



Title	EMPIRICAL STUDIES ON POVERTY AND VULNERABILITY IN VIETNAM
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## Abstract of Thesis

Name (BUI KHAC LINH)	
Title	EMPIRICAL STUDIES ON POVERTY AND VULNERABILITY IN VIETNAM (ヴェトナムにおける貧困と脆弱性に関する実証分析)
<p><b>Abstract of Thesis</b></p> <p>Development economists have long used evaluation of household or individual well-being as the standard analysis of poverty. In particular, individuals and households are regarded as poor if their income and household consumption expenditure are below a predefined poverty line (or poverty cut-off). Hence, the concept of poverty reflects the ex-post evaluation of the well-being of households or individuals and is often considered using a static or non-probabilistic measure. Further, there is a certain dynamic for individuals in poverty; that is, individuals can either fall into or escape poverty during their lifetime. In other words, given an adverse (positive) shock, the non-poor (poor) today can become poor (non-poor) tomorrow. This issue has motivated policy-makers to investigate the ex-ante risk that a non-poor household is likely to fall into poverty or the probability that a poor household will remain poor in the future. Therefore, considering existing poverty alone ignores the prospect dimension of poverty, and the release of vulnerability will bridge this gap. Vulnerability differs from the standard analysis of poverty because the former evaluates a forward-looking (or ex-ante) assessment of household or individual well-being rather than an ex-post assessment of income or consumption. Hence, policy and forward-looking anti-poverty intervention can be better informed if we complement poverty measurement with vulnerability indicators. This strategy will enable the design of protection policies to better help individuals or households avoid a future decline in welfare due to strong adverse shocks, rather than just supporting them when they are already experiencing poverty.</p> <p>The thesis focuses on important issues relating to vulnerability and its relationship with poverty in Vietnam. First, it provides a comprehensive portrait and further understanding of the concepts and determinants of vulnerability and poverty and how the relationship can be elucidated. Second, since poverty and vulnerability relate to multifaceted issues, including idiosyncratic or covariate shocks, the study applies a multi-level model to investigate the variation in poverty and vulnerability by encompassing both household-level and community-level analyses. Third, it also aims to examine the vulnerability of rural households, accounting for the effectiveness of non-farm participation and rural credit accessibility in reducing vulnerability. Fourth, it addresses the vulnerability issues of the labour market in Vietnam by investigating the determinants of the vulnerability gap between formal and informal workers.</p> <p>To achieve this objective, the thesis utilizes two datasets: the Vietnam Access to Resources Household Survey (VARHS) and the Vietnam Household Living Standard Survey (VHLSS) and employ various econometric techniques. These two large and nationally representative database contains rich information on a range of household characteristics and their accessibility to resources, such as household income, consumption, education, employment and labour force participation, credit accessibility, available infrastructures and social issues. Hence, they would enable the thesis to investigate different aspects of vulnerability, its determinants and its relationship with poverty.</p> <p>In the thesis, <i>Chapter 3</i> explores the relationship between the uptake of credit and household vulnerability in rural Vietnam in terms of two main vulnerability indicators—vulnerability to poverty (VEP) and vulnerability to food poverty (VFP)—using data from the VARHS (2012). VEP and VFP are examined by decomposing vulnerability into two components (idiosyncratic vulnerability and covariate vulnerability) and constructing a multilevel structure model. The analysis accounts for two critical problems (selection bias and endogeneity) through an endogenous switching regression (ESR) model. Generally, the results indicate the positive impacts of credit uptake on poverty alleviation and VEP reduction. Nevertheless, credit uptake increases VFP. It is well known that the coexistence of formal and informal sectors in the Vietnamese rural credit market has led to information asymmetry and market imperfections. Hence, these different segments of rural credit serve different needs that have various impacts on household VEP and VFP. Therefore, an appropriate policy should be established to direct both credit</p>	

sectors simultaneously. Noticeably, compared to other categories of credit, productive credit is found to be more pronounced in reducing both idiosyncratic or covariate vulnerability. There is also evidence suggesting that although credit had positive effects overall, taking on either formal or semi-formal credit had negative impacts on both poverty and vulnerability reduction. Hence, government policies regarding formal credit should concentrate more on credit costs and support preferential rates for loans to poor rural households for productive purposes.

*Chapter 4* sheds light on the impacts of non-farm employment on household food poverty and vulnerability among rural households in Vietnam using data from the VHLSS of 2010. Vulnerability to food poverty is acknowledged as constituting a certain probability that a non-poor household will become food-poor or that a food-poor household will remain in poverty in the future. The results suggest that non-farm employment exerts a positive and statistically significant impact on the reduction of household food poverty and vulnerability. Specifically, participating in non-farm employment helps decrease the probability of falling into food poverty in the future by roughly 19%. The study also documents that 31% of non-food-poor households in rural areas suffered from VFP, indicating their high probability of falling into food poverty in the future. Additional results concerning regional evaluations suggest that the Northwest region of Vietnam has the greatest vulnerability to food poverty and is in urgent need of more attention from government development policies; further, improving access to non-farm employment would be a useful means of mitigating vulnerability.

