









# **GOVERNANCE AND PARTICIPATION**

A Series of Policy Discussion Papers

Case Studies on Grassroots Democracy Implementation and Recommendations for the Development and Implementation of the Law on Grassroots Democracy Implementation

Ha Noi, 12/2022

The series of Governance and Participation Policy Discussion Papers is commissioned by the Governance and Participation Team at UNDP Viet Nam.

The series aims to analyse trends in Viet Nam regarding the implementation processes and options in specific public administration reform areas. In order to confront the social, economic, political and environmental challenges facing Viet Nam, policymakers need to adopt evidence-based decision-making. These policy papers aim to contribute to current policy debate by providing discussion inputs on policy reforms – thereby helping to improve Viet Nam's development efforts.

Three principles guide the production of the policy discussion papers: (i) evidence-based research, (ii) academic rigour and independence of analysis, and (iii) social legitimacy and a participatory process. This involves a substantive research approach with a rigorous and systematic identification of policy options on key public administration reform and anti-corruption issues.

Citation: People's Participation Working Group (PPWG) and the United Nations Development Program (UNDP) in Viet Nam (2022). Case studies on grassroots democracy implementation and recommendations for the development and implementation of the Law on Grassroots Democracy Implementation. Jointly commissioned by the People's Participation Working Group (PPWG) and the United Nations Development Program (UNDP) in Viet Nam. Ha Noi, Viet Nam: December 2022.

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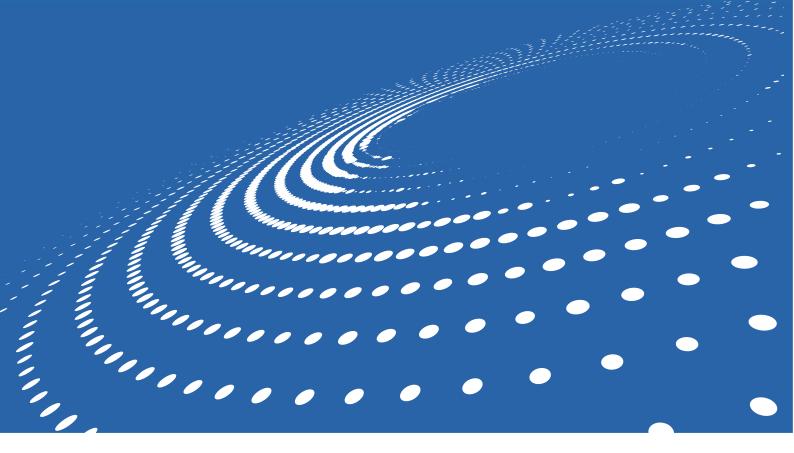
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# **ABBREVIATIONS**

DFAT	The Australian Department of Foreign Affairs and Trade
ΡΑΡΙ	The Viet Nam Provincial Governance and Public Administration Performance Index
PPWG	People's Participation Working Group
UNDP	United Nations Development Programme
WHO	The World Health Organization
CDI	The Center for Development and Integration
TPG	Think Playgrounds
КНС	Keep Hanoi clean
CECR	Center for Environment and Community Research
VMHNÐS	Livable Hanoi

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# **ACKNOWLEDGEMENTS**

The research team sincerely acknowledges the support of the local people and government officials in Quang Tri and Hanoi who accepted to share their experiences. Their stories, analysis, and suggestions are very meaningful, helping the research team to have diverse perspectives on democratization at the grassroots.

The research team also appreciates the valuable contributions and perspectives of experts and researchers who attended the thematic discussion entitled "Grassroots Democracy Implementation in Viet Nam: Good Practices and Policy Implications" organized by the United Nations Development Program (UNDP) in Viet Nam and the People's Participation Working Group (PPWG) on November 2nd, 2022. The inputs into the study and report were received and included in this report.

The research team also thanks the United Nations Development Program (UNDP) in Viet Nam and Oxfam in Viet Nam for providing technical support for this study. The viewpoints expressed in this report are those of the research team and do not officially represent the official views of UNDP or Oxfam.

This study is part of the Viet Nam Provincial Governance and Public Administration Performance Index (PAPI) research program in Viet Nam, with financial support from the Australian Department of Foreign Affairs and Trade (DFAT) and the Irish Embassy in Viet Nam.

# **EXECUTIVE SUMMARY**

On July 27, 2021, the National Assembly passed Resolution No. 17/2021/QH15 on the program on developing laws and ordinances in 2022, including the draft Law on Implementation of Democracy in Communes, Wards and Townships. This is an important legal basis, as a foundation for people to participate in local governance, as well as in agencies and units.

In that context, this study selects seven different case studies in Quang Tri province and Hanoi city to study and analyze, thereby generalizing, giving lessons learned, and putting forward suggestions for the draft Law on democratization at the grassroots. The selected cases are analyzed, based on six principles: (i) Transparency and accessibility to information; (ii) Locality; (iii) Equality and inclusion; (iv) Simplicity and flexibility; (v) Efficiency; (vi) Sustainability. The supporting factors include: (1) cooperation mechanism with local authorities and mass organizations and (2) the participation of social organizations.

Through analysis of seven specific principles as well as practical experiences, the research team provides eight lessons and recommendations directly related to the institutionalization of the conditions that motivate people in exercising the democratization for the project to enhance the Law on implementing the grassroots democracy as follows:

- 1. The Law on Implementing Democracy at the grassroots must categorically be a law on human rights and democracy, with a human rights-based approach, and ensure the people's right to participate in state and societal governance. The law should fully stipulate the responsibilities of relevant state agencies and mandated organizations in ensuring and facilitating the implementation of democracy at the grassroots level. At the same time, there should be regulations on sanctions for violations of the law on the implementation of democracy at the grassroots. It is necessary to review and amend the terminology that sounds like "distributive offering" (such as "Citizens are offered...").
- 2. It is to recognize the right to establish community-based Supervisory Boards in villages and residential quarters, in order to create more favorable conditions for local people to supervise the implementation of policies and laws in the locality of villages and residential quarters. This is important because the data and evidence consistently show that people engage most effectively in the undertakings that are closely related to them, both geographically and in interest. In addition, when they participate in monitoring activities at the village level, they can report more easily and confidently about their problems to the commune authorities.
- 3. To recognize participation mechanisms aimed to enable citizens' monitoring of policy, social organizations and press agencies should get involved in and ensure the implementation of democratization at the grassroots by the people. Evidently, these are two institutions that are useful for implementing democracy at the grassroots. Their participation will create a bridge between the people and the government so that discussions and cooperation could be more timely, smooth and effective.
- 4. To allocate budget provisions for communes, hamlets, and residential quarters to encourage people's participation in meetings, discussions, and consultations held by villages, residential quarters and commune authorities. Obviously, democracy and participation require interaction between people and between people and the government. This is only possible if there is ongoing and long-term organizational funding.

- 5. To ensure the rights of vulnerable and minority groups (women, ethnic minorities, people with disabilities, temporary residents in the locality where they actually live, etc.) through appropriate regulations relating to language and form of participation. For example, for ethnic minorities like the Van Kieu who are mostly illiterate, it will be more appropriate to create sound (recorded) documents, easier for people to access, from which they will have information for participation. and exercise their democratic rights.
- 6. To provide a clear definition of the content, form, and principles of information disclosure and transparency at the grassroots level. Publicity must be associated with transparency, ensuring the right of disadvantaged groups to access the information.
- 7. To define the content, sequence, and procedures for discussing, deciding, and giving opinions on issues at the grassroots level (the contents discussed and decided by the people should include the state budget revenue and expenditure at the commune level; the dialogue between the Commune People's Committee and the people, etc.).
- 8. To unify the use of terminology in the draft law: People, Citizens, Community, and residents, as well as amend some paragraphs related to legislative techniques.

Besides, drawing on the lessons learned from practice and analysis of the draft law submitted to the National Assembly (October 2022), the research team also worked out 17 specific recommendations to amend and supplement the provisions of the draft Law on Implementation of Grassroots Democracy before the National Assembly considers and approves it for promulgation in the 4th Session of the 15th National Assembly. Specific recommendations can be found in **Section III, page 44 of the report**.

# CONTEXT

In the course of Viet Nam's modern and socialist history, democracy plays an enormous role and is focused on the grassroots level implementation. The spirit of democracy promotion is expressed clearly and specifically in the Constitution and many legal documents. Especially, during the Renovation period, the Party and State of Viet Nam emphasized democracy to be first and foremost, starting from the grassroots. Therefore, since the late 1990s, many documents to steer the implementation of democracy in communes, wards, and towns have been issued and applied to ensure the implementation of democracy at the grassroots level. In which, until recently, the legal document with the highest legal value was issued with the Ordinance No. 34/2007/PL-UBTVQH11 of the National Assembly Standing Committee on the implementation of democracy in communes, wards and townships, to institutionalize the Directive No. 30-CT/TW dated 18/02/1998 of the Politburo on elaboration and implementation of the Regulation on democracy at the grassroots level).

The Resolution of the 13th National Congress of Deputies sets out the orientation to promote socialist democracy and ensure the people's mastery in the new period. In the National Development Strategy for the period 2021-2030, the Political Report of the Congress states that it is to concretize and perfect the institution of democratic practice in the spirit of the Platform for National Construction in the period of transition to socialism (supplemented and revised in 2011) and the 2013 Constitution, ensuring that all state governance power belongs to the People; it is properly and effectively to implement the direct democracy and representative democracy, especially the grassroots democracy.

On July 27, 2021, the National Assembly endorsed the Resolution No. 17/2021/QH15 on the preparation of laws and ordinances in 2022, including the draft Law on Implementation of Democracy in Communes, Wards and Townships. This is an important legal basis, as a foundation for people to participate in local governance, as well as in agencies and units. This not only ensures the rights of the people, but also improves the operational efficiency of units and organizations at the grassroots. The Law on Implementation of Democracy at the grassroots level was promulgated<sup>1</sup> with the expectation that it will be an important step forward in institutionalizing the Party's policy on ensuring the promotion of the People's mastery and realizing the motto "the people know, people discuss, people do, people inspect, people supervise, people benefit" according to the document of the 13th National Congress of Deputies.

In reality, the draft Law on Implementation of Grassroots Democracy is hard to enact, because the object of impact of this law is very wide and diverse. The content of the draft law has interference with and is related to many current legal documents. Meanwhile, the Law should ensure the institutionalization of the Party and State's motto; balance the relationship between practicing democracy and ensuring social stability; and at the same time promote the practical and feasible implementation of democracy.

<sup>&</sup>lt;sup>1</sup> During the course of this study, the draft Law on Implementing Democracy in Communes, Wards and Towns was being discussed, and reviewed at the 4th Session of the 15th National Assembly. The Law was then officially approved by the National Assembly on November 10, 2022 (see Government Newspaper, November 10, 2022 at https://baochinhphu.vn/quoc-hoi-thong-qua-luat-thuc-hien-dan-chu-o-co-so-102221110123348949.htm).

The People's Participation Working Group (PPWG) recognizes that the drafting, development, and adoption of a Law on Good Grassroots Democracy are important foundations for citizen participation. Therefore, making comments on the content of the law, and putting forward specific recommendations from the analysis of practical examples in order to improve the quality and feasibility of the law is a necessary activity, an apt mission of promoting people's participation in different areas of the life of PPWG.

A fundamental reason for PPWG to contribute comments to the draft Law on Implementation of Grassroots Democracy is that "the people" are very diverse in terms of qualifications, languages, cultures, and opportunities to access information technology, it is required that the Law should strike a balance between equality and specificity. The participation of PPWG will help the voices of disadvantaged groups, such as ethnic minorities, people with disabilities, women or the elderly to participate equally and effectively not only in the law compiling process, but also in the implementation process after the Law takes effect on July 1, 2023.

In addition, various models of infrastructure management with the participation of the people, and community-based natural resource management are implemented throughout the country, with differences in demographic, economic and social features. These models are all aimed at promoting democracy at the grassroots in specific economic, cultural, social and educational fields. The process of formation, development, and operation of those cases is closely and directly related to the democratization that the Law on Implementation of Democracy at the grassroots wants to promote. Therefore, it is very important to learn, analyze, evaluate, and draw experience from good practices and models of participatory governance and monitoring as exercised by the local people.

# INTRODUCTION

## I. Purpose of the Research

This research was conducted with the aim to understand and analyze several good practices and models of people's participation in monitoring, implementing, and being benefited in Hanoi city and Quang Tri province. The analysis of these models from the theory of implementing democracy at the grassroots as well as in the political and cultural context of Viet Nam is expected to help draw lessons learned to understand how the conditions are set for the grassroots democracy to be exercised. Based on the findings of this practical research and analysis of the Law on Implementation of Grassroots Democracy, the research team proposes recommendations to improve the quality and feasibility of the Law, and at the same time contribute to the promotion of participation in people's active participation in the political, economic and social life of the country.

