

Methodological Memo for 2020 PAPI Cycle

Edmund Malesky, UNDP and Duke University
Paul Schuler, UNDP and University of Arizona
Do Thanh Huyen, UNDP Viet Nam

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[During the COVID-19 pandemic time, this document is open for regular updates.]

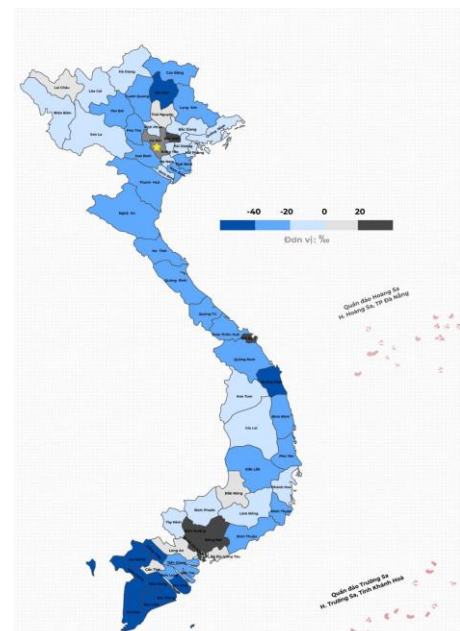
1. OVERALL METHODOLOGY

Sampling

Inter-provincial migration for livelihoods has become a phenomenal trend over the past decade as Viet Nam develops to be a more industrialized, service-oriented, urbanized and modernized nation at the annual growth rate of 6.5 percent. According to the 2019 Census released in early 2020, as many as 12 among 63 provinces have become inter-provincial migrant receiving provinces¹ (see Map 1). In major industrial provinces like Binh Duong, Dong Nai and Bac Ninh, a larger share of populations are migrants-residents with temporary residency registrations. For instance, in Binh Duong, among every 5 persons from the age of 5 years old, one person is a migrant from another province. Similarly, in Ha Noi, Da Nang and Ho Chi Minh City, urbanization and employment opportunities have been major pulls of migrants from other provinces. Meanwhile, six provinces have seen a large number of populations leaving the provinces, including Soc Trang, An Giang, Ca Mau, Hau Giang, Dong Thap and Bac Lieu.

Since 2009, the PAPI sampling strategy has focused on permanent residents (or those with the ‘*ho khai*’ permanent residency status). The strategy has been strictly followed because for provinces to be assessed of their governance and public administration performance in a comparative perspective, they should be measured against efforts in policy implementation and provision of public services within their provincial governments’ mandates and responsibilities. Because of the current Law on Residence, only permanent residents can access most of public services locally provided. Those with temporary residential statuses need to go back to their home provinces for their personal paperwork done and get access to public services in the non-permanent residency statuses. Such differentiation has caused migrants huge challenges while they are contributing to the development of migrant receiving provinces.

Furthermore, PAPI has witnessed biases in its samples over time. This is partly because it has compared its samples against the 2009 Census data. But more importantly, because the PAPI sampling strategy since 2009 has focused on permanent residents, there has been some biases in PAPI sampling over time. For instance, the average respondent age has continually increased over time and is now 49.6 years, which is substantially higher than the national average. Similarly, the share of female respondents is 53%, which is also slightly higher than the country’s gender breakdown. Also, PAPI tends to over-sample party members (11%) and government employees (10%), while under-sampling those that work in manufacturing (7.5%) and services (25%). The reason this is happening is because the younger population



Map 1: Map of Receiving and Sending Provinces by Net Migrant Population (Source: GSO, 2020, p. 105)

¹ See General Statistics Office’s 2019 Census Report (page 104-105)

that works in manufacturing and services is moving out of their home provinces into cities and major industrial provinces. The current sampling strategy is not capturing them. Instead, it is capturing the older, stationary population who did not leave. Meanwhile, PAPI needs to capture national opinions of emerging issues like Covid-19 related challenges, environmental concern, internet usage, and other socio-cultural questions that younger citizens, the millennial generation, are most affected and have the strongest opinions about.

