## End of Project Report

PROJECT NAME: **REPORTING PERIOD:** 

The Viet Nam Provincial Governance and Public Administration Performance Index (PAPI) Research 1 September 2011 - 30 June 2017

Report prepared by UNDP Viet Nam Country Office with Provisional Results and Outputs Information as of 28 June 2017



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## 1. Project Basic Information

Country/region: VIET NAM						
Name of the project/programme: The Viet Nam Provincial Governance and Public Administration Performance Index (PAPI)						
Main objective of the project/programme: To measure provinces' performance of governance and public administration (i.e. outputs of local governance, public administration and public services that are experienced by citizens at the provincial level) based on experiences and feedback of citizens randomly selected from all 63 provinces in Vietnam.						
Start of project/programme: 1 September 2011	Total duration: 5 years and 10 months					
Start of the last phase: 1 September 2016	End of the last phase: 30 June 2017					
SDC budget in Swiss Francs for the last phase	: 700,000USD = 679,000CHF					
Accumulated SDC budget in Swiss Francs of a Phase 1 (from Sep 2011-August 2014): 2,100,0 Phase 2 (from Sep 2014-June 2017): 2,900,00	000USD = 2,037,000CHF					
Information on partners and/or other donors' cc Accumulated UNDP budget: 1,115,000USD = Phase 1 (from Sep 2011-August 2014): 750,000 Phase 2 (from Sep 2014-June 2017): 365,000U (UN Exchange Rate for October 2016: 1USD = 0.97	1,081,550CHF 0USD = 727,500CHF JSD = 354,050CHF					
Implementing organisation(s): UNDP (in collaboration)	,					
Main National Partners: Vietnam Fatherland       Main International Partners: UNDP         Front, Centre for Community Support and       Development Studies, Ho Chi Minh National         Academy of Politics, and 63 provinces       Main International Partners: UNDP						
Sources of information for the EPROR:         1) Annual Progress and Expenditure Reports (2011-2015)         2) www.papi.org.vn/eng         3) https://www.facebook.com/papivn         4) https://witter.com/PAPI_Vietnam         5) https://www.youtube.com/channel/UCI9N7_31aHZQ5nqP6U_DVfw         6) PAPI Fact Sheet (see Appendix 5)						
UNDP & SDC's External Mid-term Review Rep	ort in 2014					
Date of edition of the EPROR: 28 June 2017						

#### 2. Outcomes and Impact Achieved

The Viet Nam Provincial Governance and Public Administration Performance Index (PAPI) has been the largest annual time-series, citizen-centric, nation-wide policy monitoring tool. PAPI, the first of its kind in Viet Nam, measures the country's performance in governance and public administration as drawn from citizens' experiences with interactions with governments at different levels. PAPI has been implemented by UNDP with its key national partners including the Viet Nam Fatherland Front (VFF) and Center for Community Support and Development Studies (CECODES), a local non-government organization (see Appendix 1 for further detail).

PAPI has aimed to generate information that can improve the performance of local authorities in meeting their citizens' needs by: (i) creating constructive competition and promoting learning among local authorities; and (ii) enabling citizens to benchmark their local government's performance and advocate for improvement. PAPI does so by putting citizens at the heart of Viet Nam's development. As 'endusers' of public administration and public services they are fully capable of assessing the performance of the central and local authorities to support Viet Nam in building a state "of the people, by the people and for the people".

"PAPI remains the only independent assessment tool for public administration performance in Vietnam. This fact alone singles out PAPI as an important achievement."

(UNDP & SDC's External Mid-term Review Report in 2014)

PAPI has been an output and means of verification in the One UN Plan from 2012-2016, which SDC has largely financially contributed to. It supports the UN and the Government of Viet Nam in reaching the Outcome 3.3 "*By 2016, improved performance of the public sector institutions at national and sub-national levels, through enhanced coordination, accountability, transparency and anti-corruption efforts, will reduce disparities and ensure access to public services for the most vulnerable and disadvantaged groups*" in the 2012-2016 One Plan signed between the Government of Viet Nam (GoV) and the United Nations in Viet Nam on 27 February 2012. In particular, PAPI has aimed at contributing to attain two outputs under the Outcome 3.3 below:

<u>Output 3.3.1</u>: Government agencies at the national and sub-national level are able to apply participatory, evidence-based and cross-sectoral approach in planning, implementation and monitoring the public services delivery for the most vulnerable and the disadvantaged groups;

<u>Output 3.3.4</u>: Systems to monitor the performance of government institutions and the delivery of basic public services are evidence-based and include mechanisms for citizen feedback

Below are key highlights of PAPI deliverables that speak to the One Plan Outcome and outputs:

A Mirror Reflecting the Performance of Central and Local Governments in Governance and Public Administration. PAPI has been a matrix that provides evidence about how central and provincial governments have performed on an annual basis from citizen perspectives and experience. It has reflected six dimensions of government performance, including: (i) participation in elections and policy making at the local level, (ii) transparency in decision-making, (iii) vertical accountability, (iv) control of corruption in the public sector, (v) public administrative procedures, and (vi) public service delivery. PAPI has helped different stakeholders in understanding how governance and public administration in Viet Nam has changed over time.

In particular, PAPI findings have been used to inform policy implementation reviews in the GoV and National Assembly (NA) reports over the past years. For instance, PAPI has provided evidence for the Government Inspectorate and the NA Justice Committee to back up their reviews of anti-corruption work for instance before reporting to the NA over the past years.

At the local level, PAPI has generated political interests in all 63 provincial governments, among which more than 36 provinces have issued action plans and policy responses to improve their performance. Provincial governments have been given an external tool to hear their citizens' concerns and to learn from other provinces. More importantly, the 2011-2015 PAPI surveys have coincided with the 2011-2015 government term, while the 2016 PAPI Report set baselines for the new government term from 2016-2021 to review their performance. As such, PAPI reports have been used extensively by different provinces to

examine their past performance and get informed about where they should do better in their current term. (See Appendix 2 for the list of provinces with responses to PAPI to date).

