sent to study in universities and colleges (VASS, 2009).

4.1.2. Participation in Program 30a in poverty reduction

On December 27, 2008, the Resolution No. 30a/2008/NQ-CP of the Government on the support program for fast and sustainable poverty reduction in 61 poor districts was released.

Poverty reduction strategy of Vietnam, including the Resolution No. 30a/2008/NQ-CP, always emphasizes the principle of decentralization and democracy to encourage public participation in planning and implementation of decisions on community socio-economic development. In principle, the co-participation of people will enhance the effectiveness of policies. Thanks to the “co-participation” of the poor in poverty reduction programs, the poor can gradually control their process of getting out of poverty. Nonetheless, currently in Vietnam, co-participation of the poor in implementing poverty reduction policies is passive and only in theory (Le Kim Sa, 2012). In practice, many policies including Resolution No. 30a are top-down policies and shrink the participation of people in “information access”, “consultation” activities in “supervising” phase. Resolution No. 30a also emphasizes only the “promulgation” stage as well as the “people know, people do” stage.

According to the survey results after two years of implementing Resolution No. 30a, there is about 52% of people in surveyed areas knowing about the Program 30a (Le Kim Sa, 2012). Village meetings are still the most effective way to provide information about the program for households with about 93.2% of respondents choosing this means. Via village meetings, poor households are also decided. After local governments receive and distribute supports, every household is invited to the

village meetings to know about the program and how to register for the supports. The list of poor households is first decided by the local government, after that, a village meeting is organized for reselection to ensure the participation of people (Le Kim Sa, 2012).

4.1.3. Transparent Town project in Vietnam

Transparency Town project in Vietnam has been implemented through the cooperation between Towards Transparency and the Provincial People's Committee of Ninh Thuan since 2014. In the 2012 Anti-corruption round-table Dialogue, Towards Transparency introduced the Transparency Town Initiative in Martin, Slovakia to participants. Accordingly, local governments will conduct specific measures to enhance transparency and diminish corruption in public administrative activities. Public finances are significantly saved through the use of electronic auctions, resulting in increasing administrative effectiveness. People actively monitor the effectiveness of local governance through web-portals and direct engagement with town representatives. With high determination to strengthen transparency, Ninh Thuan Provincial People's Committee agreed to establish a partnership with Towards Transparency for the implementation of a pilot transparent town project in the province.

The project assessed transparency in five policy areas in Ninh Thuan, including: (i) management and use of public assets, including lease, sale and management of state-owned premises, working equipment and means, (ii) recruitment of civil servants, (iii) policies to manage and support enterprises, including policies on access to land, access to credit and procurement of public assets, (iv) reform administrative procedures, and (v) resolution of land-related complaints and denunciations.

The assessment team comprised of eight members who specialise in governance, public administration, land and business conducted the assessment in October 2014. The report has revealed key findings on strengths and gaps for improvement in regulations and policies of the province. Moreover, the report also provides practical recommendations and solutions to promote the strengths and narrow the existing gaps. Based on the above proposals of the assessment team, Ninh Thuan Provincial People's Committee determined six practical solutions to implement in the period 2016-2017. Of which, strengthening transparency in state management, increasing information transparency in compliance with the current legal framework and enhancing transparency and publicity in the management (master and specific planning) of land use; construction planning and settlement of complaints and denunciations on land were emphasized.

4.1.4. Case study of vertical accountability

One of the dimension for measuring the Vietnam Provincial Governance and Public Administration Performance Index (PAPI) is vertical accountability. This dimension contains three areas: (i) interactions with local authorities, (ii) accountability and openness of local governments to citizens, and (iii) effectiveness of People's Inspection Boards (CECODE, VFF-CRT and UNDP, 2016).

The sub-dimension of interaction with local authorities measures the effectiveness of accountability and interactions with citizens of cadres and civil servants at local level according to Law on reception of citizens 2013 and current effective regulations. When residents have troubles with their

families, neighbors and local authorities, they can have unscheduled meetings with village heads or regular meetings with cadres/civil servants from commune level to provincial level or through meetings with the National Assembly or People's Councils delegates. According to PAPI Report 2016, about 22% of respondents nationally acknowledged that they used to have meetings with village heads to solve such problems while about 85% of them thought such meetings were effective.