## **II. Questions for the Research**

This research poses two main questions:

- 1. What are the essential conditions for people to actively and effectively participate in the process of commenting, monitoring, implementing, and benefiting from programs, services (projects, activities) and policies at the grassroots level?
- 2. How should the legal framework, specifically the Law on Implementation of Democracy at the grassroots, be effectively enforced to guarantee meaningful grassroots-level participation?

## **III. Methods of the Research**

It is an on-site field study, with qualitative analysis using methods including secondary materials review, in-depth interviews and face-to-face group discussions. The subjects were directly interviewed by the research team, they were members of community groups, villagers, village heads, representatives of mass organizations (Women's Union, the Viet Nam Fatherland Front), representatives of leaders of commune-level People's Committees, representatives of supervised subjects (schools, health clinics) in some village/commune units, and members of the Management Board, the Community-based Supervisory Board of some condominiums.

In order to deeply understand the origin, operation, and effectiveness of the grassroots democracy promotion models, the research team selected 7 different typical cases in Quang Tri province and Hanoi City for research and analysis. These cases represent the diversity of base units as well as community groups.

The seven research cases include:

- 1. Dialogue on budget revenue and expenditure in Hai Dinh commune, Hai Lang district, Quang Tri province;
- 2. Supervision of infrastructure construction in Dong Giang ward, Dong Ha city, Quang Tri province;
- 3. Supervision of the enactment of social security policies for ethnic minorities, Linh Truong commune, Gio Linh district, Quang Tri province;
- 4. Monitoring of vaccination and health services in Gio Viet commune, Gio Linh district, Quang Tri province;
- 5. Environmental improvement and new rural program in Tuy Lai commune, My Duc district, Hanoi city;

- 6. Management board of condominiums in Cau Giay district, Thanh Tri district, Thanh Xuan district, Hanoi city; and,
- 7. Environmental improvement along the Red River side, Chuong Duong ward, Hanoi city.

The research team reviewed and collocated secondary documents to learn about cases and projects that had been taking place in the locality. The findings from the secondary document review were used in conjunction with the outcomes from the in-depth interviews and focus group discussions to present the findings of this research.

The selected cases are analyzed, based on six principles: (i) Transparency and accessibility to information; (ii) Locality; (iii) Equality and inclusion; (iv) Simplicity and flexibility; (v) Efficiency; (vi) Sustainability. The supporting factors include: (i) cooperation mechanism with local authorities and mass organizations and (2) the participation of social organizations. The above analytical framework is referenced from the report on promoting public participation of the World Health Organization<sup>2</sup>, adjusted to suit the context of implementing grassroots democracy in Viet Nam.

## IV. Advantages and limitations of the research method

The fieldwork method helped the research team gain insight and extract detailed and factual information from typical grassroots democracy promotion cases. The stories shared by the interviewees objectively reflect the effectiveness, the process of forming and maintaining the cases. This makes the lessons learned and policy recommendations highly practical because it comes from the actual situation in the local community.

However, the research team also found that seven selected grassroots democracy promotion cases, although being diverse and typical, cannot completely generalize all related issues to implement grassroots democracy in Viet Nam in the current period. In reality, there are many other cases of promoting democracy implementation that have been undertaken in many provinces and cities across the country. The success or failure of those cases could also bring lessons learned and added value to the draft Law on implementing democracy at the grassroots.

In view of the above constraints, in the process of analyzing the report, the research team has tried to generalize and find out the main points leading to success in promoting democracy at the base of the cases developed in a selected group as a case study. Although the analysis and comments may not fully cover the entire democratization at the grassroots level, through the exploitation of multi-dimensional information, and thorough and objective assessment, the research team believes that it is possible to identify the necessary conditions for the people to actively and effectively participate in the implementation of grassroots democracy, thereby making specific and practical recommendations for policy and law reform, especially the Law on Implementation of Democracy at Grassroots<sup>3</sup>, in order to ensure the rights and obligations of individuals and organizations to exercise democracy at the grassroots in Viet Nam.

<sup>&</sup>lt;sup>2</sup> The World Health Organization (WHO). 2020. Community Engagement - A health promotion guide for universal health coverage in the hands of the people. Access to: https://www.who.int/publications/i/ item/9789240010529

<sup>&</sup>lt;sup>3</sup> By the time this report was prepared, the draft Law on Implementation of Grassroots Democracy had been reviewed and about to be ratified by the 15th National Assembly in November 2022.

# **FINDINGS**

### I. Case studies of models for promotion of grassroots democracy

#### 1. Government-citizen dialogues on budget revenue and expenditure in Hai Dinh commune,

#### Hai Lang district, Quang Tri province

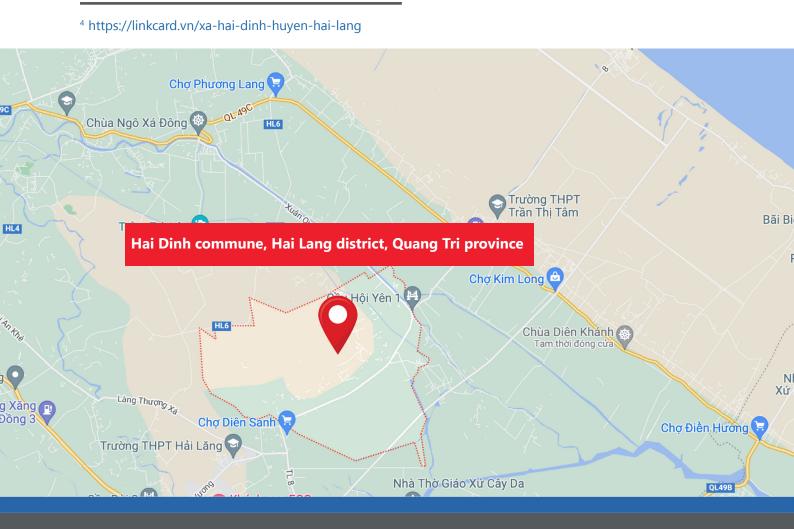
#### 1.1. Research procedure

- Group discussion with 5 representatives of community groups, 1 village head, and Chairman of Hai Dinh Commune Women's Union.
- In-depth interview with the Chairman of Hai Dinh Commune People's Committee.

## 1.2. Analysis of the model

**Local introduction:** Hai Dinh commune in Hai Lang district, Quang Tri province was officially established on January 1, 2020 after merging the entire area and population of two communes Hai Thanh and Hai Thien. The commune has a total area of 18.70 km, with a population of 4,912 people in 2018 and a population density of 263 people/km<sup>2</sup>.<sup>4</sup>

**Community Participation:** In 2017, Hai Dinh commune (formerly known as Hai Thanh commune) with the support of Oxfam Viet Nam established a community group at the village level to monitor the revenues and expenditures of the state budget allocated to the commune. The community group was established by the Commune Women's Union to increase people's participation in activities related to budget, investment, and the implementation of social policies in the locality.



Before meeting with the commune authorities to comment on budget expenditure, the community group members were trained in the knowledge of related issues, sets of questions, and how to ask questions and search for information. The groups put up not only "what" questions but also "how" and "why" questions to gain insight into the topic of budget spending. As a result, they become more confident and experienced in conferences and dialogues about local budget-funded projects.

In the dialogues about budget revenue and expenditure in the commune, there is usually the participation of the Vice Chairman of the Commune People's Committee and the Chairman of the Commune People's Council, representatives of mass organizations and people, in which the community group plays a key role because its members were trained and well-prepared for the dialogue. The content of the dialogue revolves around all the plans for revenue and expenditure of the commune's funds such as the national defense fund, the children's fund, the fund for the poor, and the contingency fund. With any topic, the community group always proactively sends a set of questionnaires to the commune authorities in advance and actively proposes options and observes the reality of budget revenue and expenditure and projects deployed by the commune authority.

**Impact:** The dialogue sessions between villagers and commune authorities are significantly more effective. People feel that when commune cadres and civil servants know how to listen to the people, it increases accountability and transparency in explaining, communicating, and disclosing information related to budget revenue and expenditure. Ms. Ho Thanh Tra, the village chief, said that in the past, when contributions were made in the commune, cadres and civil servants only announced the total amount and collected it from the people. Now, when dialogue and supervision are highly effective, commune officials and civil servants provide more detailed information, validated revenue and expenditure reports, and all the contributions, large and small, are presented at meetings of the Commune People's Council, with the participation of the people for discussion and explanation.

At the same time, the dialogue also helps people understand and be satisfied with the information provided by the government, with more sense of responsibility for contributing to and supporting local construction projects than before. Some people believe that if they only listen to one-way propaganda, they will quickly forget after listening, but if they ask and answer questions in dialogue, people will remember a lot more. A specific example is that the people did not understand what the collection for the contingency fund was for until the budget meeting with the government of the kind was held. After understanding that the fund is to spend for people and localities in emergencies such as natural disasters and floods, everyone is very supportive and enthusiastic to contribute.

Appreciating the benefits and positive changes generated from the dialogues, the interviewees believe that the government should hold two dialogues periodically every year to ensure the people's right to access information and increase the accountability of cadres and civil servants. Commune-level People's Committees must be responsible for organizing and presiding over dialogues. In order to have a mandate for organizing such meetings, it is required to have policy orientations and requisite mechanisms prescribed by the law. This requirement is especially important because without the provisions of the law, the supporting projects or the being of community groups cannot be mandatory for the people to participate actively in and hold dialogues with the government.

Community Groups are formed at the village level, therefore, the issues for monitoring are often of the people's concerns, to be scrutinized by the people, very closely related to their rights and obligations to insert their inputs directly. For example, the people have many opinions about the construction and renovation of kindergartens, the Community Groups immediately put this content into monitoring activities. In addition, those issues related to the service attitude of medical staff are also of concern and comments. For example, people reflected that the attitude of the health clinic staff was not welcoming, disrespectful, and they did not explain specifically to the people. After the monitoring and subsequent feedback, the attitude of the health clinic staff changed. The staffs of the medical clinic were more welcoming to the people, thoughtfully preparing the medicine sack when giving it to the patient. Many elderly people over 80 years old bearing health insurance were examined once a month in the past or were "fired back" by medical staff who even refused to perform the health examination. Now the elderly people are explained with clearer and more specific instructions about the policy so that they understand and have a relevant examination schedule.

Sharing with the research team, Community Group members say that monitoring is only really effective when they monitor what is closer, specifically related to activities in their village. A real story in Hai Dinh commune is that after the two communes of Hai Thien and Hai Thanh were merged, the health clinic was moved from a location near the community center to another village. Since then, due to its remote location and lack of financial support, the Community Group has not been able to continue its monitoring or sending feedback to the health clinic.

#### **1.3. Comments, experiences and lessons learned from the case study**

The case of government-citizen dialogues on budget revenue and expenditure (Hai Dinh commune, Hai Lang district, Quang Tri province) has shown the important role of the principles of accessibility and transparency, simplicity and flexibility, human supporting factors (mechanism of cooperation with the government and the participation of social organizations) in the implementation of grassroots democracy in the locality. The model also reflects the remaining limitations in ensuring sustainability, equity and inclusion. Each aspect and lesson learned in the case study is analyzed as follows:

Index	Principle	Comment	
1	Transparency and accessibility	Publicity and dialogue on commune-level budget revenues and expenditures are essential, providing an opportunity for people to participate, ask questions, and give comments on budget issues. The process of participating in direct questions and answers makes it easier for people to understand and remember information than just listening to one-way announcements. Since then, people have supported and contributed to the funds more fully, and government officials have also improved their performance, reported clearly and explained in more detail.	
2	Locality	The Community Group is comprised of members of the local Women's Union who have an interest and experience in local indigenous issues. In fact, the Community Group is very effective in monitoring issues that are closer, specific, and directly happening in the village such as health issues, health service performance; construction works at	

Index	Principle	Comment
		the village level; the revenues requisite of people's contribution (contingency fund, child fund); Policies that people benefit from (loan programs with preferential interest rates, policies for the elderly, etc.).
3	Equality and inclusion	Since the Community Group was established by the Women's Union, the main participants are members of the Women's Union. This also creates some limitations in the group's activities and participation in monitoring and commenting on policy issues. The Community Group members think that the group can function better and have more diverse views on policy if it includes men, village leaders, other unions and members, and local minorities such as people with disabilities, and poor households.
4	Simplicity and flexibility	The Community Group's dialogue and monitoring mechanism is implemented through simple and direct forms, limiting the administration of the establishment and operation process, appropriate for local people and the activities of the Women's Union.
5	Efficiency	Community Group members are equipped and trained with knowledge on related issues, questionnaires, and how to ask questions and retrieve information. This is an important factor to increase efficiency in the dialogue about budget revenue and expenditure.
6	Sustainability	In order for the Community Group to operate effectively and with good supervision, the group members need to have a spirit of volunteering. However, Community Group also needs a legal mandatory basis to be established and financial resources to maintain annual operations. These are the elements that the Community Group in Hai Dinh commune lacks, affecting the sustainability of the Community Group's activities.
7	Supporting factors	Social organizations (Oxfam) play an active role in the establishment and operation of Community Groups. The training organized by Oxfam helps to create the premise and support the process of dialogue and monitoring. The cooperation mechanism between the Community Group and local government is decisive. Experience shows that the disclosure of information and the organization of dialogues must be presided over by the Commune People's Committee, for the implementation to take place proactively and

Index	Principle	Comment
		periodically, it is necessary to have mandatory rules over the local authority's responsibility. These could be policies and regulations with specific rules in terms of content, sequence and procedures for discussing, deciding and consulting to ensure their strict implementation.