An External Mechanism to Collect Diverse Citizen Feedback. Conducted outside the government system, PAPI has become an increasingly referenced monitoring tool for central and local governments. From 2011-2016, almost 89,000 citizens from different demographic backgrounds were interviewed face-to-face by nearly 3,000 field enumerators recruited directly by CECODES, a UNDP partner in PAPI. By the end of 2017, an addition of about 14,000 citizens will have been directly interviewed for inputs for the 2017 PAPI survey cycle. The citizens were interviewed in neutral settings so that they could feel at ease when being asked about how they rate their local government's performance. The confidentiality of Informants was highly respected, as they were asked sensitive questions about how local governments performed in mobilising citizens in elections and policy making, transparency in decision making, being accountable to citizens, controlling corruption in the public sector, providing public administrative services through one-stop shops and delivering public services. Sensitivity with diverse demographic features of the population has been stressed in data analysis. Gender, ethnicity and social status related indicators are included in all six dimensions of PAPI to have insights into equality or inequality in access to quality governance and public service deliver in Viet Nam.

A Reliable Source of Data to Inform Policy Reforms. PAPI findings have generated extensive discussions on how Viet Nam would move forward with its governance arenas at the policy level. It has gained increasing interest from the NA, with thousands of annual PAPI publications having been requested for its delegates over the past five years. PAPI has been referenced at central government meetings, so has it been used in reports and queries by NA delegates. <sup>1</sup> The NA's first legislation project on developing a Law on Public Administration has been the most recent visible effect of PAPI. Key PAPI findings have been covered extensively on the media and social media, not only after annual PAPI reports were launched. The media has played a critical role in disseminating PAPI to the public. See <a href="http://papi.org.vn/eng/latest-news">http://papi.org.vn/eng/latest-news</a> for details about media coverage of PAPI to date.

An Expanding Population of Direct and Indirect Beneficiaries. Over time, PAPI has expanded the network of direct and indirect beneficiaries. In terms of direct beneficiaries, by the end of the 2017 PAPI survey, about 103,000 citizens from different demographic backgrounds and social statuses, randomly selected from 828 villages in 414 communes selected from 207 randomly selected districts in all 63 provinces, have been informed about different governance and public administration policies in effect in Viet Nam through more than 500 interview questions about the policies and how effective they have been. At the local government level, an estimate of more than 30,000 public officials, civil servants and public employees have been informed about PAPI findings and their provincial action plans through dissemination workshops at the national, regional and provincial levels over the past five years. At the central level, at least 500 NA delegates have been informed about PAPI reports were launched through direct delivery of PAPI publications. Among these NA delegates are always top Vietnam Communist Party leaders and central government officials.

In terms of indirect beneficiaries, about 3,400 young Vietnamese enumerators were recruited and trained during PAPI data collection processes over the course of 7 years. They have been instrumental in transferring their knowledge from PAPI to their social work and jobs in the public sector. PAPI has also provided data and information for different networks of governance-related INGOs and LNGOs in their advocacy work. The People Participation Working Group (PPWG) and the Governance and Public Administration Working Group (GPAR) have been indirectly benefiting from PAPI findings. In addition, many international and national research institutions and researchers have been benefited from high-quality and free-of-charge PAPI datasets. The media has benefited too, as thousands of pieces of news and discussion articles using PAPI findings have been broadcast and posted.

First Publicly Available Data Providing Citizens' Experiences with Governance and Public Administration. PAPI has been well-communicated through different means. Its official website (www.papi.org.vn) has been an interactive gateway for reports, data and

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<sup>&</sup>lt;sup>1</sup> See <u>http://vnexpress.net/tin-tuc/thoi-su/tranh-luan-ve-nhan-dinh-nguoi-dan-co-tu-tuong-chiu-dung-tham-nhung-3490829.html</u> for the latest discussion of PAPI at the National Assembly Fall Session (28 Oct 2016)

provincial responses. In addition, PAPI data have been extensively requested for and used by international and national policy researchers. A Dropbox folder that includes annual raw survey data from 2011-2016 has been created and shared with interested researchers on a free basis but with consent forms by UNDP. Findings from and discussions on PAPI have also been disseminated through PAPI's Facebook, Twitter and YouTube accounts so that the wider public are kept informed and engaged.

#### 3. Outputs and performance, partners and context

#### 3.1. Main outputs, outreach and efficiency by output

Thanks to the close collaboration between UNDP and its national partners (VFF, CECODES, HCMA and many others) and the financial and substantive support from SDC, as well as the substantive support from 24 Advisory Board members over the past seven years, PAPI has generated important outputs. Appendix 3 charts out key outputs and achievements by output. Below are key highlights:

**Output 1: Methodology, Fieldwork and Reporting.** Nearly 103,000 randomly selected citizens nation-wide interviewed face-to-face; about 3,400 young enumerators trained and deployed; more than 210 field controllers trained and deployed; 441 data collection missions conducted in all 63 provinces over the course of 7 years;

Seven (7) annual PAPI reports presenting key national and provincial trends in governance and public administration performance on an annual basis and over time; seven (7) sets of publicly available data for further analysis by interested parties; transparency in empirical research methodology and approaches; innovative methods to data collection using modern technology; <u>www.papi.org.vn</u> website updated and maintained;

**Output 2: Robust International Expertise Incorporated into PAPI.** One Part-time International Expert on Governance Measurement and Indexing; one Part-time International Expert on Sampling and Fieldwork Quality Control, one International Policy Advisor on Public Administration and Anti-corruption/Head of Unit overseeing the PAPI project and one International Copy Editor were involved in each PAPI cycle.

These international experts, together with national experts, delivered annually designed and refined methodology, sampling, data quality control, data analysis, indexing, writing-up of report chapters, and copy-editing and communication advice, ensuring robust PAPI data, reliable findings and high-quality reports.

**Output 3: Policy Dialogues with Provinces of PAPI Dimensional Findings.** All key central and provincial agencies in the state apparatus have been informed about PAPI as the results of 7 national PAPI launches with increasing numbers of participants from more than 100 persons in the 2012 launch to more than 500 persons in the 2017 launch. About 35 regional PAPI workshops with the participation all 63 provinces were convened. In addition, more than 80 provincial and inter-provincial PAPI workshops were organised, with funding from either UNDP or provinces themselves. As many as 61 provinces convened PAPI workshops over the course of 7 years.