To assess how accountable and open local governments are to citizens, this sub-dimension also include an indicator on the frequency of people's complaints and denunciations sent to local authorities and people's satisfaction of local authorities' responses. According to PAPI Report 2016, nationally, 22.7% of respondents said they used to make suggestions to local authorities, of whom 89% said their suggestions were acknowledged.

The effectiveness of People's Inspection Boards measures the proportion of citizens knowing about the Boards and their performance at local level. The Borad is a grassroots and people-elected mechanism to keep officials accountable to citizens. In theory, People's Inspection Boards should be established in all communes and (Law on Inspection 56/2010/QH2912). Some People's Inspection Boards have discovered corruption and negative activities of officials and taken timely actions to solve the cases. For example, in Dong Nai province, the People's Inspection Board inspected about 1,777 cases in terms of collection and use of provincial budget, collection of fees, welfare payment, collection of other revenues of people, the implementation of democratic mechanism at grassroots level and discovered about 393 cases of wrongdoing and asked for settlement of 354 cases. About 328 cases were successfully solved, a proportion of 92.6% of the total cases (Towards Transparency, 2016). According to PAPI Report 2016, provinces which were the best performers in terms of vertical accountability were Phu Tho, Hai Duong, Ha Noi, Nam Dinh, Quang Tri, Hue, Da Nang, Kon Tum, Quang Ngai, Tay Ninh, Ba Ria-Vung Tau, Dong Thap, Can Tho and Ben Tre.

1.16 4.2. Factors that contributed to effective performance in Vietnam

- **Human resource capacity**

In recent years, Vietnam has always considered state cadres and public employees as a crucial source for the country's development. Along with a great number of directions and policies on enhancing the quality of public employees, the General Program on administrative reform of Vietnam in 2001-2010 was approved by the Prime Minister according to Decision No.136/2001/QD-TTg, which emphasizes the development of public employee equality. There have been about 200 regulated standard titles for cadres and public employees so far, which plays an important role in the management and use of public employees. Especially, the Ordinance No. 11/2003/PL-UBTVQH11 of April 29, 2003, amending and supplementing a number of articles of the Ordinance on Cadres and Public Employees prescribed the titles and criteria for people who are recruited and assigned professional titles at the commune level, which speeds up the standardization and training for public employees at grassroots level.

According to the data from the portal of public administrative reform of the Ministry of Home Affairs, in the period of 2001-2005, the total number of cadres and public employees trained and fostered were about 2,510,000, of which 407,000 employees received training in political theory, 894,000 ones were trained in state management and 1,076,000 ones in specialized knowledge. In terms of training in languages and information technology, the number of public employees were 37,000 and 96,000 respectively. The training materials for public employees were upgraded to be suitable for each trained subjects, such as training and fostering programs for senior-specialists, principal specialists and specialists, and especially training programs for Chairmen of Commune People's Committees. The data also showed that in 2004, there were about 292,000 delegates of People's Councils at different levels being trained to enhance knowledge and skills.

One of the five important targets of the General Program on administrative reform of Vietnam in 2001-2010 is to: "Improve quality of cadres, civil staff and public employees in terms of characteristics, knowledge and skills to serve people and contribute to the development of the economy." According to the Plan on speeding up the civil service reform, it is important to build a "professional, responsible, dynamic, transparent and effective" civil service. According to the Report on inspection of the "Implementation of policies on recruitment, training and appointment of cadres, civil servants and public employees" of the Standing Committee of the National Assembly, by 31st December 2012, the total number of cadres and civil servants had been 535,528 people nationally. Of which, the figures for those holding PhD and master degrees were 2,209 (accounting for about 0.4%) and 19,666 (about 3.7%) respectively while the number of those obtaining bachelor degrees as their highest qualification was 278,198 (about 51.9%) and those receiving training in political theory reached 103,902 people (about 47.8% of the total). Quality of cadres and civil servants at commune level was highly improved with about 53,974 people holding a degree (about 24.8%) and the number of those being trained in state management reaching 103,902 people (about 47.8%) (Truong Quoc Viet, 2016).