# 2. Supervision of infrastructure construction in Dong Giang ward, Dong Ha city, Quang Tri province

## 2.1. Research procedure

- Group discussion with 7 representatives of community groups in Living Quarter 3, Dong Giang ward.
- In-depth interview with Vice Chairman of Dong Giang Ward People's Committee and Head of Residential Group 3.

## 2.2. Phân tích mô hình

**Local introduction:** Dong Giang is a ward located in the north of Dong Ha city, Quang Tri province, including 6 neighborhoods with a total area of 6,26 km<sup>2.5</sup> Through various interviews in the area, the research team learned that in Quarter 3 in the ward, there used to be a cultural house built in 1985 but it was seriously degraded and unattended. Therefore, the people and the government agreed to build a new cultural house. This is an important project because the cultural house is a place to help local people aggregate for discussions on collective activities, events, and community festivals. The cost of building a cultural house is funded by the State with 60% of the capital and the remaining 40% by the people. The project started in 2017 and local households contributed with a limit of VND 3 million per household. After three years, the total amount of money raised from households reached a total of VND 500 million. In 2019, Dong Giang Ward People's Committee began to carry out procedures and build the cultural house.



<sup>5</sup> https://linkcard.vn/phuong-dong-giang-thanh-pho-dong-ha

**Community Participation:** The process of building a cultural house was supported, commented on and supervised in detail and closely monitored from the very beginning to the time it was completed. The Community Group members were introduced and carefully selected in the way of "choosing the trusted face to hand over the precious gold". The selected Community Group consists of people who have experience in construction projects, are reputable in the community, and have the aptitude in coordinating the activities. After its establishment, the community group had meetings to plan and assign specific tasks to the members for supervision of the cultural house construction.

The Community Group operates on a voluntary basis, contributing their personal efforts to the homeland. Community Group is partially supported with operational costs by the community monitoring project of the Center for Development and Integration (CDI). During the operation, in addition to receiving information directly from the people through meetings of the neighborhood groups, the Community Group also sent representatives to households with elderly, weak, and disabled people who could not attend the meeting, to convey the messages and information and get their opinions, to ensure the consensus, high consensus of the people when making lrecommendations to the investor. The local people, who inherently understand very well the specific characteristics of the locality related to climate, weather, construction materials, and construction costs, therefore, ensure the suggestions and recommendations made by the Community Group were very practical and useful.

**Impact:** During the monitoring process, the Community Group detected errors and drawbacks, and immediately responded to the investor, Dong Giang Ward People's Committee. For example, when the people detected that the construction had problems such as environmental pollution and noise pollution affecting the lives of households living in the surrounding area, they reported it to the Community Group, then the monitoring team informed the owner and investor to notify the construction contractor for counter-measures. For another example, the Community Group, based on practice and experience, found that the design of the door of the cultural house faced a narrow strip of land which was inconvenient, so it was proposed to change the direction to a large yard to have more open space; to change the wooden door to aluminum door to save money from the people's contribution, or the decoration of two posters in the cultural house which had been found irrelevant, so it was suggested to be removed.

The recommendations of the people through the Community Group were received and handled in a timely manner by the Ward People's Committee and the construction contractor. During the implementation of the project, all information about the project was widely announced and publicly detailed for the people to know. In addition, the Ward People's Committee also has a detailed documentation including the project cost estimate, which was sent to the Community Group as a basis for monitoring activities. The local authority was very supportive of the participation and suggestions of the people, and local officials also regularly participated in community activities, thus creating confidence and mutual trust between the two sides. The establishment of a community group to monitor the project was agreed upon, supported, and legalized by the government by the issuance of an establishment decision and public notification.

**Case control study:** Besides the project of building a cultural house which was very successful and achieved positive results, there were a few other projects that were evaluated by the people as not very effective and/or encountered many complex problems in the participation of local people in Dong Giang ward. A typical example is the popularization of a road construction program.

Quang Tri province and Dong Ha city had a program to popularize road construction in their localities, whereby the road construction costs would be 50% paid by the local people and the other

50% by the state budget. The investor (the State) made an estimate and decided that each household in Dong Giang ward had to pay roughly VND 10 million for the road construction. Especially in Dong Giang ward, most of the people here had switched from farming to carpenters and builders, so the income of the people was not high or stable. Therefore, the contribution amount of more than VND 10 million per household was beyond the affordability of many households. Meanwhile, if the local people were directly involved in the implementation, the estimate would be reduced because the cost of labor and temporary camping would be saved as reflected in the people's calculations, and the local contribution would be reduced to only VND 4-5 million per household.

The local people proposed to the ward government a plan to allow the community to participate in the implementation to save costs. The ward authority proposed this option at the city level, then the city government sent it to the provincial government, but the proposal was not ratified. The long-standing problem led to the project delay, people did not have access to detailed information and investor feedback.

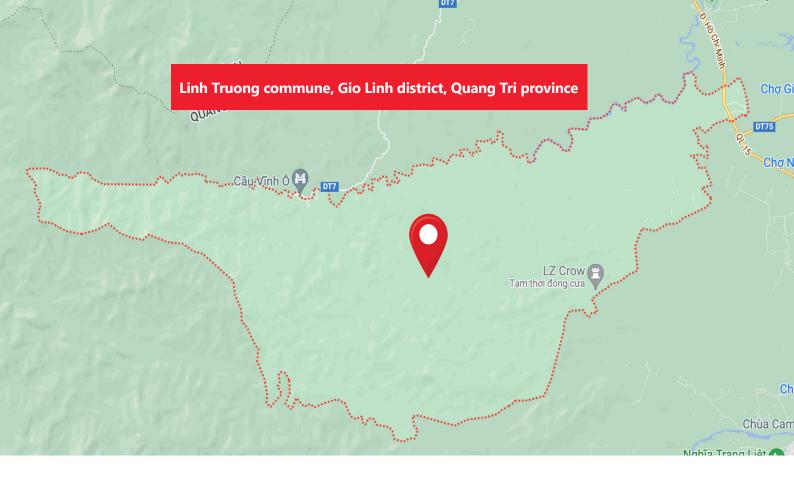
The two projects are seen as quite similar in terms of popularization, only differing in the object of the investor: one project is the direct investor at the commune level (commune/ward/township), and the other project is owned by the upper investor (district or provincial level). Those two projects produced two completely opposite results. Therefore, it will be easier and more effective for people to participate in monitoring activities in villages/population groups whose direct investor is the commune/ward authority. This shows that decentralizing the implementation of appropriate projects at the commune level along with promoting the participation and supervision of the people will increase project implementation efficiency and save costs and resources.

#### 2.3. Comments, experiences and lessons learned from the case study

The case of Infrastructure Construction Monitoring Group in Dong Giang Ward, Dong Ha City, Quang Tri Province highlights the role of locality, equality and inclusiveness of grassroots democracy. The community-based group also demonstrates the role of the cooperation mechanism between the Community Group and local government. However, the sustainability of the model is an issue that needs to be overcome. Each aspect and lesson learned in the case are analyzed as follows:

Index	Principle	Comment
1	Transparency and accessibility	The government's sufficient and public provision of detailed design and project information creates favorable conditions for people to know and understand the project.
2	Locality	The Community Group elected by local people will ensure a high sense of responsibility, prestige, and certain knowledge and local experience on monitoring issues. Projects and works with the direct participation of the local people are motivation for the people to participate in getting to know the information and monitoring.

Index	Principle	Comment
3	Equality and inclusion	The Community Group's access to and communication of information to seek input from minorities, the elderly, and people with disabilities ensures diversity and inclusion in people's participation.
4	Simplicity and flexibility	Although it has a similar role to the Community Investment Supervisory Board, the Community Group has a simple and convenient operation process for the local community. The community team is directly elected in the community meeting and performs its direct supervision
5	Efficiency	Utilizing the local experience, resources, and a simple and direct monitoring mechanism facilitates the people's recommendations through the Community Group to be received and handled in a timely manner by the Ward People's Committee and the construction contractor.
6	Sustainability	The Community Group is partially supported with operational costs by the community monitoring project of the Center for Development and Integration (CDI). After CDI support ends, Community Group needs stable financial resources to continue its monitoring activities. These are the elements that the Community Group in Dong Giang ward lacks, affecting the sustainability of the Community Group's activities.
7	Supporting factors	It is very necessary to have the government support and recognize the establishment of a Community Group in a residential quarter to carry out project supervision. It is of great significance in increasing the legitimacy and influence of the Community Group. The Projects implemented in the locality (village/township) directly managed by the local government (communal level) will be better implemented and facilitated by the local people with the information access, participation, contribution, monitoring and inspection.



# **3.** Supervision of the enactment of social security policies for ethnic minorities, Linh Truong commune, Gio Linh district, Quang Tri province

#### 3.1. Research procedure

- Group discussion with 6 representatives of community groups in Ba Ze village, Linh Truong commune, and the Chairwoman of the Women's Union of Linh Truong commune.
- In-depth interview with Vice Chairman of Linh Truong Commune People's Committee, Ba Ze Village Chief, Linh Truong Commune, and representatives of Linh Truong Primary School.

#### 3.2. Analysis of the model

**Local introduction:** Linh Truong is a hilly commune in Gio Linh district, Quang Tri province, officially established on January 1, 2020 after merging the entire area and population of two communes Vinh Truong and Linh Thuong. The commune has a total area of up to 182.23 km, the population in 2018 was 2,496 people, and the population density is 14 people/km<sup>2,6</sup> According to Decision No. 861/QD-TTg of the Prime Minister, Linh Truong commune is a commune in Region III, a particularly difficult area for ethnic minorities and mountainous people. Linh Truong commune is inhabited by a large number of Van Kieu ethnic people.

Linh Truong is a mountainous commune with many difficulties, thus, 100% of households are entitled to social security policies on health, education, job creation, hunger eradication and poverty alleviation. All programs and activities of the commune such as the new rural program, support for poor households, etc. are notified and posted in the village for people to know and participate. Infrastructure investment projects in the commune are 100% funded by the state budget. The hamlets and villagers make a list of investment priorities and send them to the commune to propose items of reasonable and urgent use of budget capital.

<sup>&</sup>lt;sup>6</sup> https://linkcard.vn/xa-linh-truong-huyen-gio-linh

Most of the households in the commune are poor and from ethnic minorities, and the participation of the people still faces many constraints. The first difficulty is in terms of language, since there are very few people of the Van Kieu ethnic group who can read and write Van Kieu script, most of them can only hear and speak Van Kieu language. This leads to the fact that the policies and basic communication materials in paper and written form are hard to reach the people. The second difficulty is geographical hindrance: the area of Linh Truong commune is very widely spread and the population is sparse, so it is difficult for the communal officers to connect frequently with the local people.

**Community Participation:** To improve these issues and promote democracy, starting from 2018, the Community Group was formed in Ba Ze hamlet, Linh Truong commune with the task of participating in monitoring and commenting on public works, local programs, projects and policies. Members of the Community Group include village chiefs, village elders, reputable people in the community, and members of associations, unions, and individuals who were nominated by the people.

For infrastructure construction projects, the Community Group would be the intermediary side to receive design drawings and construction plans from the investor and then explain to households about the project. The Community Group's construction supervision was mainly based on personal experience, but due to a lack of professional knowledge on technical issues, the Community Group did not have supervision capacity.

In addition, to promote the participation of the people, especially the local ethnic minorities, the Community Group and the commune authorities held the groundbreaking ritual for construction works according to the traditional custom. Such events attracted the attention of a large number of people, as well as an opportunity to connect the community with the local government. There, the village elders and hamlet chiefs together with the commune leaders conveyed the information and purpose of the project to the ritual-participating people.

The local government tried very hard to promote people's participation based on the Community Group; however, there were no general guidelines and policies of the State, so it was difficult to implement. Currently, according to regulations, the commune government as the investor bears the responsibility to notify and explain, while the professional supervision is only regulated at the commune level, not at the lower level (village and hamlet). Meanwhile, the commune-level Supervisory Board members only include commune-level officials and employees. It is difficult for the Supervisory Board to operate effectively because of concurrent responsibilities, many overlapped responsibilities, and no allowances. It is easy to see that the most effective monitoring group is the Community Group at the village level because there are people who directly participate and benefit, within short travel distance and are very interested in works and projects, and they also have the ability to listen to opinions. of people quickly and accurately. The opinions of the people usually follow a mechanism of reflection, meeting, and consensus from the village level, then the Community Group representative (hamlet elder/village chief) proposes the ideas to the commune government. For example, in the project of building cultural houses for three villages in Linh Truong commune, the Community Group met and proposed for the commune to modify the design from the ground foundation-based house to the stilt house to suit the national culture. The proposal was approved and from then on, public works such as storm shelters and public spaces in the commune were also designed in accordance with the traditional culture of the people.