Because internal migration increases, the challenges facing provinces with increasing populations are huge, especially in terms of ensuring equal access to basic public services like education for their children, healthcare and administrative procedures. Also, issues of urbanization, such as crime, traffic congestion, environmental pollution and e-government services in response to overpopulation are emerging, especially in Ha Noi and Ho Chi Minh City. As a result, it has become unfair to compare the performance of these migrant receiving provinces contributing largely to national budget with those that are sending migrants but benefiting from remittances migrants send home and receiving wealth distribution.

In 2020, the National Assembly is discussing major migration reforms in the amendment to the Law on Residence², which aims to remove the distinctive statuses of permanent residency versus non-permanent residency from 2021. Also, the 2019 Census data has allowed for better understanding the latest developments regarding internal migration. Hence, it is the time for the Viet Nam Provincial Governance and Public Administration Performance Index (PAPI) research project to expand its sampling scope to include migrants in a number of largest net migrant receiving provinces.

In 2020, with the deadly Covid-19 pandemic that is affecting the world and Viet Nam, to the extent that lockdowns and border closures are taking place, and precaution measures including restrictive travelling and tracing are being applied, the GIS/GPS as presented in the 2019 Methodology Memo, cannot be feasible. The PAPI technical team suggests an alternative approach to sampling non-permanent residents from sampled communes and villages in PAPI. The approach is to expand the survey population in PAPI to include non-permanent residents. This is to make sure of feasibility for fieldwork amidst heightened security measures in residential blocks in urban areas, and to prevent respondents and enumerators from being potentially affected by the Covid-19 pandemic in case it returns at any moment.

Below are descriptions of the purposes and options for consideration and decision-making. Should this approach work, the PAPI research project can cover the whole population from 2021 onwards using either this alternative method while exploring technology-savvy approaches as PAPI develops further post 2020.

The purposes the expanded sampling strategy are two-fold:

- to reflect the opportunities and challenges receiving provinces are facing while welcoming more people to their provinces, and
- to understand how inter-provincial migrants have been serviced in their new home provinces as non-permanent residents for a certain period of time.

Within the year of 2020, before the official adoption of the removal of the '*ho khau*' status from 2021 as being discussed at the National Assembly, this addendum also aims to experiment the expansion of the sampling strategy to a maximum number of five out of 12 most migrant receiving provinces. According to the 2019 Census, Ha Noi, Ho Chi Minh City, Da Nang, Binh Duong, Dong Nai, and Bac Ninh are the six largest migrant receiving provinces. Therefore, the additional sampling for the 2020 PAPI survey will be set by two options below for the CECODES-VFF-CRT-RTA Consortium to estimates two full package financial offers that reflect both conventional PAPI samples and the expanded samples for UNDP's consideration:

² See the current Law on Residence at http://vanban.chinhphu.vn/portal/page/portal/chinhphu/hethongvanban?class_id=1& page=1&mode=detail&document_id=29515

Option 1: Surveying an additional number of 10 non-permanent residents in each sampled village in all sampled districts of Ha Noi, Ho Chi Minh City, Da Nang, Dong Nai, Binh Duong and Bac Ninh

With this, the sample framework is as follows:

	Binh Duong, Da Nang and Bac Ninh (small)	Dong Nai (medium)	Ha Noi and HCMC (large)	Notes
Survey Locations				
<i>No. of districts</i>	3	6	6	Business as usual
<i>No. of communes</i>	6	12	12	Business as usual
<i>No. of villages</i>	12	24	24	Business as usual
Permanent Residents-Citizens				
<i>No. of targeted permanent-resident respondents per village (minimum)</i>	16	16	24	Business as usual
<i>No. of targeted permanent-resident respondents per village (maximum)</i>	20	20	30	Business as usual
<i>No. of listed standby permanent-resident respondents per village (pax)</i>	10	10	20-40	Business as usual
Sub-total Sample Frame for Permanent Resident Population (from min to max)	192-240	384-480	576-720	Business as usual
Non-Permanent Residents-Citizens				
<i>No. of targeted non-permanent respondents per village (min)</i>	8	8	8	Additional sample
<i>No. of listed non-permanent respondents per village (max)</i>	10	10	10	Additional sample
<i>No. of listed standby non-permanent respondents per village (pax)</i>	5	5	10	Additional sample
Sub-total Sample Frame for Non-Permanent Resident Population (from min to max)	96-120	192-240	192-240	Additional sample
Provincial Sample Range (Total)	288-360	576-720	768-960	Including both permanent and non-permanent sub-groups of populations