- **Integrated plans and policy framework**

After 30 years of renovation (since 1986), the Vietnamese government has demonstrated their role in policymaking and achieved set targets. The timely release of legal documents in areas such as electricity, water, residence, information access as well as regulations on transparency and publicity at local level has created favorable conditions for citizens to easily access basic services, as well as take part in monitoring state agencies' activities. The procedures of policymaking and lawmaking are gradually upgraded which strengthens scientific basis, enhances democracy and attaches importance to consultation of targeted subjects and assessing the impacts of policies. It was clearly regulated in laws on promulgation of legislative documents in 2008 and 2015.

Since 1994, the policy on administrative reform has been implemented. In 2001, the general program on administrative reform was first released then in 2005, strategies on legislative and judicial reforms were signed. The 2013 Constitution continued to create more space for legislative, executive and judicial reforms. So far, there have been legal documents on most of basic areas in economic,

politic, cultural, social aspects and in terms of organization of the state apparatus (World Bank, 2016). The number of laws and ordinances approved by the National Assembly and the Standing Committee of the National Assembly in 29 years of renovation (from 1st January 1987 to 30th June 2015) increased more than eightfold compared to those of 41 years before renovation. In detail, there were 63 laws and ordinances released from 2nd September 1945 to 30th December 1986) while this figure for the period from 1st January 1987 to 30th June 2015 was 524 (World Bank, 2016).

- **Political support and coordination of the political system**

In the political system of Vietnam, the Communist Party of Vietnam always plays the vital role in leading and guiding the harmonious cooperation among organizations. Such organic relations are demonstrated in the forms of guidelines, policies, by the organization of the state apparatus, ensuring smooth and effective working mechanism and operational mechanism (Vu Trong Kim, 2006). Since the 6th National Congress of the Communist Party of Vietnam (1986), the Party has emphasized the mechanism of “the Party leadership, State management and the people’s mastery”. To bring into play democracy in socio-economic development, the Government has taken drastic action in planning in socio-economic development, ensuring basic infrastructure, creating favourable conditions for people to engage in economic activities to enrich themselves, their families and the society. In detail, there are policies in social insurance, public aid, healthcare services and social welfare, housing, access to clean water and environmental protection, v.v... Encouraging the community to participate in social management is regulated in the Ordinance on implementing the democracy regulation at grassroots and promoting self-management of the people and is attached more importance in order to ensure the principle of the people’s mastery.

The Resolution of the 8th Conference of the Vietnamese Communist Party Central Committee in 1996 has stated: “People are encouraged to enrich themselves legally, which contributes to poverty reduction, narrowing the gap of development and living standard among regions, races and classes.” In the 11th Conference, the Vietnamese Communist Party also set the target “Concentrate to solve employment and income for people, as well as enhance material and spirit life of people. Make clear advancement in terms of social equality, social welfare, reducing poor household rate and improve the healthcare system.” Based on the Resolutions of the Vietnamese Communist Party, governments at all level launch synchronously programs in ensuring social welfare, poverty reduction for all social classes with the support from the state budget, the community and domestic as well as foreign donors.

1.17 4.3. Structural and institutional barriers to full engagement of marginalized groups in processes and mechanisms of local democracy

- **Structural and institutional barriers**

According to Oxfam (2015), one chronic barrier which prevents people from migrating and their families from public service access (healthcare, education, housing and clean water) is regulations in budget allocation. Budget allocation is currently based on the number of people who register for

permanent residence in the area, which creates burdens for areas with high proportion of immigrants, posing pressures on technical and social infrastructure. Therefore, local governments will prioritize permanently resided people, especially in terms of healthcare and education service access.