At least 36 provinces have issued policy responses or action plans to improve performance. An estimate number of 30,000 public officials, civil servants, public employees from provincial to commune levels have been informed about PAPI.

**Output 4: PAPI Reports Disseminated and Outreached.** Relevant central Vietnam Communist Party and GOV agencies, the NA, 63 provincial governments and People Councils, more than 50,000 public officials, civil servants and public employees, international partners, embassies, key research institutions, the media, INGOs, LNGOs, social media over the course of 7 years.

After each annual launch of PAPI, more than a hundred pieces of news and articles about PAPI findings were posted throughout the year in both Vietnamese and English. Media coverage of and discussions on PAPI findings on different media channels have resulted in more than 45,200 results found on Google upon using key words «Chỉ số Hiệu quả quản trị

và hành chính công + Việt Nam» (PAPI full name in Vietnamese); about 6,580 results found using «Provincial Governance and Public Administration Performance Index + Vietnam», and about 56,200 results for «Chỉ số PAPI» in short in Vietnamese.

**Output 5: Good Practices Identified, Analysed and Advocated.** Good practices identified through PAPI have been further studied in 31 provinces through the action research by the Ho Chi Minh National Academy of Politics (HCMA). Also, policy studies on topical issues have been convened on an annual basis to make use of PAPI data to inform policy discussions and advocacy. Highlights of the research series with ten (10) research papers have been corruption in public service delivery, citizen participation in political life in Viet Nam, land corruption, gender analysis and spot-check experiments (see Annual Progress Reports).

#### 3.2. Change in Context and Contribution

*Change in Context:* In terms of PAPI partners, in 2012, PAPI got the support for fieldwork from the Commission for People's Petitions (CPP) under the NA Standing Committee and VFF at 63 provinces instead of VFF Central Committee. The participation of the CPP ended in early 2013 after VFF Central Committee resumed its political support for PAPI after half-a-year suspension due to miscommunications within the VFF.

In terms of human resources, the first team leader of PAPI, the International Policy Advisor left Viet Nam in December 2014. After nearly six months, the successor came to take up the post until September 2016, when the Associate Country Director and Head of Governance and Participation Team took over the mandate to oversee the PAPI project. The National Policy Analyst, funded by UNDP since 2011, backed up for the international Policy Advisor throughout the project term.

On methodology, PAPI continuously improved its indicators to respond to policy changes during seven years. Also, in 2015, PAPI moved away from printed questionnaires to tabletbased surveys, and from post-fieldwork data entry to real-time data collection. This helped improve PAPI fieldwork and data quality.

*Contribution:* The table below reflects the shares by SDC and UNDP for the PAPI project from September 2011 – June 2017.

	Sep 2011 - Aug 2012	Sep 2012 - Aug 2013	Sep 2013 - Aug 2014	Sep 2014 - Aug 2015	Sep 2015 - Aug 2016	Sep 2016 - June 2017	Total	Share
SDC	500,000	800,000	800,000	1,200,000	1,000,000	700,000	5,000,000	82%
UNDP	350,000	200,000	200,000	115,000	115,000	135,000	1,115,000	18%
Total	850,000	1,000,000	1,000,000	1,315,000	1,115,000	835,000	6,115,000	100%

#### 4. Lessons Learnt

This section summarises key lessons learnt during the implementation of the PAPI project from September 2011-June 2017. It looks at the PAPI approach, innovations during the process of implementation, partnerships with diverse stakeholders, communication and harmonisation and alignment with Viet Nam's institutional settings and legal framework. It also highlights challenges the project has been facing to remain an external monitoring tool to assist Viet Nam to fill the governance gaps for sustainable development and to reach its SDGs.

#### **Contribution to PAPI Achievements**

<u>Approach</u>: PAPI aims to generate information that can improve the performance of local authorities in meeting their citizens' needs by: (i) creating constructive competition and promoting learning among local authorities; and (ii) enabling citizens to benchmark their local government's performance and advocate for improvement. As such, PAPI's approach has been to place citizens at the heart of Viet Nam's development. As 'end-users' of public administration and public services they are fully capable of assessing the performance of the

State and local authorities, and supporting the State in establishing a State that is "of the people, by the people and for the people".

<u>Innovations</u>: Innovations were the core to PAPI success. Over the course of seven years under SDC funding, there were annual revisits and refinements of methodology in terms of sampling, fieldwork procedures, training of field controllers, recruitment of enumerators and survey implementation to make sure of improvements in data quality for improved analysis results. In 2015, PAPI changed from paper-based to tablet-based surveys to improve field survey quality and data credibility. More importantly, there were essential changes to PAPI indicators to reflect policy changes in Viet Nam over time. For instance, after the Land Law 2013 amendment was approved, PAPI's battery of survey questions on land transparency and land use rights were revisited and updated to respond to the policy change. Also, new questions about emerging policy issues or citizen concerns were regularly introduced into and updated in annual PAPI surveys.

<u>Partnerships:</u> Apart from the Vietnam Fatherland Front and CECODES, the Ho Chi Minh National Academy of Politics, UNDP has engaged with an increasing number of national policy advising and research institutions and NGOs (for example the Institute for Legislative Studies, the Training Centre for Elected Representatives under the Standing Committee of the National Assembly, Oxfam, the Asia-Pacific Institute for Management, Mekong Development Research Institute, Institute for Public Policy and Management, Princeton University, the Fulbright Programme in Ho Chi Minh City and provincial socio-economic development institutes). These partners have played a significant role in disseminating PAPI findings to different government levels and to the public at large.

<u>Communications</u>: Diverse means and channels of communications of PAPI outputs and results have been used and embarked on. Over the past seven years, members of the Advisory Board members with diverse professional backgrounds have been key massagers of PAPI. PAPI reports, press release, one-pagers of PAPI findings at the national and provincial levels, annual launches and various follow-up dissemination workshops have been essentials for PAPI to reach its targeted audience as listed in Appendix 1. The PAPI website, <u>www.papi.org.vn</u> and social media channels (<u>Facebook</u>, <u>Twitter</u> and <u>YouTube</u>) have been active to share PAPI outputs and results to the public. PAPI action research by HCMA and different provincially held workshops have helped PAPI findings reach public officials from provincial to commune levels, while these levels of government play an instrumental role in realising public policies on the ground to meet the needs and expectations of citizens.

