



## ASSESSING THE AUCTION WORK OF RESIDENTIAL LAND USE RIGHTS IN BAO YEN DISTRICT, LAO CAI PROVINCE

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Received 04 October 2024; Accepted 23 December 2024

### Abstract

*The study aims to assess the current status of land use rights auctions in Bao Yen district, Lao Cai province. Secondary data was collected mainly at the Land Fund Development Center of Bao Yen district, primary data was investigated from 30 people who won auctions of residential land use rights using pre-printed questionnaires with questions in 4 categories: The group includes 15 criteria with evaluation scores from 1 to 5. During 2021 - 2023, Bao Yen district successfully auctioned 35 residential land projects with 248 plots of land, total area of 54,237 m<sup>2</sup>. The average starting price from 2021 to 2023 is 2,612.68 thousand VND/ m<sup>2</sup>, respectively; 2664.2 thousand VND/ m<sup>2</sup>; and 18,240 thousand VND/ m<sup>2</sup>. The average winning price has a difference coefficient of 1.001 to 1.015 compared to the starting price. People rated the auction work with an overall satisfaction score of 3.62 points (quite satisfied). However, there are still some limitations regarding people's ability to access auction information, which is still low, the starting price is high compared to people's income... From there, it is necessary to develop solutions to enhance village access to information. They are auctioning people's residential land use rights and increasing the ability to successfully auction them with people in need.*

**Keywords:** Bao Yen district; Land auction; Starting price; Winning price.

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DOI: <http://doi.org/10.63064/khtnmt.2024.637>

### 1. Introduction

Land auction is the granting of land ownership or use rights to subjects in need through land bidding. Many countries worldwide have used land auctions to distribute different types of land to users, which is clarified in studies

by [1 - 4]. In Vietnam, according to the 2013 Constitution regulations, the land is owned by the entire people with the State representing the owner and uniformly managing it [5], so a land auction is an auction of land use rights. This is the local competent authority organizing a public auction of land plots to obtain capital for

other purposes in the locality according to the order and procedures prescribed by the Land Law and the Law on Land. Law on asset auctions and conduct them openly, continuously, objectively, honestly, equally, protecting the legitimate rights and interests of participating parties [6] or we can understand land use rights auctions in general and auction of residential land use rights, in particular, is a form of granting land use rights to subjects who need to use land publicly and the person who is awarded land use rights is the person who offers the highest price, unique [7]. The auction of residential land use rights is implemented based on market land prices, which plays an important role for land users and the real estate market. The auction of land use rights helps the State mobilize maximum revenue for the budget, and create investment capital for infrastructure construction and economic development. Thereby, contributing to creating stability, transparency, and social justice in land allocation and land leasing activities, ensuring the interests of the State and land users [8].

Bao Yen district, Lao Cai province is the Eastern gateway of Lao Cai province, 75 km from Lao Cai city, and 263 km from Hanoi. Has a natural area of 818.34 km<sup>2</sup>. In recent years, the district has paid special attention to land management for comprehensive economic, political, and social development. Therefore, the work of auctioning land use rights in the district is given special attention with the aim of both mobilizing land resources and putting land to use reasonably. In addition to the achievements, the auction of land use rights also faces some difficulties such

as low educational levels, many ethnic minorities in mountainous areas have low education levels, so access to information is limited. The starting price is higher than people's income, the cost of creating a large land fund, and the phenomenon of land speculation,... Therefore, the author conducted this research to answer the question: What is the current status of auctioning residential land use rights in the Bao Yen district? How satisfied are people with the auction of land use rights in the Bao Yen district?. What are the advantages and disadvantages?, and What solution to complete the auction of land use rights in Bao Yen?

## **2. Research methods**

### **2.1. Research scope**

The study evaluates the current status of land use rights auctions in Bao Yen district, Lao Cai province in the period 2021 - 2023.

### **2.2. Data collection methods**

Secondary data on natural, and socio-economic conditions, and land use rights auctions were collected at the Land Fund Development Center of Bao Yen district. The study also directly investigated land use rights auction winners in the period 2021 - 2023, using pre-printed ballots because they fully grasped information related to land auctions from auction announcement to actual land handover. Location and receive a land use right certificate according to Formula (1) [9].

$$n_1 = \frac{N_1}{1 + e^2 * N_1} \quad (1)$$

in which:  $n_1$  - number of survey forms (number of winners of residential land

auctions who responded to the survey); - total number of land use rights auction winners in the period 2021 - 2023 (N1 = 248 people); e - allowable error (e = 5 - 15 %), choose e = 5 %. Substituting into formula (1), we have, = 18.5. To increase reliability, the study investigated 30 votes, each auction winner answered 1 vote. Information about auction winners is taken from auction participation records.