Administrative procedures remain complicated and are difficult to be implemented, which hinders the access to services of beneficiaries. There are a great number of administrative procedures which require people to register for permanent residence, therefore, it is difficult for migrant workers to enjoy social welfare policies. Prices of electricity, clean water as well as procedures in housing, policies for supporting poor households... are all based on Ho Khau, which are clear evidences of policy barriers. According to the study on “Legal and Practice Barriers for Migrant Workers in their Access to Social Protection”³ of Oxfam in 2015, about two thirds of migrant workers have to pay a higher rate of nearly three times for using clean water and about twice for using electricity compared to local residents. Moreover, in areas where local officials understand and are flexible in dealing with administrative procedures relating to migrant workers, migrant workers will have more chances to integrate to the community and have access to social welfare programs such as job introduction, vocational training, poverty reduction, healthcare and education services.

- **Household registration barrier**

First, migrants, as well as the poor, do not have household registration to access to such services. They cannot enjoy policies such as tuition fee and medical fee exemption. Although there are improvements compared to the past, if ones do not have residence registration, it will be difficult for them to access to basic services, namely healthcare, education or electricity and water supply. Secondly, slums are not invested so living conditions in the area are poor. If such areas receive investment to raise their living standard, people will not be willing to leave the area, which cause difficulties in site clearance.

According to Vietnam 2035 Report, Vietnam witnesses the discrimination between urban residence and migrants, which causes the second-class citizens in the urban area (World Bank, 2016). Residence registration through Ho Khau has shrunk the opportunities of urban migrants to access to public services, especially education and healthcare services. People living in the urban areas without permanent residence registration will confront challenges in enjoying healthcare, education, social welfare services, as well as ones in employment and social relationship (World Bank, 2016). According to Marx and Fleischer (2010), Ho Khau is considered as a prerequisite of basic service access and of some administrative procedures. In Vietnam, schools are often overloaded so it can only receive children with permanent residence registration in the area (Vietnam Academy of Social Sciences, 2015). Children without Ho Khau or only having temporary residence registration will have to pay unofficial fees to enroll in public schools. Some cannot attend schools or have to pay a high amount of money

³The study of Oxfam was implemented in 2015 four provinces including Hanoi, Bac Ninh, HCMC and Dong Nai with a total of 808 respondents who were migrant workers.

to study in private schools (Oxfam and ActionAid, 2012). Unofficial fee is a burden for migrant workers, especially when this group often has difficulties in finding jobs and ensuring stable income.

Access to healthcare and support for the poor are challenges for those without permanent residence registration. According to Haughton (2010), such people rarely seek professional healthcare services and only a minority of them register to health insurance. Children at the age of 0 to 6 years old without permanent residence registration also have difficulties in enjoying free healthcare service. According to the Residence Registration Survey in 2015, in HCMC, there were 2.7 million people without permanent residence registration while the figure for Hanoi was 1.2 million people. Such large figures indicate the fact that there are a lot of migrants from rural to urban areas despite barriers and high living costs (World Bank, 2016).

- **Efforts to remove barriers**

The Vietnamese government has taken its first steps to apply a new population management system as an alternative to the current household registration book system. Since 2008, the government has assigned the Ministry of Public Security to study and construct the Population Database. It is a key project whose implementation is sped up according to the government's direction. In which, the application of personal identification number is a breakthrough in terms of administrative reform according to the General Project on simplifying administrative procedures and citizen documents, and population management database in 2013-2020. Such system will play its role in removing burdens of administrative procedures and financial costs from the government and citizens in terms of household registration.

On 30/10/2017, the Vietnamese government has issued Resolution No. 112/NQ-CP on assigning the tasks of simplifying administrative procedures and citizen documents, and population management database to the Ministry of Public Security. Accordingly, the household registration book system as a population management instrument is abolished, which is replaced by the application of personal identification number. Such Resolution is a breakthrough in terms of lifting barriers in public service access which derive from the household registration book system. Nonetheless, not all barriers are expected to be cleared. It will take a period of transitional time for this alternative to come into effect, and for state agencies to get used to the new management instrument, which will surely better serve the people. In big cities like Hanoi and Ho Chi Minh city, it is important to avoid the public service system to be overloaded when the household registration book system is scrapped.