<u>Harmonisation and Alignment:</u> As PAPI aims to inform policy making by starting from policy implementation, where citizen engagement as a core element, PAPI has been grounded on policy and regulations that have been implemented nation-wide in Viet Nam. The national policy context for PAPI since the date it was piloted in 2009 up to present has been informed by, for instance, the following legislations and policies:

- Viet Nam's Constitution
- Ordinance on Grassroots Democracy Implementation (2007)
- State Administration Reforms in the period from 2011-2020
- Socio-Economic Development Strategy from 2011-2020
- National Anti-Corruption Strategy towards 2020; Anti-corruption Law (2005, 2013), Investigation Law, Law on Complaints, Law on Denunciation, and their by-laws;
- Land Law (2003 and 2013 amendments) and Access to Information Law (2015)
- Viet Nam's Action Plan to Implement Sustainable Development Goals
- Law on Universalisation of Primary Education (1991) and Law on Education (2005), Law on Healthcare and Treatment (2009), and their by-laws

#### **Difficulties and Efforts to Overcome Them**

During the cost of implementation, several difficulties have faced PAPI. Nonetheless, UNDP and its national partners and international experts have made important efforts to overcome them. See the table below about four key difficulties and efforts made to overcome them.

Difficulties/Challenges	Efforts to Overcome
PAPI is an external policy monitoring tool, so it has been difficult for central and local governments to receive PAPI in the first two years.	Communications through different means and channels as mentioned earlier; continuous policy dialogues and discussions with national and provincial governments, the National Assembly, and other key institutions; regular engagement with the media
PAPI has been implemented by non-state or semi-state agencies, so it is difficult to be institutionalized in the work of a national partner (even the VFF).	Continuous dialogues with and advice to different state agencies have been undertaken to integrate PAPI indicators and methodology have been made. To date, PAPI has contributed to the formulation of the Public Administration Performance Index by the Ministry of Home Affairs, the citizen satisfaction survey on public administrative procedures and one-stop shops by MOHA, the system of monitoring and evaluation of corruption and anti- corruption work by the Government Inspectorate. PAPI methodology and indicators have also been introduced to the Ministry of Education and Training for their development of an M&E system for the education sector. It has also been source of inspiration for the Ministry of Health to develop their M&E system. At the provincial level, at least 36 provinces have internalized PAPI findings to their action plans to improve their performance. Bac Ninh has introduced one of PAPI's side output—the 'For People' (4P) application into the province's M&E system to collect citizen feedback through smartphones. Quang Tri's M-Score system has been developed as a result of PAPI inspiration.
There have been key changes in the project contexts (i.e. the lack of consensus within VFF Central Committee to support PAPI implementation in 2012 and the change in PAP team leaders in 2015 and 2016).	UNDP and its partners have coped with the changes in a flexible, cooperative and timely manner. For the lack of the consensus within VFF Central Committee in 2012, UNDP and CECODES brought in the Commission for People's Petitions from the NA Standing Committee to back up 63 provincial VFF committees. This was possible thanks to the Advisory Board members, among whom a vice chairman of the Commission played an instrumental role. On the change in team leaders of PAPI project within UNDP in 2015 and 2016, there was prompt response from UNDP Senior Management to fill in the gap, by temporary supervision by a Deputy Country Director while the recruitment process for a successor in 2015, and hand-over of the project to be under the direct supervision of the Assistant Country Direct cum Head of Governance and Participation Unit from September 2016. During the course of the changes, the National Policy Analyst played an instrumental role in leading the project to move forward as usual business.
There has been an increasing demand for PAPI to be as comprehensive as possible to support monitoring and evaluation of different sectors and targets.	PAPI has been revisited each year to accommodate urgent needs for data and information to inform key policy changes. UNDP also has noted that 'no one size fits all' for PAPI to be as grounded and as answerable for citizens as possible. For any request that PAPI cannot accommodate, PAPI methodology and principles have been shared openly with interested parties.
Funding for PAPI to be sustainable into the future is a challenge.	UNDP has called for financial support from different donors. In addition, UNDP has developed its strategy to call for full/partial cost-sharing from the Government of Viet Nam and local governments. The prospect for cost-sharing for provincial diagnostic workshops is promising, as an increasing number of provinces have started fully funding PAPI diagnostic workshops to raise awareness among public officials about how their citizens perceive of their performance.

### 5. Exit Strategy and Scaling Up

The PAPI initiative is expected to be continued after June 2018. Active efforts in raising funds for PAPI have been undertaken by UNDP with tremendous facilitation from SDC before phasing out of its Viet Nam's country support by end-December 2016.

On institutionalisation of PAPI, there has not been an agreed plan with the Government of Viet Nam to co-fund PAPI, as PAPI is still seen as an external tool for monitoring of governance and public administration performance from citizen perspectives. During its future implementation, PAPI will be institutionalized in a way that it can ensure its objectivity, robustness and reliability. UNDP has started discussing with central and local governments on government cost-sharing to institutionalise PAPI, while advocating for PAPI to maintain its rigor and independence by providing UNDP's expertise and technical assistance. Discussions with relevant stakeholders are underway.

On replicability and scaling up, policy dialogues with central and provincial governments have been instrumental to engage and transfer the ownership of action plans to provinces. As of the end of the project, about 40 provinces have come up with their own decisions and action plans to respond to PAPI findings. Continued dialogues with provinces will be conducted upon release of annual PAPI reports in the future to advocate for bottom-up change.

It is encouraging that central and local government agencies have started financing the diagnostic workshops to hear about PAPI findings. By creating such demand for PAPI from the governments at all levels following an incremental approach, it is highly possible that PAPI will be integrated into the national statistical system in the medium term.