The fact shows that the effort and time of people participating in the supervision of the project are not small. In order to operate, it is necessary for the Community Group to be supported with appropriate subsidies from the state budget for the people, especially for those in difficult circumstances.

Besides supervision over the construction works, the Community Group also participated in food safety supervision at Linh Truong primary school. As it is arranged in mountainous communes, the commune's primary school had 4 school campuses, of which two school campuses were in Ba Ze and Ben Tat with semi-boarding for the students. The supervision was very necessary because the meals at the school campuses would directly affect the health of the children of the people in the commune and be related to the support policies of the state as well as the financial contributions of the parents. The Community Group arranged itself into Supervisory Teams to perform expedited checks with a frequency of 1 to 2 on-site visits per month to monitor the food supply source, cooking process, cleaning of the boarding area, and the school's lunch undertakings.

The village-level Community Groups in Linh Truong commune operated flexibly and had been formed through the mechanism of an ad-hoc project. For example, during the COVID-19 pandemic, the commune established a Community Group to monitor COVID with the task of monitoring the epidemic situation in households, and at the same time propagating and coordinating the gift offerings received from benefactors for distribution. Each Community Group member was granted a stipend of VND 100,000/person/month. In fact, in Linh Truong commune, there were many support projects for people, so the Community Group participated in monitoring, typically the policy to support breeds and livestock to help people cultivate and increase production. The Community Group was also responsible for accrediting the quality and effectiveness of aid items. If the quality of aid items was found poor and unusable, the people had the right to refuse, to avoid the waste and loss of the state budget spent on inefficient projects.

**Impact:** As a result of the Community Group's activities, the information was brought to people with clearer interpretation and easier understanding, and people's interest in community projects and works also increased over time. Sharing with the research team, the local government said that people now that paid closer attention to and intensively monitor the construction projects near where they live instead of just ignoring or passing by as before. This also makes contractors, construction units, and investors work more seriously and properly.

From the school's perspective, the Community Group's activities were performed objectively and seriously. The school coordinated well with the Community Group to conduct the tests. During the supervision, the Community Group had some suggestions such as the arrangement of cooking utensils and the position of tables and chairs in the dining area, which were perceived, explained and resolved by the school. The Community Group members also include parents who are feeding their children at school. Therefore, checks also contributed to building trust and at the same time act as a link between the student's parents and the school.

#### 3.3. Comments, experiences and lessons learned from the case study

The case of monitoring the implementation of social security policies for ethnic minorities in Linh Truong commune, Gio Linh district, Quang Tri province is an example of the importance of promoting locality in the implementation of grassroots democracy. In addition, it is well worth mentioning the important role of the need for cooperation between local authorities and community groups. Each aspect and lesson learned in the case study is analyzed as follows:

Index	Principle	Comment
1	Transparency and accessibility	The publicity and transparency of information about works, projects, and policies in the area to the community represent the foundation for the Community Group to contribute ideas and conduct the monitoring.
2	Locality	<ul> <li>Members of Community Group include village chiefs, village elders, good reputed prestigious people in the community, members of associations, unions, and individuals nominated by the people. In addition, the village elders and village chiefs join with the commune leaders to convey information and the purpose of the project to the participating people. The use of local knowledge and local human resources has made the implementation of grassroots democracy successful.</li> <li>For people at the grassroots level, the most effective operation is at the village/village level because the travel distance is not too far and the community has a closer interaction.</li> <li>The works and projects for the community that connect with local cultures and promote national traditions are good solutions to attract and increase the level of interest and voluntary participation of the people.</li> </ul>
3	Equality and inclusion	It is necessary to have flexible and appropriate regulations on languages and specific forms of participation to ensure conditions for particular disadvantaged groups such as ethnic minorities to participate in democratization at the grassroots level.
4	Simplicity and flexibility	The Community groups can work flexibly according to specific cases and projects that need monitoring, dialogue, and suggestions. This mechanism does not place heavy emphasis on administrative procedures; instead, it is a method of operation that is closely-related and friendly to local people, especially the ethnic peoples.
5	Efficiency	With the distinguishing features of ethnic minority areas, the capacity-building training (basic knowledge and skills) plays an important role in effectively implement the community's commenting and monitoring process.

Index	Principle	Comment
6	Sustainability	Project budgets should have a separate budget line to support community participation.
7	Supporting factors	The cooperation mechanism between the local government and the Community Group is very important for the Community Group to operate effectively. The cooperation between the Community Group at the village level and the local government helps to reduce the burden on the commune government in managing and disclosing and explaining the information.

4. Monitoring of vaccination and health services in Gio Viet commune, Gio Linh district, Quang

## Tri province

#### 4.1. Research procedure

- Group discussion with 6 representatives of community groups in Tan Xuan village and the Chairwoman of Gio Viet Commune Women's Union.

- In-depth interview with the Chairman of the Communal People's Committee of Gio Viet commune, Tan Xuan village chief, and the manager of the Gio Viet commune health clinic.

## 4.2. Analysis of the case

**Local introduction:** Gio Viet is a commune located in the east of Gio Linh district, Quang Tri province, Viet Nam. Gio Viet commune has an area of 3.94 km<sup>2</sup>.<sup>7</sup> According to statistics from the health clinic, there are about 1,116 households living in the commune. According to local people, Gio Viet commune is located along the coast, so men often go out fishing for a long time. In the locality, most of the frequent residents are women, the elderly and children.

7 https://linkcard.vn/xa-gio-viet-huyen-gio-linh



**Community Participation:** The Community Group, established in Tan Xuan village, Gio Viet commune since 2015, is a typical case of the community participating in monitoring local projects and policies. During the operation, the members of the group participated in many training courses, awareness-raising training, and learned and shared experiences related to soft skills such as presentation skills, questioning skills, and knowledge related to the implementation of the state budget at the commune level. The group's activities were partially financed by Oxfam Viet Nam. In 2018, stemming from the phenomenon that the commune health clinic did not have a regular attendant, the Community Group organized the monitoring of the health services and vaccinations of the Gio Viet Commune Health Clinic.

Gio Viet Commune Health Clinic usually conducts routine immunization sessions on the 5th and 15th of every month. In addition to 5 official staff, the health clinic had a team of 10 collaborators to support vaccination sessions. In the Community Group, there are 3 members in the team of collaborators who regularly supported the medical clinic. Due to the limited budget and resources of the health clinic, the Community Group both supervised and supported and mobilized more resources for vaccination such as masks, gloves, lunch, and water for the local people to use.

During the monitoring process, the Community Group witnessed many shortcomings in the organization of vaccination for children. For example, the health clinic made a list of children in the vaccination age group with errors; the allocation of ordinal numbers when coming to vaccinate was still messy, leading to people's controversy; the missing amount of injected medicine/vaccine. The Community Group commented and proposed to increase resources and support the health clinic to improve the quality of vaccination sessions.

From the perspective of the commune health clinic, the Community Group's activities had great support in vaccination campaigns. The Community Group members joined the team of collaborators to perform paperwork; patient instructions; calling and propagating local people to participate in vaccination. When a dengue fever broke out, the Community Group directly went to check the sources of infection and thoroughly cleaned the source of infection. As a result, Gio Viet commune was one of the first communes to be identified as out of the epidemic-affected region. In the vaccination campaign for children, the Community Group supervised the number of children in the locality and the scheduled time for vaccination. Therefore, the health clinic could estimate the necessary vaccine doses and reported them to the upper level for timely supplementation.

It is a fact that since there are changes in insurance policies, so when people in the commune have health problems, they can go directly to upper-level hospitals, not through commune health clinics. This change inadvertently affects the local disease control at the health clinic. Therefore, linking with community groups via online form (Zalo group) to promptly receive messages about infected cases in the commune becomes extremely important and plays a key role in disease prevention in the Gio Viet commune.

**Impact:** After 3 years of Community Group monitoring and supporting the health clinic, the situation changed a lot. The health clinic is no longer short of drugs, the assigned sequence numbers were clearly arranged, the vaccination campaign was performed on a specific schedule, and the responsibilities of commune health workers increased markedly. Monitoring and supporting the Community Group also creates confidence for local people who were no longer confused or worried about vaccination for their children. In cases where the child had a fever or was

sick, the local people could notify the health clinic through the Community Group to postpone the injection and ask for medicine for treatment.

In addition to the highly effective participation in supporting health clinics, there are still some problems in the implementation of community supervision. In the opinion of Doctor Truong Huu Thuan, manager of Gio Viet Commune Health Clinic, the health sector is a specific realm requiring certain professional knowledge to be able to participate in the monitoring and evaluation of its procedure and quality. People's participation in supporting the health clinic with logistics, information dissemination, and disease control was very welcomed and encouraged. However, the monitoring, evaluation, and commenting activities were still lacking and not valid. The health clinic was in doubt about the professional capacity of the Community Group, so there were no discussions, suggestions, in-depth exchanges or explanations in the medical realm. The reason for this was partly because the composition of the Community Group involved in monitoring was mainly members who did not have medical experience and/or professional knowledge of health.

Thus, it is possible to realize the form to promote people's participation to supervise specific professional fields such as health is to provide knowledge refresher training. When there is certain expertise in the field of supervision, the Community Group's comments would be effective and the supervised object would timely impart and change accordingly. In addition, there should also be clear regulations on the supervision authority of the Community Group to avoid the situation of the supervised object or monitored unit being reluctant in cooperation with the people's Supervisory Team.

Mr. Le Anh Hung, the Chairman of the Gio Viet Commune People's Committee appreciates the role of Community Group and wishes to replicate this model in other villages in the commune. He believes that the Community Group will help strengthen community monitoring activities on village roads, education, environment, and vaccination issues. Community Group can also report negative events such as theft, security, crime, land disputes, and gambling to the authorities. This helps the government to be nearby the people to solve problems faster and more effectively. "If the community people were silent, the state officials would be dead – it highlights needs to have community-based supervision and the people's voices", Mr. Hung confided himself.

The Fatherland Front established a commune-level Supervisory Board and a commune-level People's Inspectorate, but in reality, the members of these boards were mainly part-time, not in close contact with the people. It is cumbersome with operational procedures for participating in supervision, a decision of the Commune People's Committee was required. Meanwhile, a Community Group could be established on an ad hoc basis, for specific projects with members of reputable people in the community, if given documents, information, powers and finance to supervise, it would be very fruitful and effective.

Speaking to the research team, the Community Group representative says that some conditions are needed for the group to operate successfully as it is today. Firstly, the Community Group members must be supported by their families, providing sufficient economic conditions to participate voluntarily and having a high level of dedication and spirit for the community. Secondly, Community Group needs to be trained, drilled, and learning from similar models to supplement knowledge and learn how to work together effectively. Thirdly, the Community Group needs support, financial support, and resources from the government or social organizations. The support

from Government could be some merit recognition and accolade of the role of the Community Group, providing a room for the group to conduct group meetings, and funding the Community Group by the disbursement of the commune's contingency fund. In fact, the Community Group had been operating very effectively. But after the support from the Oxfam Viet Nam project was signed off, the Community Group had no financial support, so the activities were gradually narrowed, causing a decline in the movement of participation and promotion of the ownership of local people.

#### **4.3.** Comments, experiences and lessons learned from the case study

The case of Monitoring of Immunization and Health Services in Gio Viet Commune, Gio Linh District, Quang Tri Province has demonstrated the core important role of transparency and access to information, and effectiveness in implementation of grassroots democracy. However, the sustainability of the model is a concern that needs further improvement. Each aspect and lessons learned in the case study are analyzed as follows:

Index	Principle	Comment
1	Transparency and accessibility	The practice of people's right to access information about the operation of the health clinic has created favorable conditions for people's inputs with comments and monitoring.
2	Locality	The support and coordination of the people with the administrative unit at the grassroots to carry out activities for the community help to achieve high efficiency, significantly increase work efficiency and create a positive impact. The participation of members of the Community Team in supporting the operation of the health clinic is the most extensive and intensive form of participation.
3	Equality and inclusion	All members of the community can contribute, especially those who directly support the work of the commune health clinic. This approach facilitates the community participation
4	Simplicity and flexibility	The Community Group members directly supervise and contribute ideas to the commune health clinic. The job does not have heavy administrative requirements, so it is suitable for the local community.