Option 2: Surveying an additional number of 10 non-permanent residents in each sampled village in 8 out of 24 villages of Ha Noi, Ho Chi Minh City and Dong Nai; and in all sampled villages in Da Nang, Bac Ninh and Binh Duong

With this, the sample framework is as follows:

	Binh Duong, Da Nang and Bac Ninh (small)	Dong Nai (medium)	Ha Noi and HCMC (large)	Notes
Survey Locations				
<i>No. of districts</i>	3	6	6	Business as usual
<i>No. of communes</i>	6	12	12	Business as usual
<i>No. of villages</i>	12	24	24	Business as usual
Permanent Residents-Citizens				
<i>No. of targeted permanent-resident respondents per village (minimum)</i>	16	16	24	Business as usual
<i>No. of targeted permanent-resident respondents per village (maximum)</i>	20	20	30	Business as usual
<i>No. of listed standby permanent-resident respondents per village (pax)</i>	10	10	20-40	Business as usual
Sub-total Sample Frame for Permanent Resident Population (from min to max)	192-240	384-480	576-720	Business as usual
Non-Permanent Residents-Citizens				
Locations				
<i>No. of districts</i>	3	2*	2*	* Most migrant-receiving districts
<i>No. of communes</i>	6	4	4	Additional sample
<i>No. of villages</i>	12	8	8	Additional sample
<i>No. of targeted non-permanent respondents per village (minimum)</i>	8	8	8	Additional sample
<i>No. of listed non-permanent respondents per village (maximum)</i>	10	10	10	Additional sample
<i>No. of listed standby non-permanent respondents per village (pax)</i>	5	5	10	Additional sample
Sub-total Sample Frame for Non-Permanent Resident Population (from min to max)	96-120	64-80	64-80	Additional sample
Provincial Sample Range (Total)	288-360	448-560	640-800	Including both permanent and non-permanent sub-groups of populations

Option 2 is preferred because it is more affordable logistically and more suitable for a pilot on capturing migrants' experiences and perception. In smaller provinces (Bac Ninh, Da Nang and Binh Duong), we can test where migrants live mostly, while in more populated provinces (Dong Nai, Ha Noi and HCMC) we can test with over-sampling districts with most migrants to make sure that we get them in the survey.

We envision we will have a full list of households from each sampled village. In the 2020 PAPI household sampling lists, we will have two additional columns in each list to classify

- permanent residents (KT1—permanent residents in the commune, and KT2—permanent resident in the province) and
- non-permanent residents (KT3—long-term temporary residents, and KT4—short-term temporary residents).

The village heads will help gather lists of all households in the villages we have sampled over time, and then will mark types of residence on each column provided, so that we have one list with both types of residence (and with specific KT1, KT2, KT3, and KT4) from each village. We will need to guide village heads on how to mark each household's residence type. This is the last stage in the clustered sampling before we select respondents from each household from the PAPI's sampling strategy.

In 2015, the World Bank conducted the 'Household Registration System in Vietnam' survey.³ The face-to-face HRS survey was conducted in 5 provinces (Ha Noi, HCMC, Da Nang, Binh Duong and Dak Nong) by Mekong Development Research Institute, with a total sample of 5,000 respondents. They conducted both quantitative surveys and qualitative interviews. They sampled two districts in each of the five provinces.

Important references regarding temporary residents to refer to when analyzing 2020 PAPI data:

Findings from the survey are interesting and informative for PAPI. In particular, Box 4 on page 39 presents procedures that require permanent 'hộ khẩu' registration books in application files being processed at the ward level in 2014, 10 of which are being included in our commune-level one-stop shop measure (sub-dimension 5.4) in Dimension 5 on Public Administrative Procedures. More importantly, the 2015 HRS found that discrimination/inequality was in access to public education, public participation, access to information, access to health insurance, access to job opportunities in the public sector, and in motorcycle registration. Clearly these are areas that PAPI is covering, and we can disaggregate by types of residency registration to capture in 2020 PAPI Report.