## Appendix 1. A Snap-shot of PAPI (2009-2017)

PAPI:	The Viet Nam Provincial Governance and Public Administration Performance Index					
Aims:	PAPI aims to generate information that can improve the performance of local authorities in meeting their citizens' needs by: (i) creating constructive competition and promoting learning among local authorities; and (ii) enabling citizens to benchmark their local government's performance and advocate for improvement.					
Approach:	Citizens are at the heart of Viet Nam's development. As 'end-users' of public administration and oublic services they are fully capable of assessing the performance of the State and local authorities, and supporting the State in establishing a State that is "of the people, by the people and for the people".					
Beneficiaries:	<ul> <li>Vietnamese citizens</li> <li>63 Provincial Governments (including Provincial Party Committees, People's Committees, People's Councils) and their district and commune affiliates</li> <li>Relevant central agencies (the Viet Nam Communist Party, the National Assembly, the Government and its ministries)</li> <li>The media, mass organisations and civil society organisations</li> <li>The research community in Viet Nam and abroad</li> <li>The international community in Viet Nam and abroad</li> </ul>					
What PAPI measures:	<ul> <li>Six dimensions, 22 sub-dimensions, 92 indicators, 516 substantive questions about Viet Nam's policy matters</li> <li>Participation at Local Levels</li> <li>Transparency in Local Decision-Making</li> <li>Vertical Accountability</li> <li>Control of Corruption in the Public Sector</li> <li>Public Administrative Procedures</li> <li>Public Service Delivery</li> </ul>					
Method: Face-to	-face interviews Duration: From 45-60 minutes on average					
<ul><li> 207 districts</li><li> 414 commun</li></ul>	II 63 provinces and municipalities in Viet Nam since 2011, covering (including 64 capital districts and PPS sampled districts) <sup>2</sup> es (including district-seated communes and PPS sampled communes) (including commune seated villages and PPS sampled villages)					
from 2009-2016 2016: 14,063 2015: 13,955 2014: 13,552 2013: 13,892 2012: 13,747 2011: 13,642	zens from all demographic backgrounds (and about 14,000 citizens in 2017)       Samples representative for all ethnicities in Viet Nam since 2010         2 (54.84% women)       2016: Kinh 83.68%; Non-Kinh 16.32%         2 (54.1% women)       2016: Kinh 83.68%; Non-Kinh 16.32%         2 (52.9% women)       2015: Kinh 83.89%; Non-Kinh: 15.94%         2 (52.9% women)       2014: Kinh 83.93%; Non-Kinh: 15.99%         2 (52.7% women)       2013: Kinh 84.57%; Non-Kinh: 15.43%         2 (52.9% women)       2012: Kinh 84.35%; Non-Kinh: 15.64%         2 (52.9% women)       2011: Kinh 84.35%; Non-Kinh: 15.64%         2 (52.9% women)       2011: Kinh 84.55%; Non-Kinh: 15.64%					
	(30 provinces; 47.5% women) • 2010: Kinh 85.0%; Non-Kinh 15.0%: provinces; 40.3% women)					
Sampling:	International state-of-the-art methodological standards: probability proportional to size and random selection					
Implementing partners:	<ul> <li>Centre for Community Support and Development Studies (CECODES)</li> <li>Centre for Research and Training of the Viet Nam Fatherland Front (VFF-CRT)</li> <li>United Nations Development Programme (UNDP)</li> </ul>					
Information gateway:	Website:         www.papi.org.vn         Facebook:         www.facebook.com/papivn           Twitter:         @PAPI_Vietnam         YouTube:         www.youtube.com/user/PAPIVietNam					

 $^{\rm 2}$  Ba Ria – Vung Tau changed their capital district in 2012

## Appendix 2: List of Provinces with Responses to PAPI

No.	Provinces	Responses to PAPI
1	An Giang	<ul> <li>Action Plan No. <u>147/CTr-UBND</u> dated 22 April 2015</li> <li>Decision <u>No 2498/QD-UBND</u> on Establishment of Steering Board on Implementation of PAPI Action Plan 2016-2020 dated 8 Sep 2016</li> </ul>
2	Bà Rịa - Vũng Tàu	Provincial Plan to organise diagnostic workshop on PAPI, PCI and PAR-Index dated 28 Sep 2016 and provincial leaders' discussion on PAPI findings in 2016
3	Bắc Giang	Action Plan No. 1492 KH-UBND dated 6 June 2014 on improving performance for higher provincial PAPI scores
<mark>4</mark>	<mark>Bắc Kạn</mark>	Diagnostic Worshop with provincial authorities planned for late-July 2017
5	Bạc Liêu	Diagnostic workshop on PAPI findings on 23 November 2016
6	Bắc Ninh	Action Plan No <u>05/CT-UBND</u> on maintaining and sustaining provincial PAPI scores dated 13 May 2016
7	Bến Tre	Action Plan No. <u>4129/KH-UBND</u> on improving PAPI, dated 13 August 2015
8	Bình Định	<ul> <li>Directive No. 13/CT-UBND on improving PAPI dated 8/8/2013</li> <li>Directive No. <u>23/CT-UBND</u> on strenthening reponsibilities of heads of agencies in PAR, with a focus on improving PAPI</li> </ul>
9	Bình Dương	<ul> <li>Regional <u>diagnostic workshop</u> hosted in Binh Duong on 7 May 2015 with the participation of provincial leaders and key public officials</li> <li>Prime Minister's <u>Decision 893/QD-TTg</u> dated 11 June 2014 approving Binh Duong's socio-economic development plan, with a request to monitor PAPI findings</li> </ul>
10	Bình Phước	People's Committee's official letter requesting departments and districts to improve PAPI
11	Bình Thuận	Directive <u>No. 28/CT-UBND</u> dated 13/9/2013 on improving public administration reforms, including PAPI
12	Cà Mau	Directive No. 06/CT-UBND dated 17/9/2013 on improving PAPI
13	Cần Thơ	Decision <u>No. 1552/QD-UBND</u> dated 1 June 2015 on Action Plan to Improve PAPI from 2015-2017
14	Cao Bằng	Provincial diagnostic workshop with provincial leaders and key public officials on 18/09/2012
15	Đà Nẵng	<ul> <li>Annual indepth anaylsis of PAPI findings by Da Nang People's Committee</li> <li>People's Committee's leader shared Da Nang's experience in maintaining high PAPI at6 2015 PAPI launching event</li> </ul>
16	Ðắk Lắk	<ul> <li>Official Letter No. <u>2211/UBND-TH</u> dated 03/5/2012</li> <li>Provincial <u>diagnostic workshop</u> convened by Da Lak Provincial People's Committee on 2014 PAPI findings on 20 July 2015</li> </ul>
17	Đắk Nông	Decision No. 5/QD-UBND/2013 dated 22/02/2013 with concrete action plan
18	Điện Biên	Provincial diagnostics workshop and comparative analysis, 2012, with participation of provincial leaders and key public officials
<mark>19</mark>	<mark>Đồng Nai</mark>	Diagnostic Workshop with provincial authorities planned for mid-July 2017
20	Đồng Tháp	Directive No. <u>13/CT-UBND</u> on improving PAPI in Dong Thap dated 5/8/2013
21	Gia Lai	Action Plan No <u>3119/CTr-UBND</u> on improving PAPI for the period from 2016-2020 dated
22	Hà Giang	<ul> <li>Resolution No. <u>118-NQ-HĐND</u> dated 11 December 2013 stressing the importance to increase PAPI scores</li> <li>Action Plan No. <u>119/CTr-UBND</u> on improving governance and public administration performance towards 2015 dated 21 July 2014</li> </ul>
23	Hà Nam	Directive <u>No. 08/CT-UBND</u> on strengthening responsibility of heads of agencies in public administrative procedure reforms, with an objective to improve PAPI
24	Hà Nội	Plan No. 171/KH-UBND on implementation of Directive 03 of Ha Noi Party Committee, with an objective to improve PAPI Decision No. 2041 of the People's Committee, in which Ha Noi aims to be among the top ten performers by 2020.
25	Hà Tĩnh	Decision <u>No. 4114/QD-UBND</u> on PAR Plan in 2015 with an aim to maintain and improve PAPI scores
<mark>26</mark>	Hải Dương	Report by Hai Duong People's Committee on use of PAPI data and findings
27	Hải Phòng	PAPI defined as a means of verification for PAR monitoring and evaluation in Hai Phong in PPC's Decision No 617/QD-UBND on 17 March 2014
28	Hậu Giang	Regional <u>diagnostic workshop</u> hosted in Hau Giang on 4 June 2013 with the participation of provincial leaders and key public officials
29	Hòa Bình	Provincial leaders discussed taking PAPI as means of verification for development in the province
30	Hưng Yên	Provincial People's Committee set improving PAPI scores among top five objectives