The content of the auction winner investigation includes: Basic information about the winner of the land use right auction; Comments on auction information at projects; Purpose of use of auctioned land; Auction participation procedures; Facilities and human resources to serve valuable land; Financial obligations that must be fulfilled; Opinions on the winning land price and auction starting price; Certificate issuance deadline; Level of satisfaction with some auction factors,... The level of satisfaction of land auction winners with some factors is assessed on a 5-level Likert scale (Very satisfied - 5 points, quite satisfied - 4 points, moderately satisfied - 3 points, less satisfied - 2 points, dissatisfied - 1 point) [10].

### ***2.3. Methods of synthesizing, analyzing, and comparing data***

Collected data is processed, analyzed, and synthesized using Excel software. Compare the auction starting price with the market land price; The winning price is the starting price of the auction. Evaluation of the level of satisfaction impact on 4 criteria groups including 15 criteria including: Information group on land use rights auctions, assessment group on officials involved in land use rights

auctions, group land use rights auction procedures, satisfaction level about land use rights auctions.

The level of satisfaction is determined based on the value of the satisfaction index of each factor group (Hi) (very satisfied -  $H_i \geq 4.20$ , quite satisfied -  $H_i = 3.40 \div 4.19$ , moderately satisfied -  $H_i = 2.60 - 3.39$ , less satisfied -  $H_i = 1.80 \div 2.59$ , unsatisfied  $H_i < 1.80$ ) [10]. The value of the satisfaction index of each group of auction criteria is determined according to Formula 2.

$$H_i = \frac{1}{n} * \sum_{i=1}^q \sum_{j=1}^n x_{ij} \quad (2)$$

in which:  $H_i$  - value of ith satisfaction index, n - number of people responding to the survey; q - number of factors surveyed about satisfaction level,  $x_{ij}$  - assessment score of the jth respondent's satisfaction with the ith factor. The value of the overall satisfaction index with the land auction of the auction winners is determined according to Formula 3.

$$H = \frac{1}{q} * \sum_{i=1}^q H_i \quad (3)$$

in which: H - is the value of the overall satisfaction index for land auctions of the auction winners;  $H_i$  - is the satisfaction index for ith factor; q - is the number of factors surveyed about satisfaction level.

The overall satisfaction level of land auction winners is determined according to the value of the general satisfaction index (very satisfied -  $H \geq 4.20$ , quite satisfied -  $H = 3.40 \div 4.19$ , moderately satisfied -  $H = 3.40 \div 4.19$ ), average -  $H = 2.60 - 3.39$ , less satisfied -  $H = 1.80 \div 2.59$ , dissatisfied  $H < 1.80$ ) [10].

### 3. Results and discussion

#### 3.1. The current status of land use rights auctions in Bao Yen district

Bao Yen is a lowland district of Lao Cai province, located 75 km Southeast of Lao Cai province center with a total natural area of 81,834.48 hectares. Bao Yen district's population according to 2023 statistics is 88,795 people, mainly working in the fields of agriculture, forestry, and rural development. The total residential land area in Bao Yen district is 559.32 hectares, including 500.52 hectares of rural land and 58.8 hectares of urban land, accounting for 14.19 % of the total non-agricultural land area.

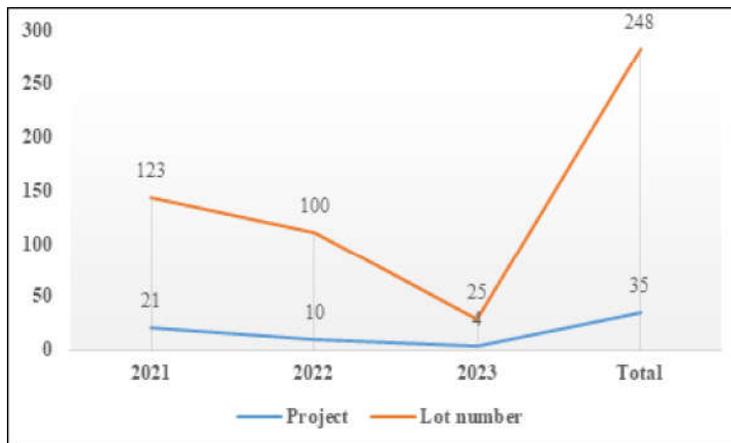
In the period 2021 - 2023, Bao Yen district will organize 11 auctions of land use rights for 35 projects; The total