STT	Nguyên tắc	Bình luận
5	Efficiency	It is very necessary to foster the professional knowledge of members of the Community Group participating in monitoring specific issues such as health and budget, directly related to the effectiveness of supervision and people's comments. Administrative units such as commune health clinics should participate in the process of fostering the knowledge and training for Supervisory Team members to perform the monitoring activities.
		Training courses and initial funding supported by social organizations and NGOs are essential, helping the people to equip themselves with useful skills, confidence, and resources to build up the Community Groups.
6	Sustainability	Due to a certain reliance on the support of social organizations (Oxfam), the sustainability of the Community Group model has been influenced. In the long term, the regulation of the state budget to support the operation of Community Group to encourage people to participate in monitoring, dialogue, and consultation activities is extremely important.
7	Supporting factors	The cooperation mechanism between the Community Group and local authorities and the participation of social organizations is highly appreciated. However, it is necessary to clearly define the establishment and supervisory authority of village-level Community Groups, to avoid the lack of cooperation of the subjects being monitored due to doubts about the authority of the community monitoring group. Without a clear legal mechanism, the people's participation can only stop at the level of support, which is not mandatory for checking and monitoring.

# 5. Environmental improvement and new rural program in Tuy Lai commune, My Duc district, Hanoi city.

## 5.1. Research procedure

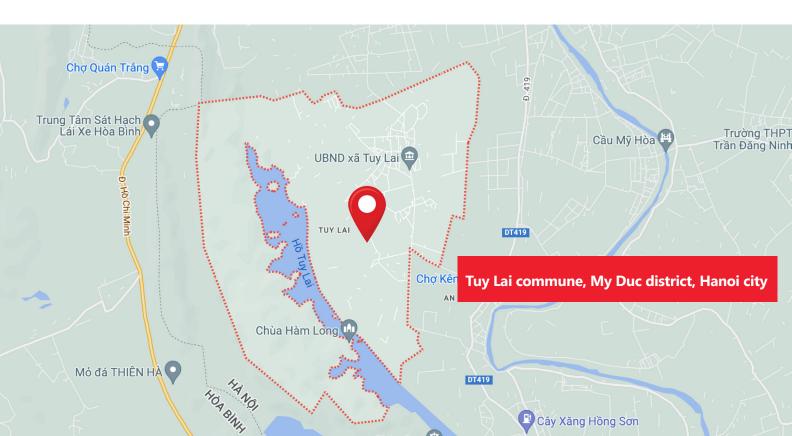
- In-depth interview with the initiator and representative of members of the community group in Dong Ma village, Tuy Lai commune.
- Interview and consult with the villagers about the activities of the community group and the situation in Dong Ma village, Tuy Lai commune.

### 5.2. Analysis of the model

**Local introduction:** Tuy Lai commune, My Duc district is located about 45 km from the center of Hanoi capital to the southwest. The commune has a total area of 26.5 km<sup>2</sup> including 14 villages.<sup>8</sup> Through interviews in the area, the research team learned that since 2019, the commune's waste treatment had a big problem, causing the local garbage collection unit to stop the service for 7 months. Immediately, the garbage piled up, debris was thrown indiscriminately, and overflown all over the roads and alleys, causing serious environmental pollution and loss of aesthetic view. The local people complained and petitioned the commune authorities a lot, but received no response. The government was powerless to handle it. Talking about the commune's response to the rampant waste situation, some Tuy Lai people frankly stated it in interviews: "People outcry a lot but state officials are appearing dumb deaf"

**Community Participation:** To deal with this problem, a Community Group was established first in Dong Ma village, initiated by Mr. Nguyen Van Hieu, a young villager with knowledge in garbage sorting and disposal and he had a very good relationship with the community. The Community Group membership mainly consists of members of the village women's union. The Community Group maintained the relationships, connecting with each other through sports activities such as playing volleyball and dancing together. The Community Group formulated a Facebook group with about 100 members with the purpose of increasing interaction, socialization, motivating members and planning to organize common events. All operating expenses were voluntarily contributed by the members.

After its establishment, the Community Group collectively held garbage collection and cleaning sessions and contacted a garbage collection unit service to collect waste 3 days a week. At the same time, the Community Group also planned and assigned the supervisors to watch the garbage disposal behavior of households in the village. Those who threw garbage in the wrong place would



<sup>8</sup> https://linkcard.vn/xa-tuy-lai-huyen-my-duc



be notified by the Community Group at the door, asking for an apology and a commitment not to repeat the offense. The Community Group worked meticulously to the point of checking each bag of trash, retrieving and searching for information (such as discarded pieces of paper bearing some names or thrown away certificates of merit) to find the person who littered indiscriminately and then came to see them in person. In addition, the Community Group also actively propagated in many ways such as putting up signs, using social networks, and using loudspeakers to raise people's awareness and responsibility for waste management. Since then, waste management in Dong Ma village had been rapidly improved.

Along with waste disposal, the villagers also wanted to build a road to facilitate local travel and improve the environmental landscape. In fact, the road construction budget was included in the New Rural program, but when the people asked the commune authorities, the officials replied that there was no funding. Determined not to give up, Mr. Hieu, representing the Community Group, found his way to the new rural office to ask about the financial source of capital, only to discover the funding from the state budget to build 6km of road for the village. After many augmented communications and proposals, the commune authorities finally decided to allocate capital and proceed to build 2.4km of road for Dong Ma village.

When there was no more littered trash and a new road was put into use, the Community Group continued to deploy flower planting along the roads in the village, both to improve the aesthetic scenery and raise the people's sense of no-more indiscriminate littering. The Community Group and villagers together participated in contributing flowers, watering, and contributing efforts to complete the colorful village road, making it an interesting place to visit and a beautiful spot to take photos. Initially, some flowers were unsuitable and were eaten by cattle, so the Community Group actively looked for alternatives such as the Five-color bush flower, which was both beautiful, durable, and inedible for livestock, free from grazing.

**Impact:** The Community Group's efforts have created a spectacular transformation, completely changing the face of the village, and at the same time raising people's awareness about environmental protection and general hygiene. The Community Group also admitted a lot of members to join the common Facebook group. All information about floristry events, sanitation, activities, arts, sports or comments on prominent local issues were discussed in the common group. The members of the group all felt happy, connected with each other and had a high sense of responsibility to the community. The model was quickly replicated in the whole commune, and many other villages learned and followed the model from Dong Ma village. Currently, the whole Tuy Lai commune has 12 flower routes managed by 11 village women's associations with a length of more than 6km.

The flower-bordered road project in Tuy Lai is a prime example of people's direct participation in the grassroots democracy implementation process. It comes from people's desires, participation in planning, contributing efforts, and money to clean up, make roads, choose varieties and plant all by themselves. In the end, the people are also the beneficiaries and maintainers of the works.

In contrast to the community's active participation movement, the government of Tuy Lai commune, from the perspective of the people, was not doing well in its mandate of publicity, transparency and disclosure of information. Along with the projects that people contributed and directly participated in, other activities funded by the local budget were not revealed, because the government did not provide the information. When receiving people's complaints about many troublesome problems in the commune such as garbage littering, road encroachment, drainage blockage, and delinquency, the authorities were often indifferent, ignoring and shunning their accountability. Only when the problem became extremely serious such as uncollected garbage, people signing a collective petition, and raising their outraged voices through the press and media that the government took action. If there was no press agency or media to report on, the problem would remain around community meetings to send appeals in vain.

Regarding the issue of information disclosure and transparency, people in Dong Ma village believe that there are many ways for the government to easily and quickly transmit information to the people. For example, posting announcements on the news board at the cultural house, where the Community Group and population groups would gather, and organize cultural and sports activities; or communicate through social networks, the Community Group's general information FB group. Meanwhile, the public information released by the government should be attached with specific contact information of the person in charge of the project so that people could contact and get to know more by themselves.

#### 5.3. Comments, experiences and lessons learned from the case study

The case of community-led environmental improvement group and the new rural program in Tuy Lai commune, My Duc district, Hanoi city demonstrates the prominent role of the local community, simplicity, and flexibility in the paradigm of a successful basic democratization. Each aspect and lessons learned in the paradigm are analyzed as follows:

Index	Principle	Comment
1	Transparency and accessibility	The publicity and transparency of the information should be diversified and customized according to local realities to achieve high efficiency. In this situation, the Community Group had to proactively request and exercise its right to access information
2	Locality	This paradigm is a typical example of local people implementing grassroots democracy for the benefit of the community in terms of environment and infrastructure. For issues directly related to the rights and living environment in their own villages, the motivation for people to participate in contributing, checking, and monitoring is very strong and persistent.
3	Equality and inclusion	Any interested community member can join the community activities and raise voices in the Community Group.
4	Simplicity and flexibility	The Community Group operates under the mechanism of discussion, giving opinions and direct supervision in the locality, the method of socialization through sports-cultural activities, and means of communication through popular social networks. Not administrating the operating mechanism makes Community Group friendly and suitable for local people.
5	Efficiency	The competence of Community Group members that counts, for example here is Mr. Nguyen Van Hieu with professional knowledge in the field of waste treatment, able to propose solutions to handle problems, gain trust and faith to convince the people as well as the local government, which is very crucial in the activities to promote the democratization.
6	Sustainability	The Community Group in Dong Ma village is proof that Community Groups have the ability to operate and maintain themselves. The Community Groups unite the people and promote the spirit of participation and contribution, preserving the common living environment, security and civil order in the locality.

Index	Principle	Comment
7	Supporting factors	The role of agencies, press, and media is extremely significant in supporting and ensuring the implementation of democracy at the grassroots. The press helps to amplify the voice of the people, and social organizations with expertise, experience, and capabilities in many diverse fields are closely-related to the people and can actively support the people in the community-based supervision. It can be said that the press agencies and social organizations have an active role in supporting the people to monitor and implement democracy at the grassroots. On the other hand, the coordination mechanism with local authorities is a barrier in this situation. The large gap between the Community Group and the government negatively affects the performance of the Community Group and the implementation of grassroots democracy in the locality. This further emphasizes the need for an institution that better supports Community Groups.

## 6. Management board of condominiums in Cau Giay district, Thanh Tri district, Thanh Xuan district, Hanoi city

#### 6.1. Research procedure

- In-depth interview with 4 representatives of the Management Board, and Community Supervisory Board of 3 condominiums: IG Apartment (Thanh Xuan district); G3CD (Yen Hoa New Urban Area, Cau Giay District) and V103 (Thanh Tri District). These are 3 apartment blocks in the high-end, mid-range and low-end segments.
- Consultation with a number of residents living in condominiums in Hanoi city and find out more information about some other apartments in Hanoi city through various information sources.

## 6.2. Analysis of the model

**Local introduction:** A condominium, an aggregation of residents from various places with a variety of ages, occupations, qualifications, etc., can be viewed as a miniature grassroots unit. Therefore, the management of condominiums with the main institution being the Management Board also reflects similarities with the implementation of democracy at the grassroots. Furthermore, the condominium management board has many conditions for democracy to be implemented: (1) The management board has the right to manage and use the maintenance fund of the apartment complex; (2) Residents in the condominium have the right to directly elect members of the Management Board; (3) There are forms for residents to comment, discuss and decide on the issues of the apartment, then the Management Board adopts many different forms; (4) The governance performed by the authority gets involved in certain issues.



In Hanoi, as of February 2020, 13.5% of the population is living in apartments. The city has nearly 2,600 condominiums, accounting for 58% of the total number of apartments in the country, of which there are nearly 1,580 old condominiums, 845 commercial condominiums and 174 resettlement apartments.<sup>9</sup> As of October 2021, the number of commercial apartments in Hanoi has been completed and put into use up to 928 buildings, of which 660 apartments have established a Management Board.<sup>10</sup>

According to current regulations, multi-owner condominiums with 20 or more apartments are required to establish a Management Board consisting of condominium owners, investor representatives (if any) or can include apartment users to participate in the condominium conference. The management board of the condominium is organized and operates according to the Board of Directors of a joint-stock company or the Management Board of a cooperative, bearing a legal entity and legitimate seal, and the Management Board members are entitled to remuneration for accountability.<sup>11</sup>

<sup>&</sup>lt;sup>9</sup> Lê Quân, Hanoi began inspecting many apartment buildings from the second quarter, https://thanhnien.vn/ha-noi-batdau-kiem-tra-nhieu-nha-chung-cu-tu-quy-2-post925855.html, posted on 15/02/2020, retrieved on 15/9/2022.

<sup>&</sup>lt;sup>10</sup> Thanh Xuân, Hà Nội: 928 condominiums are completed for being put into use, https://vneconomy.vn/ha-noi-928-nhachung-cu-da-hoan-thanh-dua-vao-su-dung.htm, posted on 27/10/2021, retrieved on 15/9/2022.