No.	Provinces	Responses to PAPI
31	Khánh Hòa	<ul> <li>People's Committee assigning relevant agencies to improve PAPI</li> </ul>
		- Decision No. 942/QD-UBND on dissemination of PAR information, including PAPI
		findings
<mark>32</mark>	<mark>Kiên Giang</mark>	Tele-conferencing diagnostic workshop to get informed about 2016 PAPI findings
		organised by Kien Giang Department of Home Affairs on 31 May 2017
33	Kon Tum	Replicated PAPI survey for nine districts in 2011
0.4		Decision No. 703/QD-UBND on improving PAPI dated 3/8/2012
34	Lai Châu	Decision <u>No. 1331/QD-UBND</u> on Action Plan to Implement PAR, with reference to
<mark>35</mark>	Lâm Đồng	PAPI Diagnostic Workshop with provincial authorities planned for early August 2017
30		Local authorities informed about PAPI through local media
36	Lang Sơn	Action Plan No 108/KH-UBND on improving PAPI in 2016 and following years
37	Lào Cai	Plan No 184/KH-UBND on implementation of GOV resolution in improving national
51		competitiveness, with a focus on improving PAPI
38	Long An	Regional <u>diagnostic workshop</u> hosted in An Giang on 5 June 2013 with the
		participation of provincial leaders and key public officials and Long An provincial
		leader attended 2012 PAPI launch to share the province's experiences
39	Nam Định	Nam Dinh Provincial People's Committee shared the province's experience in
		addressing citizen needs at 2012 PAPI launch
40	Nghệ An	Provincial diagnostic workshop convened by Nghe An PPC to discuss 2014 PAPI
		findings on 11 August 2015
41	Ninh Bình	Action Plan No. 97/KH-UBND on Public Administration Reforms, with PAPI as an
40	NI: 1 <b>T</b> I A	
42	Ninh Thuận	Action Plan No. 302/CTr-UBND dated 15 April 2016 on improving PAPI for the
		period from 2016-2020
		Resolution of Ninh Thuan People's Council <u>No. 54/2016/NQ-HDND</u> on queries at 2 <sup>nd</sup> Session of the People's Council Meeting, with questions about PAPI
43	Phú Tho	- PAPI as a means of verification for overseeing Phu Tho's Party Resolution for
-0	r na rno	2015-2020
		- Regional workshop on 2015 PAPI findings dissemination hosted by Phu Tho PPC
		on 5 July 2016
44	Phú Yên	- Action Plan No. 03/CTr-UBND dated 11 April 2014
		- Plan No 84/KH-UBND dated 10 June 2016 on implentation of action plan on
		improving PAPI, among others
45	Quảng Bình	- Directive <u>No 06/CT-UBND</u> on strengthening public administrative reforms to
		improve provincial PAPI scores
		<ul> <li>Provincial People Committee's regular monitoring of the province's performance in PAPI</li> </ul>
46	Quảng Nam	Resolution No 156/2015/HDND on additional activities on socio-economic
-0	Quality Nam	development for the second half of 2015, with PAPI improvement as an add-on
47	Quảng Ngãi	- Regular monitoring of provincial performance through PAPI
		- Directive No. 19/CT-UBND on improving PAPI scores dated 29/11/2012
		- Resolution No. 08/2013/NQ-HDND dated 10/07/2013 with reference to PAPI
48	Quảng Ninh	Decision No. 6568/KH-UBND on improving provincial governance and public
		administration performance index (PAPI) dated 18 Nov 2014
49	Quảng Trị	Decision No 1339/QD-UBND on Action Plan to Maintain and Strengthen PAPI for
50	o/ = *	2014-2016
50	Sóc Trăng	- Regional diagnostic workshop on 2014 PAPI findings hosted by Soc Trang
		People's Committee on 8 May 2015 - Provincial diagnostics workshop and comparative analysis, 2012
51	Sơn La	Decision <u>No. 1748/QD-UBND</u> approving democratic practices in state
51	Son La	administration agencies and public service delivery agencies dated 20 July 2016,
		with a focus on PAPI
<mark>52</mark>	Tây Ninh	[Local authorities informed about PAPI through local media]
53	Thái Bình	Directive <u>13/CT-UBND</u> on establishment of hotlines to collect citizen feedback, with
		an objective to improve PAPI
54	Thái Nguyên	- Resolution No. 15/2012/NQ-HDND dated 15/12/2012
		- Decision No 3138/QĐ-UBND approving the Action Plan for Higher PAPI Scores
		for the Period from 2015-2020 dated 31 December 2014
55	Thanh Hóa	Decision No 3274/QD-UBND dated 26 August 2016 issuing action plans to
50	<b>T T T T T T T T T T</b>	strengthen PAR and investment environment, with a focus on improving PAPI
56	Thừa Thiên-Huế	Plan No <u>26/KH-UBND</u> on improving PAPI dated 5 March 2015
57	Tiền Giang	PAPI as a measure of the province's economic integration, as <u>discussed by</u>
		provincial leaders on 16 April 2014