number of winning auction documents is 248 documents. In particular, in 2021, there will be 5 batches with 123 winning documents, in 2022 there will be 4 batches with 100 winning documents, and in 2023 there will be 2 batches with 25 winning documents (Table 1).

**Table 1. Summary of the number of successful auction documents for residential land use rights in Bao Yen district**

Phase	Number of documents winning the auction of residential land use rights		
	2021	2022	2023
1	12	84	1
2	2	3	24
3	28	4	-
4	31	9	-
5	50	-	-

Source: Bao Yen district Land Fund Development Center for the period 2021 - 2023



**Figure 1: Summary of project numbers and land use rights auction lots**

#### 3.2. Assessing the results of the auction of use rights in Bao Yen district

**Table 2. Results of the auction of land use rights in the Bao Yen district period 2021 - 2023**

Year	Area (m <sup>2</sup> )	Amount collected (thousand VND)	Average amount collected (thousand VND/ m <sup>2</sup> )
2021	13,387	40,689,400	3,039
2022	11,270	41,191,557	3,655
2023	2,462	10,625,453	4,316
<b>Total</b>	<b>54,237</b>	<b>185,012,819</b>	<b>14,422</b>

Source: Bao Yen district Land Fund Development Center for the period 2021 - 2023

In the period 2021 - 2023, Bao Yen district will auction land use rights for 35 projects with a total successful auction area of 54,237 m<sup>2</sup>, and total proceeds of 185,012,819 thousand VND (Table 2).

Results Table 2 shows that in 3 years of organizing land use rights auctions in Bao Yen district, there was no unsuccessful auction of land plots, and the successful residential land use rights auction rate reached 100 %. The most residential land area auctioned is in 2021 with 123 auctions, an area of 13,387 m<sup>2</sup>, however, the highest amount of money collected in 2022 is 41,191,557 thousand VND with only 100 auctions. The reason is that the average auction land price in 2022 is 20.27 % higher than in 2021. In 2023, the highest average winning price in 3 years was 4,316 thousand VND.

In 2023, there will only be 25 auctions, much less than in 2021 and 2022.

The starting price is determined according to Circular No. 36/2014/TT-BTNMT dated June 30<sup>th</sup>, 2014, of the Ministry of Natural Resources and Environment, detailing the method of determining land prices; Building and adjusting land prices list; Determining specific land prices, and advising on land price determination. During the period 2021 - 2023, Bao Yen district will conduct 35 auctions with different starting prices, the lowest starting price is 240 thousand VND/ m<sup>2</sup>, and the highest starting price is 7,300 thousand VND/ m<sup>2</sup>. The average starting price in 2021 is 2612.68 thousand VND/ m<sup>2</sup>, in 2022 it is 2664.20 thousand VND/ m<sup>2</sup>, the highest average starting price in 2023 is 18240 thousand VND/ m<sup>2</sup>, (Table 3).

**Table 3. Starting prices of land plots in the Bao Yen district**

TT	Starting price (thousand VND/m <sup>2</sup> )	Lot number		
		2021	2022	2023
1	240	0	3	0
2	560	1	0	0
3	1000	2	0	0
4	1400	3	8	0
5	1500	9	10	1
6	1800	18	0	0
7	2600	32	0	0
8	2800	6	7	0
9	2900	0	58	0
10	3000	17	0	0
11	3100	2	0	0
12	3200	21	0	0
13	3400	2	0	0
14	3500	5	9	14
15	3600	3	0	0
16	4000	1	4	0
17	4200	0	1	0
18	5000	0	0	9
19	5200	1	0	0
20	7300	0	0	1
<b>Lot Total</b>		<b>123</b>	<b>100</b>	<b>25</b>
Average starting price		2,612.68	2,664.2	18,240

Source: Bao Yen district Land Fund Development Center for the period 2021 - 2023

According to summary data from the Bao Yen district Land Fund Development Center, the average difference between the winning land price at the auction of residential land use rights and the starting price is from 1,001 to 1,015 %. The relatively low difference reflects the reality of the small number of people participating in the auction of land use rights. The reason is that the auction price of residential land use rights is still high compared to the income of local people, due to the specific terrain of the mountainous province, leading to machinery costs to level the ground and create a large clean land fund. Most of the auction winners came from other localities. This also poses a potential risk of land speculation when people who need to use the land do not have enough funds to buy it, and the bidders are people who have money but do not need to use it.