<sup>&</sup>lt;sup>11</sup> Regulations on management and use of apartment buildings (issued together with Circular No. 02/2016/TT-BXD dated February 15, 2016 of the Minister of Construction, amended and supplemented by: Circular No. 22/2016/TT-BXD dated July 1, 2016 of the Minister of Construction annulls all or parts of the legal documents that stipulate business investment conditions issued or jointly promulgated by the Ministry of Construction. taking effect from July 1, 2016; Circular No.28/2016/TT-BXD dated December 15, 2016 of the Minister of Construction amending and supplementing a number of regulations of Circular No. Circular No.10/2015/TT-BXD dated December 30, 2015 of the Ministry of Construction stipulating the training and fostering of professional knowledge and skills in apartment building management and operation, Circular No.11/2015/TT- BXD dated December 30, 2015 of the Ministry of Construction stipulating the issuance of real estate brokerage practice certificates; guiding the training and fostering of knowledge on real estate brokerage practice, and real estate business, the establishment and organization of activities operation of the real estate trading floor and a number of regulations of the Regulation on management and use of apartment buildings issued together with the Circular No. 02/2016/TT-BXD dated February 15, 2016 of the Minister of Construction, taking effect from February 1, 2017; Circular No. 06/2019/TT-BXD dated October 31, 2019 of the Minister of Construction amending and supplementing a number of articles of the Circulars related to the management and use of apartment buildings; taking effect from January 1, 2020; Circular No. 07/2021/TT-BXD dated June 30, 2021 of the Minister of Construction amending, supplementing and annulling a number of articles of Circular No.19/2016/TT-BXD dated June 30, 2016 and Circular No. 02/2016/TT-BXD dated February 15, 2016 of the Minister of Construction, effective from August 15, 2021).

**Community Participation:** All 3 studied apartment complexes are multi-owner apartments and each already established a Management Board, operating under the Board of Directors of a joint stock company and operating on the principle of collective consensus, and majority rule in decision-making. In which, G3CD Condominium started operating under the Law on Housing 2005 (amended and supplemented in 2009), and Apartment V103 (Thanh Tri district) and IG (Thanh Xuan district) started operating under the 2014 Housing Law. As of September 2022, only G3CD Condominium has no representative of the investor in the composition of the Management Board (because the investor no longer owns the apartment).

The people living in condominiums (surveyed) are often interested in some information as follows: (i) The cost for maintenance of common areas (data, management and use); (ii) The operational management and contact information while living in the apartment (service fees, cleaning, electricity, water problems...); (iii) Apartment warranty issues (conditions, procedures); (iv) Information on the establishment of the Management Board, the Community Supervision Board, etc. The most popular forms of information disclosure are the platforms on Zalo and Facebook. In addition, the group of elderly residents prefers to see information on bulletin boards of floors or buildings because this form is more suitable for their characterized age.

**Impact:** The actual survey shows that some issues of the condominium (for example, the issue of increasing service fees, parking fees, etc.) need to be discussed and consulted with residents before holding a conference to vote on the decision. Many people raise their opinions that interaction and finding consensus are very important, affecting the quality and efficiency of the residents participating in the discussion and deciding on the issues of the condominium. Simultaneously, the unblocked flow of information, along with clarity, transparency, and accountability are conditions for residents to discuss and make decisions. In order to carry out the exchange and collection of residents' opinions, it is indispensable to have the coordination and organization of the Management Board.

For example, the process of collecting opinions and voting on the increase of service fees in Condominium V103. Before organizing the Condominium Residents Conference, the Management Board coordinated with the Operational Board to collect the residents' opinion polls and publicize the information and explain the related issues through social media channels and news billboards. After collecting opinions and obtaining consensus from residents (more than 50% support), the Condominium Management Board held a new Condominium Residents Conference to vote on this issue. This helps residents in Condominium V103 to understand the problem and enthusiastically participate in suggestions and discussions about increasing service fees.

Condominium V103 is the only place in the 3 studied apartments that has established a community-based Supervisory Board operating in parallel with the Condominium Management Board. Accordingly, this is a section consisting of qualified residents according to the standards prescribed by the Regulations on Management and Use of the Condominium, elected by the representatives after the Condominium Residents Conference to carry out the inspection, supervision, monitoring and evaluation independently, objectively and honestly all activities of management, administration, in compliance with internal rules and regulations of law, of the Management Board and managing and operating unit.<sup>12</sup> The Supervisory Board comprises 7-9 members, elected by the representatives of the floors<sup>13</sup> after the Condominium Residents

<sup>&</sup>lt;sup>12</sup> Clause 2 Article 2 Regulations on management and use of Condominium V103 promulgated in 2019.

<sup>&</sup>lt;sup>13</sup> The floor representative is the owner of an apartment, living in the condominium, appointed by the residents of the same floor to represent the floor to participate in the activities of the condominium, to decide on behalf of the floor on the issues of the condominium. within the mandated scope (Clause 5, Article 2 of the Regulation on Management and Use of Condominium V103 promulgated in 2019).

Conference, while the Supervisory Board members are the condominium residents. The Supervisory Board members are not those in the Management Board and/or siblings of the Management Board members (wife, husband, children, parents, biological brothers or sisters). The members of the Supervisory Board are volunteers, who receive no salary, nor any remuneration from the community. The Supervisory Board is arranged to work at the community meeting room or the office of the Management Board and is allocated a reasonable amount of funds from the Operational Fund to serve the Board's activities such as printing of documents and drinking water (amenities).

At Condominium V103, the members of the Supervisory Board are volunteers, who do not receive a salary, or any community benefits. This will ensure that the Supervisory Board operates impartially and objectively, regardless of the Management Board's or the community's funding. This shows that, for good supervision, the monitoring institution must be really independent of the monitored object. Related to the implementation of democracy at the grassroots level, a number of current monitoring institutions (Viet Nam Fatherland Front, People's Inspection Board, etc.) still have a certain dependence (on an operating budget) on a state agency (subject to be monitored). This is an issue that needs to be further clarified in the near future in order to contribute to improving the effectiveness of monitoring activities at the grassroots level.

The opinions from the surveyed people all agree that the institution of the Supervisory Board should be regulated arbitrarily, depending on the needs of the specific condominium. It ensures flexibility in the organization and operation of the condominium. Related to the implementation of democracy at the grassroots, the establishment of self-governing institutions and organizations of the community, especially the good practices of community-based supervision (for example, the Community Groups in Quang Tri) should be encouraged to establish and operate in parallel with the institutions established by the State that play the role of ensuring the people's right to participate and their legitimate interests to be attended.

Besides the Management Board and the Supervisory Board, the street residential group is also a basic and important institution of grassroots democracy implementation. In 3 surveyed condominiums, there are street residential groups with different scopes and sizes. In fact, the activities of interaction and information communication between the street residential group and the people living in the condominiums in many places face many difficulties. The reason may be due to a large number of apartments and diverse population; many people do not reside in the area, while the monitoring of information listed on the notice board of the apartment is very little. However, in the condominiums with the support and coordination of the Management Board and the Community based Supervisory Board, the operating conditions of the street residential group are much more favorable. For example, the management board of Condominium V103 established a link of floor representatives with the street residential group to support the implementation of activities related to policy communication, contributions, and community events. It facilitates the information disclosure and community connection of the Street Residential Group more easily and conveniently.

# 6.3. Comments, experiences and lessons learned from the case studies

Hanoi city show the urgent need for a complete legal basis to promote the implementation of grassroots democracy through organizing the Management Board and the Supervisory Board. Each aspect and lesson learned in the case are analyzed as follows:

Index	Principle	Comment	
1	Transparency and accessibility	The form of publicity and transparency of information at the grassroots level can be applied flexibly. The needs and recipients of information in condominiums in big cities are very different from those in villages and hamlets of rural areas.	
2	Locality	Urban communities living in condominiums have specific characteristics and concerns of urban residents with closely linked interests. Therefore, the Management Board model needs to be studied carefully in order to effectively promote the grassroots democratic mechanism.	
3	Equality and inclusion	All members of the community can have their input with personal comments with the condominium management board. This allows the Management Board to collate diverse voices of the people.	
4	Simplicity and flexibility	The main form of interaction of the Management Board and the Supervisory Board is to publicize information through easily accessible means (news billboards of floors or buildings, social networks), collect opinions from residents, and hold voting meetings. Simple organization, direct operation, and friendly to people are important factors for the effective operation of the Management Board and the Supervisory Board.	
5	Efficiency	There should be clear independence in terms of budget sources and interests between the monitoring institution and the monitored subjects to ensure impartiality and objectivity in the operation process. Some of the monitoring institutions established by the State have not been highly effective due to this lack of independence.	
6	Sustainability	Due to the characteristics and actual needs of the urban population, the sustainability of the Management Board model is substantially appreciated, thanks to the resources guaranteed from the residents' contributions.	
7	Supporting factors	- The Management Board and the Supervisory Board are important institutions in the organization and operation of the condominium as well as promoting the participation and implementation of democracy by residents because it is very	

Index	Principle	Comment
		closely related to the people. The Management Board can be seen as a grassroots democratic organization, but its authorization, responsibilities, and duties are defined as a specialized organization. Therefore, in many condominiums, it is difficult for the Management Board to "carry" and fulfill its responsibilities. Therefore, it is necessary to study and adjust the regulations on the mandates, responsibilities and duties of the Management Board to ensure the operational efficiency of this institution in practice. - The coordination mechanism between grassroots institutions (villages and street residential groups) such as street residential groups, Fatherland Front Working Unit, mass organizations and some other institutions at the grassroots level with specific characteristics (such as the Management Board, the Supervisory Board of the Condominium) is extremely important, for it can contribute to ensuring and promoting the sense of ownership of people at the grassroots. - The legal basis for establishing the institution of the Supervisory Board has not been clearly and specifically defined. Therefore, it is necessary for the law to clearly identify this institution in order to facilitate the practice of democracy.

# 7. Environmental improvement along the Red River side, Chuong Duong ward, Hanoi city

#### 7.1. Research procedure

- Participating in observation: the research team members got involved in the undertakings with the People's Committee of Chuong Duong ward, mass organizations, and the community since the beginning of the project implementation.
- Discussions with people who participated and benefited from the project on how to implement the project.

# 7.2. Analysis of the model

**Introduction:** The project to improve the environment on the Red River side, implemented at alley 43/32 Bach Dang street, Chuong Duong ward, Hoan Kiem district, Hanoi, started in September 2021. In phase 1, the project improved 1,500 square meters of landfill, tidying the waste pollution and domestic water to create a multi-functional public space for the residential community. The project was initiated by the network "For a Hanoi worth living in" and implemented by four organizations "Think Playgrounds" (TPG), "Keep Hanoi clean" (KHC), Center for Environment and Community Research (CECR) and ECUE. The project was implemented with the permission of the Standing Board of the Hoan Kiem District Party Committee and the Hoan Kiem District People's Committee, the technical support of the Department of Natural Resources and Environment, and the site clearance work of the People's Committee of Chuong Duong Ward. In addition, the project also had the participation of local people, the Women's Union, Youth Union, Veterans Association



of Chuong Duong Ward, Urenco Hoan Kiem urban environment company, and volunteers who came to the project from all over Hanoi. During this period, the project had: (i) cleaned up more than 200 tons of garbage; (ii) organized training for the community on waste management and reduction; (iii) treated the domestic wastewater before discharging it into the Red River; (iv) made a community forest garden; (v) built the playgrounds for children; (vi) paved a road connecting the community with green space. With the success of the pilot phase, the project was expanded to 8000 square meters in order to change the living environment as well as space for the physical and mental activities of local people, students, and other social groups in Hanoi.

Before the project started, alley 43/32 Bach Dang street, Chuong Duong ward was just like a landfill that had accumulated waste for many years. When representatives of social organizations such as ECUE and TPG came to survey in June 2021, the local people there were very



upset because they had raised the problem to the government for many years but could not solve the environmental situation. Many households living next to landfills suffered from a stench of rotten smell due to the garbage being dumped openly or secretly into a pile. Some people had to burn garbage every week to avoid accumulation, causing air pollution.

The people did not believe in the ability to solve the problem, because according to them, some organizations only came to clean up trash in the style of "throwing the rocks into duckweed pond". So, it "returns to itself" after the movement ends. And the government "promised a lot" but had not resolved yet. The local government also knew that the area was the "black spot" of the district's environment. Some officials believed that the people were the main cause of the pollution because they had no sense of waste collection. Due to the budget allocation as well as the complexity of the riverside areas, although knowing the problem, the local government had no program or solution to thoroughly solve this situation.

**Community Participation:** Social organizations realize that this is a rather complicated issue because it involves many parties. To solve it, cooperation between the parties is necessary. Therefore, social organizations act as a bridge for the parties to cooperate with each other. The first thing to do is to survey the current situation and consult the people about their wishes. Although in doubt, the people still participated in making their wishes to be heard. From the status quo and the wishes of the people, social organizations (collectively referred to as the Viet Nam Social Network-VMHNDS) have come up with a renovation plan including (i) garbage collection; (ii) drainage culvert; (iii) interlinking roads; (iv) a playground; (v) forestry garden. After having a plan to renovate, VMHNDS social network sent an official dispatch to Hoan Kiem district and Chuong Duong ward to ask for permission for deployment. After the meeting to present the detailed plan, including the technical and financial options, Hoan Kiem district agreed with the project implementation and directed the People's Committee of Chuong ward and mass organizations to participate. In addition, the Hoan Kiem district authority also directed the urban environment company URENCO Hoan Kiem to participate in garbage cleaning and solving the waste collection problem once and for all in the project area.