1.18 4.4. Informing pro-marginalized group reforms with regard to urban policies and programs in selected cities, and contribution to the implementation of Sustainable Development Goal (SDG) 11

The sustainable development strategy of Vietnam in the period 2011-2020 has recently been released. The targets of the strategy are heading to sustainable and effective development, accompanying with progressed and equal social, protection of natural resources and environment,

stable socio-political environment, protection of independence, sovereignty, unity and territorial integrity. To fulfill the above targets, priorities have been set including economic, social and environmental targets. The strategy also points out major methods including: (i) continuing to complete the sustainable development institutions; (ii) enhancing the national governance quality towards sustainable development; (iii) increasing financial sources to serve for sustainable development; (iv) promulgating, educating and enhancing the perception on sustainable development; (v) improving the management and implementation of sustainable development; (vi) raising responsibility and participation of enterprises, socio-political organizations, socio-professional organizations, non-government organizations and citizens in implementing sustainable development; (vii) enhancing quality of human resources; (viii) improving roles and influences of technology and science, regularly upgrading technology; and (x) expanding international cooperation (Government of the Socialist Republic of Vietnam, 2012).

All strategies and policies of Vietnam are in accordance with the Sustainable Development Goals 11 (SDG11). Nonetheless, some targets may require extreme efforts to fulfill, such as sustainable urban and rural development, ensuring safe working and living standards in Vietnam. Some areas that Vietnam may lag behind include a safe, affordable, accessible and sustainable transportation system; sustainable and comprehensive urbanization; national planning to create effective economic, social and environmental connections among urban, suburban and rural areas.

Some assessing indicators proposed by the United Nations are not systematically calculated in Vietnam, namely: the proportion of urban citizens living in slums, illegal residence areas or substandard houses; the rate of citizen with full access to public transportation by age, gender; the rate of disadvantaged people with full access to public transportation; the proportion of cities with direct participation of people in municipal planning and management in a regular and democratic way; the proportion of urban citizens participating in municipal and regional development planning accompanying with population forecast and resource demand.

The government should effectively implement policies related to income distribution and poverty reduction, enhance the effectiveness of resources uses, and support marginalized groups who do not enjoy or receive few benefits from economic growth to ensure social welfare and narrow the gap between urban and rural areas, among regions and groups of citizens.

The government should focus on policies for the poor in production supports, vocational training, creating jobs, enhancing income, preferential credit, education and training, healthcare and nutrition, accommodation supports, access to legal services and fully enjoying cultural and information services.

All policies need synchronously implementing, closely coordinating with national, regional as well as provincial development investment, projects and socio-economic plans to ensure the effectiveness and contribute to sustainable and quick poverty reduction.



5. Conclusions

Vietnam had been a highly centralized state until early 1990s, with strictly tight control over the social, economic, and social life of its citizens. Public services are provided by "public service companies" and "state non-business organizations". Access to basic services like electricity, water, health and education is now much easier than in the past, especially after "Doimoi". The government has allowed the private sector to engage in the provision of certain services. However, in the current context of Vietnam, state agencies remain the primary public services provider.

The poverty reduction, political and social inclusion for marginalized groups in new urban areas also set difficult tasks for the government, both at the national and local level. These include issues ranging from decent work for migrants, affordable housing and healthcare system, education for migrant children to deteriorating living environment and grassroots democracy, among others. The economic boom has brought about many significant social and political implications, particularly for the new social class of migrant workers.

On the positive side, the government, both at the central and local levels, have put a great deal of efforts in solving the issues of social inclusions for marginalized groups. Housing is a particular area where government policies have produced good results. In both Hanoi and HCMC, the local governments have specific plans to remove makeshift housing and provide affordable housing for marginalized groups. As regards political participations, there are efforts, albeit small, in encouraging migrants to participate in the socio-political life at the grassroots level as shown in our surveys and in-depth interviews. The survey's results show that 92.5% of respondents had access to safe drinking water, 94.9% to community level sanitation and waste disposal, 83.8% to primary healthcare facilities, 76.3% to education facilities, 98.8% to food, 97.5% to electricity and 75% in terms of restrooms.