**3.3. Assessing the level of satisfaction with the auction of land use rights in Bao Yen district**

*3.3.1. Assessing the information on the auction of residential land use rights*

The majority of people surveyed believe that information about auctions of land use rights in Bao Yen district is publicized in many forms such as posting information on the website of Bao Yen

district and other agencies. Relevant authorities such as the Center for Land Fund Development, Department of Natural Resources and Environment, or remote village areas, publicize it at the Commune People’s Committee and call on loudspeakers. That’s why 80 % of respondents rated it 3 points (publicity level), 13.33 % rated it 4 points (clear disclosure) and 6.67 % rated it 5 points (very clear transparency).

Regarding the criteria of accessibility to information about auctioned land plots, 86.67 % of respondents answered that access was averagely easy, while 13.33 % rated it as difficult to access. The reason is that people in remote villages are not proficient in information technology, so access to information on electronic portals is very limited. Although there is also a form of calling on loudspeakers or publicizing it on the People’s Committees of communes, people often ignore it, so very few people know the information about the auction of residential land use rights in the district. When it is necessary to introduce the project location in the field, people are brought to the field by officials in charge of auctioning residential land use rights, so 23 people rate this criterion at level 3 (medium). Average), 7 people at level 4 (fast), (Table 4).

**Table 4. Assessing the auction information for residential land use rights**

Assessment criteria	Rating score (point)					Rate (%)				
	1	2	3	4	5	1	2	3	4	5
1. Publicize information about the auction project	0	0	24	4	2	0.00	0.00	80.00	13.33	6.67
2. Ability to access information about auctioned land plots	0	4	26	0	0	0.00	13.33	86.67	0.00	0.00
3. Introducing the project location in the field	0	0	23	7	0	0.00	0.00	76.67	23.33	0.00

3.3.2. *Assessing the auction and certification procedures*

Regarding administrative procedures when participating in land auctions, 100 % of respondents said that the auction procedures were simple and by the law at auctions, specifically 50 % rated it as 3 (normal procedure), and 50 % rated it as 4 points (simple procedure). This is completely consistent with the reality of implementing the auction of land use rights in the district. Bao Yen district hires an auction organization, this unit is responsible for guiding auction participants on auction procedures, how to participate, how to pay, auction

regulations,... Therefore, compliance procedures at auctions of residential land use rights are always well guaranteed.

Specifically, 83.33 % of interview respondents rated 3 points (average compliance), and 16.67 % rated 4 points (good compliance). The criteria for granting land use rights certificates after winning the auction are also highly rated, with 66.67 % rating 4 points (good), and the remaining 33.33 % rating 3 points (average). Most respondents understood that after paying the full auction winning amount, after 30 days of applying for a land user certificate, the certificate will be issued, by the provisions of the Land Law (Table 5).

**Table 5. Assessing auction procedures and issuance of land use rights certificates after winning the auction**

Assessment criteria	Rating score (point)					Rate (%)				
	1	2	3	4	5	1	2	3	4	5
1. Procedures for participating in the auction of residential land use rights	0	0	15	15	0	0.00	0.00	50.00	50.00	0.00
2. Comply with procedures at the residential land use rights auction	0	0	25	5	0	0.00	0.00	83.33	16.67	0.00
3. Time to issue Land Use Rights Certificate after winning the auction	0	0	10	20	0	0.00	0.00	33.33	66.67	0.00

3.3.3. *Assessing the officials involved in Land use rights auctions*

Based on the evaluation results of Table 6, the criterion “Conduct of officials towards the people” in the auction of land use rights in Bao Yen district is highly appreciated, the interviewees rated it highly. The officials have a gentle, friendly, and dedicated attitude toward the people, so 66.67 % rated it 4 points (good behavior), 26.67 % rated it 5 points (very good behavior), and only 6.67 % rated

it 3 points (average). The working style of the ministries is rated at two levels: 3 and 4, corresponding to 33.33 % and 66.67 %, which is an average and good professional style. With the criteria of guiding administrative procedures, 16.67 % rated the average - 3 points, and the remaining 83.33 % rated the enthusiastic and detailed guidance - 4 points. All people’s questions were answered clearly and promptly, so 83.33 % rated it 4 points - satisfied, the remaining few rated it average - 3 points.