No.	Provinces	Responses to PAPI
58	TP Hồ Chí Minh	Decision <u>3292/QD-UBND</u> on issuing HCMC's action plan improving PAPI for the period from 2016-2020
59	Trà Vinh	<ul> <li>People's Council members attended training workshop on how to use PAPI for oversight in Vung Tau in late 2015</li> <li>Provincial diagnostics workshop and comparative analysis, 2012</li> </ul>
60	Tuyên Quang	<u>Conclusions No. 156/TB-VPCP</u> from Working Session with Tuyen Quang provincial leaders, in which improving PAPI is a vision for the province
61	Vĩnh Long	Provincial diagnostics workshop and comparative analysis, December 2014
62	Vĩnh Phúc	Directive No 10/CT-UBND on improving PCI and PAPI scores dated 24 July 2013
63	Yên Bái	Regional diagnostic workshop on 2012 PAPI findings hosted by Yen Bai People's Committee on 14 June 2013

Note: (\*) Links to provincial documents available at <u>www.papi.org.vn</u> Cyon-coloured highlight: No evidence of provincial responses found from Google search

Objectives	Expected results	Baselines	Indicators of achievement	Actual results	Assessment			
	OUTPUT 1: METHODOLOGY, FIELDWORK AND REPORT							
Output 1.1: Refined methodology, indicators and survey for rolling out in 63 provinces	<ul> <li>PAPI methodology, indicators and the questionnaire refined to improve research quality and relevance</li> <li>Refined PAPI methodology, indicators and the questionnaire with national and international experts for finalization</li> </ul>	•	<ul> <li>Robust international standard methodology refined; a full set of indicators reviewed and agreed upon for further implementation by UNDP and international experts, national partners and National Advisory Board members before data collection</li> </ul>	<ul> <li>Robust international standard methodology refined; full sets of indicators reviewed and agreed on an annual basis upon for further implementation for PAPI from 2011-2017</li> </ul>	Achieved			
Output 1.2: Fieldwork in 63 provinces completed with data for analysing and ranking provinces	<ul> <li>Enumerators and field controllers recruited and well- trained for fieldwork surveys</li> <li>Village-level population data collected for random sampling</li> <li>Fieldwork surveys rolled out in all 63 provinces</li> </ul>	•	<ul> <li>A strong team of around 60 field controllers and 600 enumerators recruited and trained on an annual basis</li> <li>A full set of dataset of PAPI made available in STATA format on an annual basis</li> <li>Good quality data collected from all 63 provinces for PAPI;</li> </ul>	<ul> <li>A strong team of 35-40 field controllers and 600 enumerators recruited and trained for PAPI fieldwork on an annual basis;</li> <li>A full set of dataset of PAPI made available in STATA format for data analysis</li> <li>Good quality data collected from 63 provinces for PAPI on an annual basis</li> </ul>	<ul> <li>Achieved</li> <li>Achieved</li> <li>Achieved</li> </ul>			

# Appendix 3. Assessment of PAPI Implementation (Sep 2011- June 2017)

Objectives	Expected results	Baselines	Indicators of achievement	Actual results	Assessment
Output 1.3: Data cleaning and entry processed ready for data analysis	<ul> <li>Collected and cleaned data for inputs into a single dataset</li> <li>International experts provided with notes about contexts of data collection for analysis</li> </ul>	•	<ul> <li>A single set of data of high quality for analysis</li> <li>Meeting sessions debriefing contextual happenings during the process of data collection for identification of possible noise affecting the quality of data</li> </ul>	<ul> <li>A single set of data of high quality for analysis for PAPI</li> <li>Regular exchanges of emails and ad-hoc meetings describing contextual happenings during fieldwork for projection of possible impact on data quality</li> </ul>	Achieved     Achieved
				<ul> <li>Prompt advice on refinement of methodology, strengthening of fieldwork procedures and sampling for PAPI</li> </ul>	Achieved
Output 1.4: Completed report revealing performance statuses of all 63 provinces validated by key national and provincial stakeholders	<ul> <li>National validation workshop to report to and consult with national and provincial stakeholders (including policy makers and practitioners at the national and provincial levels) annual PAPI preliminary findings</li> </ul>	•	<ul> <li>Validation workshops with participation of National Advisory Board members and relevant stakeholders organised to get feedback and advice on key PAPI preliminary findings</li> </ul>	<ul> <li>Validation workshops with participation of National Advisory Board members and relevant stakeholders organised to get feedback and advice on key PAPI preliminary findings held on an annual basis</li> </ul>	Achieved
	<ul> <li>Final annual PAPI report ready for dissemination of</li> </ul>		<ul> <li>PAPI published and launched at a national launching event with participation of</li> </ul>	<ul> <li>Annually, PAPI report published and launched at a national launching event with participation of</li> </ul>	Achieved