On the negative side, the biggest policy challenge for Vietnamese government is to change the residence-based approach in social policy. The government's stick to residence-based social policy created a lot of barriers for marginalized groups, who mostly consist of migrants, from accessing urban services including water and sanitation, health, education, and other socio – political rights that urban residents enjoy. For example, according to the survey results, only 32.5% of respondents had participated at least once in voting for their community/village leaders, meanwhile 67.5% had never voted. These rates in Ha Noi were only 7.5% and 92.5% respectively because most of respondents in Ha Noi are immigrants, that is why the number of times participating in voting for community/village leader is very low. The efforts to remove barriers on accessing to urban services related to household registration system were being implemented by state agencies. However, as mentioned above, not all barriers are expected to be cleared. It will take a period of transitional time for this alternative to come into effect.

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Appendix

1.19 Appendix 1. Note of interviews with representative of commune leader in Ward 1, District 4, HCM city

District 4 has three public utility units, including the agro-industry co-operative, District 4 People's Committee and AnPhuc Company. Most of them are managed by the District and responsible for collecting and treating waste. Ward 1 and Ward 12 (District 4) receive whole utility services. In 2009-2010, An Phuc Company acted as a co-operative, which was supported to collect garbage in some areas. Now Ward 1 and Ward 12 still sign contracts with AnPhuc. Besides, in some residential quarters, residents invest and set up waste collection lines that work very efficiently.

About 3 years ago, in District 4 there were 64 black spots in terms of environmental population, now this figure shrinks to about 30 points. In Ward 1, there are currently two black spots. The reasons for such facts are low awareness of residents and that some residents are migrants. Scraps after repairing houses and old furniture are thrown out to the street. Trash was discarded into the canals and rivers, causing severe pollution.

Ward 1 also regularly performs propaganda on environmental sanitation. Each year, activities like collection and clearance of waste in the canals are conducted but contamination is remained. Ward 1 itself pays for such activities. Averagely, it spends 30 million per year spend on all activities related to environmental sanitation.

People in the neighborhood are also motivated to make some contributions, which are mostly spent on meals and accommodation for sanitation worker, because the Ward's contribution itself is not enough.

100% of people in ward 1 are now having access to clean water. Almost all households are equipped with water-clocks, except for households located in the area subjected to land clearance projects in the slums, which shares water-clocks with other households with an average of 2-5 households sharing a water-clock supplied by Nha Be Water Supply Company. These households are in the area subjected to land clearance projects in the slums, however, such projects are being suspended so no new installation can be carried out. Since the Law on Electricity was released, all households have had electricity meters. In the past when there was no Law on Electricity, so electricity and water were cut off for ten years.

In terms of publicity and transparency, according to regulations, budget allocation of state agencies is open to staff of such agencies. In the neighborhood, budget allocation will be open to the public in monthly meetings de jure and quarterly meetings de facto. The Ward's budget allocation is not open to each street block, only representatives of the block participated in the open budget sessions of the ward. The annual budget allocation is posted at the office of the Ward People's Committee so residents can go there to have information.

In Ward 1, there are about 150 households with no septic toilets. All of the cases are households living in houses on stilts along the canal and it is impossible for such households to build septic toilets. Their digested waste material is still discharged to the river. The Ward provides financial support to build septic toilets for such cases but not for all of households. If a household has a piece of land, the ward will support an amount of about 1 million VND.

About three years ago, Ward 1 often confronted flood but the situation has changed currently. Every October, all wards will report to districts their flood zones. Budget to solve such problems will be estimated and included in the annual budget. The solving process of flooding zones will be conducted in Quarter 2 of the next year. Every year, Ward 1 upgrades and repairs an average of 2-5 lanes. Alleys with regular floods in 2016 such as Alley 79, Alley 315 have been solved, so there are no alleys with floods now.

In terms of supporting people living in slums, Ward 1 currently only support a limited number of cases such as poor, near poor and disadvantaged households. Disadvantaged households are identified by street blocks while poor and near poor households have already been decided by the Ward. Ward 1 will review and send the shortlist to the district. The list of supported households must also be approved by all street blocks.

1.20 Appendix 2. Note of interviews with representative of commune leader in Ward 5, District 4, HCM city

Currently, 100% of households in Ward 5 use tap water. Some households still share one water clock and there are no households with water clocks using well-water or underground water. Representatives of Nha Be Water Company has investigated in the site to identify households that can connect to tap water system.