**Impact:** After obtaining the consent of the district authority, the People's Committee of Chuong Duong ward held a meeting with representatives of mass organizations to present the project implementation plan. At this meeting, many residents raised their questions related to space management after the renovation, those who are using the river sides for personal activities, and especially the handling of plants and animals in the riverside area. Stemming from the project's purpose of serving the public interest and legislation related to riverside management, the local authorities and VMHNDS responded to people's questions. Therefore, the consensus and support of the people had been obtained. After the meeting, the renovation plan was made public to all concerned households for their information.

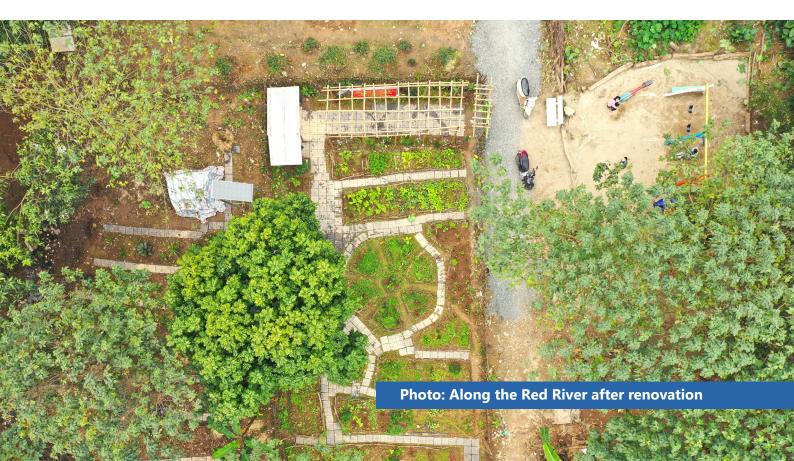
It was through the participatory process of the people and stakeholders that the project was successful. The project becomes a place to connect parties from the government to the people, from social organizations to businesses and donors. For example, garbage collection activities involve URENCO, the Women's Union, Veterans Association, Youth Union, volunteers and social organizations. Many people contributed trees to plant in the forestry garden. A gardening team was established with the participation of the Women's Union and some people living near the garden for convenience. It is said that the project implementation process has contributed to solving the community's pressing environmental problems thanks to the participation and cooperation of all parties.

# 7.3. Bình luận, kinh nghiệm và bài học từ mô hình

The project to improve the environment of the Red River side emphasizes the core role of the tripartite cooperation mechanism, including community, government and social organizations. Each aspect and lesson learned in the case are analyzed as follows:

Index	Principle	Comment	
1	Transparency and accessibility	Clarifying the public interest is very important to avoid causing conflicts and reactions from the people. This is only achieved when there is publicity and transparency about the project purpose, project items, implementation plan, management, operation & maintenance plan.	
2	Locality	Projects generated from the urgent needs of the people will get their consent and participation, as well as from the stakeholders.	
3	Equality and inclusion	All local people benefit and directly participate in project comments and supervision.	
4	Simplicity and flexibility	From a grassroots democracy perspective, people's suggestions are received through consultation and community meetings. The form of direct access makes it easy and convenient for people to raise their voices, overcoming the initial doubtful hesitations.	
5	Efficiency	The need and participation of the community, the role of social organizations and the cooperation of the government are the prerequisites for the success of the project.	
6	Sustainability	The restoration project has enhanced the capacity of the stakeholders (community, government, and civil society organizations), creating opportunities to continue learning from experience, and maintaining and expanding the model in the future.	

Index	Principle	Comment
7	Supporting factors	The trust between the people and the government and social organizations is important for cooperation. This trust is only gained when it is based on the public interest (of the people and the community), the openness and transparency of information, as well as the responsible participation and contribution of all stakeholders. Social organizations can act as a bridge, as an intermediary for the government and the people to solve a number of backlogs and complicated issues. The involvement of district and city governments is very important. Due to the characteristics of large urban management, decisions are often made at the district and city levels, so the participation and support of these levels in implementing community activities at the level of the neighborhood group or ward is significantly necessary.



### II. Lessons learned from real case studies

Through analysis of seven specific cases studies as well as practical experiences, the research team generalizes and collated into six lessons and suggestions directly related to the institutionalization of the conditions that motivate the people in exercising their rights to democracy in making inputs in the draft Law on implementing grassroots democracy as follows:

- 1. It is to supplement the right to establish community-based Supervisory Boards in villages and residential quarters in order to create more favorable conditions for local people to supervise the implementation of policies and laws in the locality of villages and residential quarters. This is important because the case studies consistently show that people engage most effectively in the undertakings that are closely related to them, both geographically and in interest. In addition, when they participate in monitoring activities at the village level, they can report more easily and confidently about their problems to the commune authorities the level of governance closest to them.
- 2. To open more room for the subjects to participate in supervision, pay attention to the role of social organizations and press agencies to get involved in and ensure the implementation of democratization at the grassroots by the people. Evidently, these are two institutions that are useful for implementing democracy at the grassroots. Their participation will create a bridge between the people and the government so that discussions and cooperation could be more timely, smooth and effective.
- 3. To supplement the regulations on the secured budget for communes, hamlets, and residential quarters to encourage people's participation in meetings, discussions and consultations held by villages, residential quarters and commune authorities. Obviously, democracy and participation require interaction among people and between people and the government. This is only possible if there is ongoing and long-term organizational funding.
- 4. To ensure the rights of vulnerable and minority groups (women, ethnic minorities, people with disabilities, temporary residents in the locality where they actually live, etc.) through appropriate regulations relating to language and form of participation. For example, for ethnic minorities like the Van Kieu who are mostly illiterate, it will be more appropriate to create sound (recorded) documents, easier for people to access, from which they will have information for participation. and exercise their democratic rights.
- 5. To supplement the regulations on content, form, and principles of information disclosure and transparency at the grassroots level. Publicity must be associated with transparency, ensuring the right of disadvantaged groups to access the information.
- 6. To supplement the content, sequence and procedures for discussing, deciding, and giving opinions on issues at the grassroots level (the contents discussed and decided by the people should include the state budget revenue and expenditure at the commune level; the dialogue between the Commune People's Committee and the people, etc.).

# III. Some specific recommendations for the draft Law on Implementation of Grassroots Democracy

Based on lessons learned from practice and analysis of the draft law submitted to the National Assembly (October 2022), the research team worked out the following specific recommendations for the draft Law on Implementation of Grassroots Democracy before it was reviewed and approved by the National Assembly for promulgation in the 4th Session of the 15th National Assembly, as

well as for the process of developing sub-law documents for the Law to come into force after officially taking effect from the 1st. July 2023. These comments were also conveyed to a number of agencies of the National Assembly and were discussed at the Symposium "Implementing grassroots democracy in Viet Nam: Good practices and policy implications" in Hanoi on November 2, 2022. Here are some general and specific comments for the Law project.

## Some general comments on the draft Law:

- The Law on Implementing Democracy at the grassroots must categorically be a law on human rights and democracy, with a human rights-based approach, and ensure the people's right to participate in state and society governance. The law should fully stipulate the responsibilities of relevant state agencies and mandated organizations in ensuring and facilitating the implementation of democracy at the grassroots level. At the same time, there should be regulations on sanctions for violations of the law on the implementation of democracy at the grassroots.
- The document contains words about individual citizens such as People, Citizens, and Residential Communities, inconsistently used in context. It is necessary to unify the use of terminology in the draft law as well as amend some paragraphs related to legislative techniques.

;	#	Draft version	Comment	Recommendation
	1	Article 5. Citizen's rights in the implementation of grassroots democracy 1. Granted/ given the disclosed information 4. Granted/ given the recognition, respect, protection and assurance in the realization of the rights and benefits	Regarding the approach to areas of grassroots democracy This law must truly be a law of human rights and democracy, with a human right-based approach. The regulations that implicate the "given/granted" rights to the people (e.g. Articles 5, 7, 27) need to be re-paraphrased. Regulations on the responsibilities of state agencies need to be more sufficient.	It is necessary to review the provisions on specific rights in the Law to overcome the ten- dency to "grant and/or give" the rights Article 5, Clause 1 and 4 should be paraphrased as follows: 1. Access the information as specified by laws. 4. Perform the legal rights and legitimate benefits in the implementation of grassroots democracy as specified by laws.
	2	Article 7. The right of beneficiaries 1.1. Being granted/ given and recognized by the State and laws 2. Being granted/ given the information	When the law stipulates the people's legitimate rights, it corresponds to the responsibility of the State in ensuring the actual implementation of the rights. Therefore, it should not be redefined the citizenship recognized by the State.	Article 7 should be paraphrased as follows: 1. The State and law recognize, respect, protect and ensure the exercise of human rights and citizens' rights in political, civil, economic, cultural and social terms.

## *Some specific recommendations on the draft Law:*

#	Draft version	Comment	Recommendation
	<ul> <li>3. Granted/ given the beneficiaries</li> <li>4. Granted/ given the facilitated conditions</li> </ul>		<ul> <li>2. To access full and timely information on lawful rights and legitimate interests, social security, and social welfare policies as prescribed by law and decisions of local authorities, agencies, units and related organizations.</li> <li>3. To benefit the results of renovation, socio-economic development, social security regime and the safety and stability of the country, the locality and the community where the people reside; achievements of innovation and development of agencies, units and organizations with employees working in their working places.</li> <li>4. To participate in study, work, employment, production and business, improving and enhancing the materialized and spiritualized life of oneself, family and community.</li> </ul>
3	Chapter V (Organizing the implementation of the law on implementing democracy at the grassroots level)		Chapter V (Organizing the implementation of the law on implementing democracy at the grassroots level) needs to supplement with general responsibilities of state agencies and relevant organizations: "Disclosure and provision of information at the request of the people in a complete, timely, accurate manner"; "Recognize, respect, protect and ensure the exercise of the people's legal and legitimate rights and interests in the implementation of grassroots democracy as specified by law." To supplement the regulations on sanctions on any violations of the law on implementing democracy at the grassroots

#	Draft version	Comment	Recommendation
4	<b>Clause 2, Article 3:</b> Ensure the leadership of the Party, the governance of the State, the core role of the Viet Nam Fatherland Front and socio-political organizations in the implementation of democracy at the grassroots.	Besides the role of the Party and State, the Draft Law stipulates that the subject is the Viet Nam Fatherland Front and its members in the implementation of democracy at the grassroots. In order to ensure the <b>diversity of</b> <b>subjects and the</b> <b>effectiveness</b> in implementing grassroots democracy, it is advisable to add the <b>social</b> <b>organizations and press</b> <b>agencies</b> to the list of subjects.	Clause 2, Article 3 should be supplemented as follows: To ensure the leadership of the Party, the governance of the State, the core role of the Viet Nam Fatherland Front, its member organizations and the participation of social organizations and press agencies in the implementation of grassroots democracy.
5	Article 11: The contents that must be exposed to the public by the communal local authorities	There is a lack of content on the <b>outcomes of</b> <b>democracy implementation</b> <b>at the commune level.</b> This is a very important issue raised through the practical implementation of the Ordinance on Implementation of Democracy in communes, wards and townships in 2007.	A clause should be supplemented to Article 11 (after the clause on specific contents): "Reported outcome of implementing democracy in communes, wards and townships"
6	Article 12. Forms of information disclosure and the time for information disclosure	<ul> <li>Forms of information disclosure will be updated and supplemented according to the development of science, technology and society.</li> <li>Therefore, Article 12 should have an open provision to ensure the predictability of this regulation.</li> <li>Publicity should be accompanied by transparency, ease of understanding and accessibility.</li> <li>Those are the essential conditions for the People to see, consider and evaluate the issues accurately, objectively and fairly. In addition, it is necessary to ensure the rights of ethnic</li> </ul>	<ul> <li>Article 12: Forms, principles, and timing of information disclosure</li> <li>To amend the bulleted point k, Clause 1: "Other forms as</li> </ul>

#	Draft version	Comment	Recommendation
		minorities, language groups, people with hearing or vision disabilities, etc. in accessing the information.	information disclosure suitable for ethnic minorities and people with hearing and vision disabilities. In communes with 15% or more ethnic minorities, the information must be translated into the respective ethnic minority language.
7	Article 15. Contents Discussed and Decided by the People	The scope of content for the people to discuss and decide should be expanded in accordance with the democratic requirements, as well as ensure consistency in the legal system (for example, legislation on the state budget). Accordingly, the discussion on usage (revenue and expenditure) of the state budget should ensure the participation of the people in order to properly reflect the needs and priorities of the people, villages and residential groups. It is necessary for the People to discuss and decide on the state budgeting. With the current development of information technology and people's knowledge, people have enough capacity to decide on this content.	Supplement to the content of Clause 2, Article 15 is paraphrased as follows: "The collection, expenditure, and management of the commune-level state budget; the collection, expenditure, and management of contributions of the people in the residential community beyond the content, are already prescribed by law; the local collection, expenditure, and management of funds and assets including those received from other lawful sources of revenue, sponsorship or support are assigned to the management of villages or residential quarters."
8	Clause 3, Article 16: To propose the contents for the people to discuss and decide Citizens residing in villages or residential quarters who have the	A question is raised: Who shall evaluate and decide that the proposal is not contrary to the provisions of law, accepted customs, popular praxes and social ethics? If it is only assessed by the village chief, the head of the residential group, is it surely objective? As long as	Amendment for Paragraph 1, Clause 3, Article 16 should be revised as follows: "Citizens residing in villages or residential quarters have the initiative to propose to the contents specified in Article 15 of this Law, and agreed by at least 10% of the total number