Objectives	Expected results	Baselines	Indicators of achievement	Actual results	Assessment
	results and continued policy dialogues		representatives from different state and non- state stakeholders and the media	increasing number of representatives from different state and non- state stakeholders and the media	
	<ul> <li>PAPI website (www.papi.vn) maintained and updated for consultation and dissemination</li> </ul>		<ul> <li>Website <u>www.papi.vn</u> maintained and updated</li> </ul>	Website <u>www.papi.org.vn</u> maintained and updated with PAPI data, reports, news and provincial impacts on an annual basis	Achieved
OUTPUT 2. ROBU	ST INTERNATIONAL EX	PERTISE INCORPOR		·	
Output 2.1: International expertise on Statistics/Quanti tative analysis for annual PAPI	World-class international experts on statistical and quantitative analysis for technical support for PAPI construction and analysis recruited	•	O1 Senior International Expert on quantitative analysis for technical support for PAPI; and 01 Senior International Adviser on sampling strategies and sample quality control	O1 Senior International Experts on quantitative analysis for technical support on regular basis; O1 in-house International Adviser on research, advocacy and quality control for PAPI on annual basis	Achieved
	<ul> <li>Proof-readers to review PAPI working paper presenting final results contracted</li> </ul>		<ul> <li>01 International Expert as proof-reader of PAPI reports in English;</li> </ul>	<ul> <li>01 International Expert as proof-reader of PAPI reports in English on an annual basis;</li> </ul>	Achieved
OUTPUT 3. POLIC	Y DIALOGUES WITH PR	OVINCES OF PAPI DI	MENSIONAL FINDINGS		
3.1. Strengths and weaknesses in provincial	<ul> <li>In-depth analysis of six dimensions of PAPI based on</li> </ul>	•	<ul> <li>In-depth analysis of six dimensions of PAPI based on datasets</li> </ul>	<ul> <li>Presentations of in-depth analysis of six dimensions of PAPI made available for</li> </ul>	<ul> <li>Achieved</li> <li></li> </ul>

Objectives	Expected results	Baselines	Indicators of achievement	Actual results	Assessment
performance by dimension discussed with provinces for PAPI	<ul> <li>datasets</li> <li>Policy brief papers analyzing provinces' performance (i.e. provincial profiles) developed</li> </ul>		<ul> <li>63 provincial profiles developed in both English and Vietnamese for further discussion with provinces</li> </ul>	<ul> <li>dialogues with provinces;</li> <li>63 provincial profiles on PAPI developed in both English and Vietnamese for further discussion with provinces</li> </ul>	Achieved
3.2. Interested provinces informed and aware of their performance levels through in-depth discussions with PAPI research team	<ul> <li>Policy brief papers printed out to present provinces' performance profiles based on PAPI findings</li> <li>Seminars/internal discussions with interested provinces on findings of their performance levels in specific dimensions</li> </ul>	•	<ul> <li>Policy brief papers printed out to present provinces' performance profiles based on PAPI findings</li> <li>Seminars/internal discussions with interested provinces on findings of their performance levels in specific dimensions organised</li> </ul>	<ul> <li>Policy brief presentations on different topics printed to serve different venues for discussions of PAPI findings; provincial profiles for regional and provincial diagnostic workshops</li> <li>Action research missions and policy dialogues in four selected provinces conducted to assess provincial performance and to provide policy advice.</li> </ul>	<ul> <li>Achieved</li> <li>Achieved</li> </ul>
OUTPUT 4. PAPI R	REPORTS DISSEMINATE	D AND OUTREACHE	D		
4.1. PAPI reports published for dissemination and further policy discussions	<ul> <li>Vietnamese version of PAPI Reports reviewed (peer reviews and proof-reading)</li> </ul>	•	<ul> <li>01 National Expert as proof-reader of PAPI reports in Vietnamese</li> </ul>	<ul> <li>Proof-reading of Vietnamese versions of annual PAPI Reports done in house by UNDP</li> </ul>	Achieved
	<ul> <li>Final PAPI reports in English and Vietnamese</li> </ul>		<ul> <li>1000 copies of PAPI reports in both Vietnamese and English</li> </ul>	<ul> <li>2000 copies of PAPI reports (in Vietnamese and</li> </ul>	Achieved

Objectives	Expected results	Baselines	Indicators of achievement	Actual results	Assessment
OUTPUT 5. GOOD	published for outreach and dissemination PRACTICES IDENTIFIE	D. ANALYSED AND A	published every year	English) printed for dissemination on an annual basis as per high demand for	
5.1. Good practices of good performing provinces shared	Case studies conducted on performance levels of provinces using PAPI data and secondary data collected from the provinces to withdraw lessons learnt	•	<ul> <li>A series of case studies conducted on performance levels of provinces using PAPI data and secondary data collected from the provinces to withdraw lessons learnt</li> </ul>	<ul> <li>A series of 31 case studies using PAPI data for action plans and provincial actions</li> <li>A series of two (02) case studies for review of the initial impact of action plans in An Giang and Phu Yen</li> </ul>	<ul> <li>Achieved</li> <li>Achieved</li> </ul>
	<ul> <li>Peering events organised for interested provinces to share good practices and lessons</li> </ul>		<ul> <li>Peering events organised for interested provinces to share good practices and lessons</li> </ul>	A series of 10 in-depth research papers using PAPI data to look into six dimensions of PAPI, gender, control of corruption in the land sector, spot-check mechanisms, and citizen participation in political life and policy making in Viet Nam	Achieved

### Appendix 4. Abbreviations

CECODES	Centre for Community Support and Development Studies	
GI	Government Inspectorate	
GOV	The Government of Viet Nam	
GPAR	Governance and Public Administration Reform Working Group	
HCMA	Ho Chi Minh National Academy of Politics	
INGOs	International Non-government Organisations	
LNGOs	Local Non-government Organisations	
NA	The National Assembly of Viet Nam	
PAPI	The Vietnam Provincial Governance and Public Administration Performance Index	
PPC	Provincial People's Committees	
PPS	Probability Proportional to Size	
PPWG	People Participation Working Group	
UNDP	United Nations Development Programme	
VFF	Vietnam Fatherland Front	

## Appendix 5. PAPI Fact Sheet

[See Enclosed]