There are two waste treatment lines in the city. One is state-owned and the other belongs to the private. In accordance with the state regulations, each household has to pay about 15-20 thousand VND per month but if a household produces a great amount of waste, they will have to pay more

Environmentalsanitation is well managed in Ward 5. The district often conducts dredging activities in canals and drains, especially in slum areas. Nonetheless, some houses on stilts have been built for years and prone to collapse, which cause difficulties for dredging activities.

Electricity is fully supplied here. About education and healthcare system, only household doing business can afford to send their children to school. There are not many credit policies for disadvantaged households. The ward government can support some special cases to send their children to school. Tuition fees are reduced for the poor and near poor households. All cases are made possible to access to education except for some children who are not willing to go to school.

In terms of financial support for local disadvantaged households, it depends on the contributions of donors. At present, some disadvantaged households still receive regular supports from

donors. Supports can be a sum of 500,000 VND and 10kg of rice per month. Some households only receive gifts on special occasion.

Administrative procedures are not discriminated among residents. In general, no difficulties are faced by residents. Commune staff are enough to solve local people's inquiries. In some cases, people do not know about the procedures and some are even scared.

Street block chiefs are elected by the residents. In some cases, local socio-political organizations choose a shortlist and local residents elect one person from such list. Some people do not remember if they have attended such election events because they often make decision by raising hands and the event is conducted every five years.

The street block chiefs are responsible for announcing or sending invitations to residents, without the help of public loudspeakers as they have been discarded recently following the campaign in the north of Vietnam. Only a small number of districts in HCMC still utilize public loudspeakers.

1.21 Appendix 3. Note of interviews with representative of village leader in Block No.1, Mai Dich Ward, Ha Noi

In Mai Dich Ward in general and Block No.1 in particular, the whole area was agricultural land. When there are development projects, agricultural land was withdrawn. Local people struggled to find new accommodation and jobs. Some households with a small area of land left built small houses and rent them to migrant workers as their main income. Agricultural households were confronted with a lot of difficulties when their land was withdrawn. Managing migrant workers who rent houses in the local area is quite challenging.

It is difficult to meet migrant workers because they are busy earning for their living, so they hardly participate in local activities such as ones related to environmental sanitation, donation for the poor or people in flood areas. Only those who are local people and have permanent residence registration are mobilized to contribute to such activities.

Access to electricity and water services is very good, because local people pay themselves for such services. In case disruption in supplying electricity and water occurs, local people – regardless of migrants or permanent residents, will contact supplying companies and the companies solve the problems immediately. When public lights in alleys go off, local people will inform responsible agencies and the agencies will come to check as soon as possible.

The leadership group in each street block regularly mobilizes their local people to participate in sanitation activities such as clear removing leaflets or advertisement on the electricity poles or in public areas on every Friday evening and Saturday morning. Migrants are also mobilized but they hardly attend as they are busy earning for their living. Some migrant workers go to work at 3-4 a.m. and arrive home at 9-10 p.m.

Low-quality rent houses are prone to environmental pollution and disease. Infectious disease prevention, for example dengue fever, is regularly promulgated by local government. Preventing actions are conducted freely in both permanent resident area and rent house area.

Education is accessible to all children from migrant or permanent residence households. Nonetheless, temporary residence registration is required for migrants to fully enjoy all benefits. If not, they will have to use education and healthcare services provided by the private sector which are much more expensive. The selection process of poor and near poor households is only decided by households with permanent residence registration. Migrant households have no voices in this process, as well as are not selected to the list.

In terms of transparency, at the end of the year, a meeting is conducted to announce the annual budget allocation to residents.

All households, including migrant households in the street blocks are invited to attend meetings in the areas, especially ones related to social security, environmental sanitation and food safety. In meetings which are conducted to raise money, invitation will not be sent to migrant households but permanent residents.

Election of the street block chiefs is conducted every two years. There will be one representative from each household taking part in the election, excluding migrant ones. A shortlist of candidates is decided by the commune government and the residents elect one in a meeting.