*Chapter 5* aims at addressing the vulnerability of Vietnam's informal sector to determine the likelihood that non-poor individuals or households in the informal sector could fall into poverty if idiosyncratic and covariate shocks occur. The study's estimation strategy is based on a hierarchical linear model (HLM) that includes a mix of random and fixed effects (FE) in the linear specification. More precisely, the model incorporates a component with fixed effects and a second component with random effects. To account for unobserved individual characteristics, the vulnerability gap model employs a fixed effects analysis. The results show that the impacts of the determinants of vulnerability vary based on individual and household characteristics and covariate shocks. They also indicate workers that engage in informal employment rather than formal employment are more likely to fall into poverty in the future by 1.2% and 1.04%, based on OLS and FE models, respectively. The insignificant vulnerability gap indicates that there is no significant difference in vulnerability between workers in the formal sector compared to those in the informal sector. This could be explained by the current state of the Vietnamese labour market, as these small vulnerability gaps might be the result of the weak segmentation between the formal and informal sectors. Therefore, there is a need for the government to support the economy's informal sector.

## 論文審査の結果の要旨及び担当者

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## 論文審査の結果の要旨

本論文は、ベトナムの個人・世帯の貧困と脆弱性について、二つの大規模家計調査の個票データセットを用いて実証分析を行ったものである。本論文の顕著な特徴は、単に一時点の貧困について分析するだけでなく、何らかのショックに対して、現在貧困状態にない個人や世帯が貧困に陥ったり、その逆が起こったりするダイナミクスをとらえるため、貧困に加えて脆弱性という概念を導入して、現在の所得や消費だけでなく、将来に向けての個人や世帯のwell-beingを評価しようとしている。世帯の貧困と脆弱性の規定要因を理解し、それらが世帯固有または地域共通のショックに対してどのような関係があるかを説明するため、世帯レベルとコミュニティレベルを包摂するマルチレベル手法を用いて、貧困と脆弱性を分析している。そのため、所得、消費、教育、雇用など豊富な情報を含むVietnam Access to Resources Household Survey (VARHS) とVietnam Household Living Standard Survey (VHLSS) という二つの全国規模調査の個票を用いて、高度な手法による計量分析を行っている。

本論文は、研究目的と論文全体を俯瞰した序章と脆弱性という概念について厳密に定義した第1章のほか、以下の三つの章で構成されている。

第3章は、貧困の脆弱性と食糧貧困の脆弱性という二つの脆弱性指標を使って分析している。これらの指標は、世帯固有の脆弱性（失業、病気など）と地域共通の脆弱性（飢餓、災害など）からなる。一般的には貧困の緩和と貧困脆弱性の削減に対して信用供与が有効であるが、分析結果は、融資への過度の依存は貧困脆弱性を高めることを示している。ベトナムの農村金融はフォーマルな市場とインフォーマルな市場が共存しており、これが非対称情報や市場の不完全性につながっていると考えられる。生産的な融資は、世帯特有の脆弱性と地域共通の脆弱性の両方の削減に有効である。一般論として信用供与はプラスの効果を持つとしても、フォーマル及びセミフォーマルな信用供与は、貧困および脆弱性削減に負の効果を持つ可能性があることから、フォーマル金融に関する政策は、借り入れコストを軽減する有利な金利条件の提供に注力すべきであるとする。

第4章では、非農業雇用が農村世帯の食糧貧困と脆弱性に与える影響について分析している。食糧貧困に対する脆弱性は、非貧困世帯を食糧貧困に陥れる可能性を持ち、食料貧困世帯の貧困からの脱出を難しくする。分析結果から、非農業雇用は食糧貧困と脆弱性を緩和する効果があることが明らかになった。また、農村の非食糧貧困世帯の31%が脆弱であり、将来食糧貧困に陥る可能性が高い。北西地域では、特にそのリスクが高く、非農業雇用の機会を増やすための政策が必要であるとする。

第5章では、インフォーマルセクターの非貧困世帯が世帯固有のショックや地域共通のショックが起こった場合に貧困に陥る可能性について分析している。分析結果によると、脆弱性の影響は、個人や世帯の属性や経済全体のショックに依存する。また、インフォーマルセクターの労働者は、フォーマルセクターの労働者より、将来貧困に陥る可能性が統計的に有意に高い。ただ、ベトナムでは、フォーマルセクターとインフォーマルセクターが必ずしも明確に分断されていないため、両者の脆弱性のギャップは大きないと指摘している。

以上のとおり、本論文は、ベトナムの家計世帯の貧困と脆弱性の原因や地域格差について実証分析を行った興味深い研究論文で、この分野の先行研究を十分消化したうえで、適切かつ高度な計量経済分析によって信頼できる結果を得ており、この分野の研究に新たな知見を加え、重要な学術的貢献をしているものと評価することができる。よって、審査委員会は一致して、この学位請求論文が、博士（国際公共政策）の学位を授与するに十分値するものであると判断する。