The findings from 2020 PAPI survey that include all types of residents instead of only registered permanent residents will possibly help provide baselines for the implementation of the new Law on Residence (possibly being approved in November 2020 and taking effect from July 2021). The revised Law aims to observe the rights to mobility as provided for in Article 23 of Vietnam's 2013 Constitution for the first time since 1964.

2. INDEXING AND NEW SUGGESTED MEASURES

Since 2020 is the Covid-19 pandemic year, we aim to keep the survey questionnaire short and focused so that we can move to alternative survey methods (e.g. online surveys) when needed. Therefore, the 2020 PAPI Questionnaire will contain questions that are used to construct the PAPI indicators, sub-dimensions and dimensions. We will consider adding a few questions about how provinces respond to Covid-19 pandemic as a public health problem, e-governance services to promote central and local governments' actions to move some key public services online while paying due

³ See <http://documents.worldbank.org/curated/en/158711468188364218/pdf/106381-PUB-P132640-ADD-ISBN-ON-BACK-COVER-PUBLIC.pdf>

attention to the ability, needs and affordability of more disadvantaged groups of population, including ethnic minorities, the poor and people with disabilities.

COVID-19 Response

Overview: How local governments have been responding to citizens' needs and demand during the COVID-19 time is a key question for research to inform central and local governments about their future responses.

Suggestion: To include a battery of questions asking citizens to rate their knowledge of and how their local governments have been responding to the COVID-19 pandemic in terms of access to information, access to the Government's support package and how different agencies have responded to the public health problem.

Gender Equality

Overview: Gender remains a topic of great interests, especially for PAPI donors and UNDP, ahead and during the election year (2021) and during the development of the National Strategy on Gender Equality and SDGs.

Actions:

- To include a battery of questions on gender stereotype towards women and men in everyday governance and political discourses.
- To include on social services that are needed for different groups of people, including those suffering from domestic violence, people with disabilities, people with HIV/AIDs, etc. and to disaggregate by gender during data analysis.

Ethnicity

Overview: We are concerned about inequality and income growth across ethnic groups (apart from gender).

Suggestions:

- The best strategy for this dimension may include looking more deeply at existing indicators, but can be disaggregated by ethnicity (and different groups).
- We may also look at different perceptions of inequality by ethnicity

E-Governance

Overview: We need to expand indicators in this index to make it more robust.

Actions:

- For provincial measures, as per the questions on public administrative procedures, we have added questions on ability to submit application files on "Cổng dịch vụ công trực tuyến" (E-public service portals), and pay electronically for the services processed (Level 3 and Level 4 e-gov services). (See the 2020 Questionnaire, the English version.)
- We have added a question about access to ICT equipment at public primary schools to measure the digital gap experienced by different population groups in Vietnam. (See the 2020 Questionnaire, the English version).

New Policy:

1. Removal of the 'hộ khẩu' regime

- Potential removal of the 'hộ khẩu' regime in 2021. This has been reflected in the refined sampling approach already. Findings from two sub-groups of respondents (permanent vs. temporary) from 6 provinces can inform how this new policy is welcome.

2. The National E-Service Portal

Context: In December 2019, the Government Office (at the auspice of the Administrative Procedures Control Agency—APCA), with the support from the World Bank (funded also by DFAT), launched the National E-Service Portal at <https://dichvucong.gov.vn/p/home/dvc-trang-chu.html>. The Portal aims to centralize and synchronize all online AP services at all levels for Viet Nam. *[This is why we did not include e-services in PAPI surveys in 2019 and earlier.]* Since then, ministries, ministerial agencies and provinces have had to align their e-government platforms and now businesses and citizens can get access to this national e-service portal to get access to respective AP services provided at different levels. Provincial e-service portals can get access through this national portal or their own sites. It seems OOG is advocating and pushing for the use of the national portal as a One-Stop Shop for businesses and citizens across Viet Nam. A lot of services for citizens are not ready online. To date, for citizens, only a few are working as reported by APCA: vehicle registration (police), personal tax payment (tax authorities), social insurance claims (social insurance), and health insurance application (health insurance).

Action:

- To assist the GOV in measuring the use and access of the national e-service portal (cổng dịch vụ công trực tuyến quốc gia), a separate battery of questions has been included in the 2020 PAPI Questionnaire. This, if working, will serve as a national measure, not a provincial one. *(See the 2020 Questionnaire, the English version.)*