#	Draft version	Comment	Recommendation
	initiative to propose the contents specified in Article 15 of this Law and the consent is endorsed by at least 10% of the total number of households in the village or residential quarter shall submit the proposal to the village chief, the head of the residential group to bring to the discussion and decision	the proposals are not contrary to the provisions of the law, they are appropriate enough.	of households in the hamlet or residential quarter, then they send their proposals to the village chief, the head of the residential group to bring it to the residential community for discussion and decision, <b>if it is</b> <b>not contrary to the provisions</b> <b>of law.</b> "
	of community <b>if it is not</b> <b>contrary to the</b> <b>provisions of law,</b> <b>accepted customs,</b> <b>popular praxes and</b> <b>social ethics.</b> In case the citizen's initiative does not have enough 10 percent of the total number of households in the village, the residential group is in consensus, but it is insisted to bring benefits to the population community and is approved by the Working Committee of the Village and People's Father Front. If the city approves, the village chief and the head of	Regarding the 10% of the total number of households in consensus, then if it is approved by the Working Committee of the Father Front of the village or the residential group, it will still be presented to the community for discussion and decision, Is it convincing? Who will evaluate how the initiative can benefit the residential community?	It should be corrected as follows: "In case the citizen's initiative does not have enough 10% consensus of the total number of households in the village, the residential group agrees while considering it to be beneficial to the residential community and is approved by the Working Committee of the Fatherland Front and residential group, then the village chief and the head of the residential group will present it to the community for discussion and decision. In case of necessity, if there are still different opinions, the village or residential group will organize consultations with households to decide whether to bring this
	the residential group will present the initiative to the community for discussion and decision.		proposal to the meeting or not for discussion and decision." not for discussion and decision."

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9	Regarding gender equality to be ensured in discussion, decision and consultation at the grassroots level (through the organization of meetings of villages and residential groups): Article 18, Article 26	If representatives of households in the village and residential group are predominantly male, it would limit the women's right to discuss, decide and participate in opinions at the grassroots level. Thus, the law should have provisions to ensure gender equality in these types of undertakings.	In Articles 18 (Clause 1) and 26 (Clause 2), it is necessary to add the following content: Ensuring the participation (appropriate proportion) of women in meetings of villages and residential groups.
10	Article 21: Effect of decisions made by residential communities	Article 21 of the draft has many amendments compared to previous drafts. However, in case residents do not comply with the decision of the residential community, are there any sanctions or countermeasures to ensure implementation? In rural areas, villages and communes, community cohesion is quite strong, and only a small percentage of disagreements is very different from what it means in urban areas.	For the problem of non-compliance with the decision of the community, there are two options for handling: OPTION 1. One supplemented article on the handling mechanism for the case of non-compliance with the decision of the community (after Article 24). OPTION 2. It is necessary to review and amend other articles of the Law to <b>strengthen dialogue,</b> <b>accountability, and interaction</b> <b>between the people and</b> <b>relevant stakeholders before</b> <b>holding meetings to discuss</b> <b>and make decisions.</b> This will contribute to creating a basis for <b>finding consensus, and limiting</b> <b>non-compliance with the</b> <b>decision</b> . Regulations on dialogue and explanation need to be supplemented in the part of people's comments, inspection and supervision. Regarding legislative techniques, the contents of the first paragraph of Clause 1 need to be revised for lucidity as follows: "The decision of the residential community on the contents

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			specified in Clauses 1 and 2, Article 15 of this Law has an applicable scope within the area of village and residential group, and it shall be an endorsement as far as two-thirds of the total number of representatives of households in the village or residential group agree.
11	Clause 1, Article 27 Before issuing an administrative decision The commune-level People's Committee is responsible for informing and creating conditions for citizens who are the subjects adjusted by the administrative decisions to know and present their opinions if they so request	In order to respect the legitimate rights and interests of citizens, and to avoid the authorization abuse committed by the governing agencies and officials during their performance of official duties, the regulations should be strictly defined: the subjects adjusted by the administrative decisions have the right to present their opinions	Clause 1, Article 27 should be revised as follows: Before issuing an administrative decision The commune-level People's Committee is responsible for informing and <b>ensuring the rights</b> of citizens who are the subjects adjusted by the administrative decisions to know and present their opinions if they so request.
12	Article 30. Content of inspection and supervision 2. The citizens are to supervise the implementation of grassroots democracy and the enactment of policies and laws performed by the commune-level local government, commune-level cadres and civil servants, and part-time workers at the commune level, in villages and residential quarters.	It is necessary to expand the scope of supervision to <b>cadres and civil servants</b> <b>in general, not just</b> <b>limited to the</b> <b>commune-level local</b> <b>authorities</b> . All cadres, civil servants and public employees have the obligation to "devotedly serve the interests of the people, closely in contact with the people, listen to the opinions and be under the supervision of the people" (Article 8 Constitution) Legislation 2013). Besides, the needed expansion should include the people's right to	Clause 2, Article 30 should be revised as follows: "The citizens are to supervise the organization and implementation of grassroots democracy and the implementation of policies and laws by local authorities, cadres, civil servants, employees in state agencies, non-governmental full-time officers at the commune level, in villages and residential quarters; for their performance in compliance with the law of economic and social projects in the commune and village level."

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		supervise factories, industrial parks, and economic and social projects in the communes and villages for their performance in compliance with the law in general (environment, child labor)	
13	Article 31. Forms of inspection and supervision	Press agencies, media, and social organizations have an active role in supporting the citizens under their supervision. People can write newspaper articles and provide information to the press at central and local levels, to increase the effectiveness of supervision, and reduce the risk of retaliation and bias oppression. In addition, social organizations with specialized knowledge, experience and capabilities in many diverse fields, closely related to the people, can actively support the people in monitoring.	One more clause is added as an additional form: "Through the activities of press agencies, media and social organizations."
14	Article 32. Conference for dialogue between the commune-level People's Committee and the People 1.Every year, the commune-level People's Committee is responsible for coordinating with the Viet Nam Fatherland Front Committee of the	The annual dialogue conference is a necessary mechanism and content to ensure the people's right to participate, as well as the transparency and accountability of the Commune People's Committee. It is recommended to supplement the case of a conference under expedited procedures	Supplement at the end of para- graph 1, Article 32: 1. Annually, locally. Conferences can also be held when unexpected problems and circumstances have a great impact on the population and the locality.

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	same level to organize at least one conference to have a communication and dialogue with the people in the locality on the operational performance of the People's Committee and issues related to the rights and obligations of citizens in the locality.	(when problems arise, unexpected circumstances - epidemics, natural disasters have a great impact on the locality and population), ensuring the right of the people to speak up.	
15	Not yet included in the Draft Law: Community-based Supervisory Board at the village and residential group level. (Newly inserted: Subsection 2. People's Inspection Board in communes, wards, and Subsection 3. Community Investment Supervisory Board. - Articles 36 to 45)	In reality, <b>the People's</b> Inspection Board and the Investment Supervisory Board of the community (in communes and wards) currently in many places are operating inefficiently, and many members are part-time and lack the expertise to be able to carry out their mandated activities of supervision. Meanwhile, according to the general principle, grassroots democracy must be the democratization at the most closely related level to the people (village, residential quarters, villages, etc.), with the highest "relevance". It is necessary to develop paradigms of self-governance, organized by the people to carry out inspection and supervision, in addition to those established by organizations in the political system.	Adding a new article in Section 4, Chapter II- People's inspection and supervision (after the subsection on People's Inspection Board, Community Investment Supervisory Board): "Villages and neighborhood groups have the right to establish and elect a community-based Supervisory Board to supervise the implementation of policies and laws in the area according to the self-governing model." Concurrently, supplement this content in Article 15 about the contents to be discussed and decided by the People.

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16	Article 86. Responsibilities of People's Councils and Communal People's Committees	It is necessary for the Communal People's Committee to report to the People's Council regularly. The previous draft (June 2022) contained the provisions at bulleted Point h, Clause 2, Article 65: The People's Committee is obliged to <b>"Annual report to the People's Council of the commune on the implementation of grassroots democracy in the communes, wards and townships". This regulation needs to be maintained, even more often. In addition, it is necessary to supplement it to be applied in places where a commune-level People's Council is not organized.</b>	Supplement to Clause 2, Article 86: Commune People's Committees have the responsibilities <b>d) Every six months</b> , to report to the People's Council of communes on the results of grassroots democracy implementation in communes, wards and townships. Add 1 clause to deal with cases where there is no communal People's Council (can report to the superior People's Council).
17	Not included in the Draft Law: a mechanism for coordination between villages, residential quarters, and specific institutions at the grassroots level	For the implementation of grassroots democracy, the other state agencies, organizations, and individuals should only play the role of supporting and ensuring the implementation of grassroots democracy. The mechanism for coordination is very important, especially in areas with specific characteristics (for example, residential groups are established on the basis of apartment blocks, clusters, etc.). (Viet Nam's urbanization rate up to now: approximately 40%; the target is 45% by 2025 and about 50% by 2030.)	Chapter V of the Law should be supplemented with an article <b>to</b> <b>define the coordination</b> <b>mechanism between grassroots</b> <b>institutions such as the</b> <b>Residential Group, the</b> <b>Fatherland Front Working</b> <b>Committee, and the Unions</b> with some other institutions at <b>the grassroots, with</b> <b>specific characteristics (such</b> <b>as the Management Board, the</b> <b>Community-based Supervisory</b> <b>Board of the condominium)</b> to be able to ensure and promote the people's right to ownership at the grassroots level.

# CONCLUSIONS

This research report is based on the actual situation and implementation of 7 different grassroots democracy promotion paradigms in Quang Tri and Hanoi to provide lessons learned and policy recommendations for the new Law on implementing democracy at the grassroots level. From the findings, the report prescribes 17 specific recommendations to improve the law implementation through specific guidance.

Specifically, the research findings show that people are most interested in issues closely-related to them, both in terms of geography and interests. This is a condition for them to be motivated to participate in monitoring, evaluating, commenting, even contributing resources and implementing the development programs and policies. Therefore, the draft law needs to be supplemented with the right to establish a community-based Supervisory Board in villages and residential quarters, to create more favorable conditions for local people to supervise and monitor the enactment of policies and laws in the locality, namely villages and residential groups.

In order to facilitate the participation of the people, in addition to the legal basis, financial resources are also needed to conduct meetings and consultation sessions, and to monitor the activities. This is an important condition because democracy and participation require interaction among people and between people and the government. This is only possible if there is ongoing and long-term budgeted funding. Therefore, the draft law should supplement regulations on an ensured budget to be disbursed to communes, villages and residential groups to encourage the people's participation in meetings, discussions and consultations organized by the villages, residential groups, and the commune-level authority.

The Law on Implementing Democracy at the grassroots must categorically be a law on human rights and democracy, with a rights-based approach, to ensure the people's right to participate in state and societal governance. The law should fully stipulate the responsibilities of relevant state agencies and organizations in ensuring and facilitating the implementation of democracy at the grassroots level. At the same time, there should be regulations on sanctions for violations of the law on the implementation of democracy at the grassroots. It is necessary to review and amend the terminology that sounds "distributive offering" (such as "Citizens are given...")

In particular, the Law needs to ensure the rights of vulnerable and minority groups (women, ethnic minorities, people with disabilities, temporary residents in the locality where they actually live, etc.) through appropriate regulations relating to language and form of participation. For example, for ethnic minorities like the Van Kieu who are mostly illiterate, it will be more appropriate to create sound (recorded) documents, easier for people to access, from which they will have information for participation. and exercise their democratic rights.

Finally, the Law should open more room for the subjects to participate in supervision and pay attention to the role of social organizations and press agencies in getting involved in and ensuring the implementation of democratization at the grassroots. It is to supplement regulations on content, form, and principles of information disclosure and transparency at the grassroots level. It needs supplements in the content, sequence and procedures for discussing, deciding, and consulting on issues at the grassroots level (the contents discussed and decided by the people should include the state budget revenue and expenditure at the commune level; the dialogue between the Commune People's Committee and the people, etc.). To unify the usage of terminology in the draft law: People, Citizens, Community, and residents as well as to amend some paragraphs related to legislative techniques.

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