**Table 6. Evaluation of officials involved in land use rights auctions**

Assessment criteria	Rating score (point)					Rate (%)				
	1	2	3	4	5	1	2	3	4	5
1. Behavior of officials towards people	0	0	2	20	8	0.00	0.00	6.67	66.67	26.67
2. Working style of staff	0	0	10	20	0	0.00	0.00	33.33	66.67	0.00
3. Instructions for implementing administrative procedures	0	0	5	25	0	0.00	0.00	16.67	83.33	0.00
4. Answer people's questions	0	0	5	25	0	0.00	0.00	16.67	83.33	0.00

3.3.4. *Assessing the level of satisfaction with the auction of residential land use rights*

Table 7 shows that the criteria for satisfaction with auction participation procedures are evaluated well with 28 votes of 4 points (satisfaction) accounting for 93.33 %, with only 2 votes of 3 points (average satisfaction) accounting for 6.67 %. This is consistent with the current situation of the auction of residential land use rights in Bao Yen. Because a third party is hired to organize the auction, the procedures are explained and supported by the consulting unit. Until completed. Regarding the level of satisfaction, the organization hosting the auction was also highly appreciated, with 25 votes corresponding to 83.33 % rated 4 points (satisfied), and 5 votes corresponding to 16.67 % rated 3 points (average satisfaction). It can be seen that the above evaluation results accurately reflect the reality of auctions, there

is always an auctioneer running the auction, coordinating smoothly with the finance and tax departments under the supervision of leaders. Bao Yen district, inspection department, and Land Fund Development Center, collectively known as the supervision team.

Those who carry out auction administrative procedures (auctioneers) are all certified in auctions, have a neat and professional working style, and therefore meet the criteria of satisfaction with the person carrying out the procedures. Auction administration reached 90 % of respondents satisfied (4 points), and only 10 % rated average satisfaction (3 points). Regarding facilities to serve the auction of land use rights, all auctions of Bao Yen district are held at the cultural center and cultural house of Bao Yen district, so the facilities are quite good. Therefore, 26 interviewees rated 4 points (good), and 4 people rated 3 points (average) corresponding to 86.67 % and 13.33 %.

**Table 7. Evaluate the level of satisfaction with the auction of residential land use rights**

Assessment criteria	Rating score (point)					Rate (%)				
	1	2	3	4	5	1	2	3	4	5
1. Level of satisfaction with auction participation procedures	0	0	2	28	0	0.00	0.00	6.67	93.33	0.00
2. Level of satisfaction with the organization hosting the auction	0	0	5	25	0	0.00	0.00	16.67	83.33	0.00
3. Level of satisfaction with the person carrying out auction administrative procedures	0	0	3	27	0	0.00	0.00	10.00	90.00	0.00
4. Level of satisfaction with auction facilities	0	0	4	26	0	0.00	0.00	13.33	86.67	0.00

The objective assessment results have reflected the actual level of satisfaction of participants with the auction of residential land use rights in Bao Yen district, Lao Cai province with different levels. With satisfaction with information on auctions of residential land use rights reaching 3.12 points (average level); Regarding auction procedures and issuance of certificates of residential land use rights, the score was 3.58 (quite satisfied); Regarding officials involved in the auction of residential land use rights and the level of satisfaction

with the auction of residential land use rights both reached 3.88 (quite satisfied). Thus, with 4 groups of evaluation criteria, 3 groups of criteria reach a good level, and 1 group of criteria reaches an average level. The overall level of satisfaction that interviewees assessed about the auction of residential land use rights reached 3.64 (quite satisfied). This confirms that the auction of residential land use rights in Bao Yen district, Lao Cai province is being implemented well and receiving high appreciation from auction participants (Figure 2).

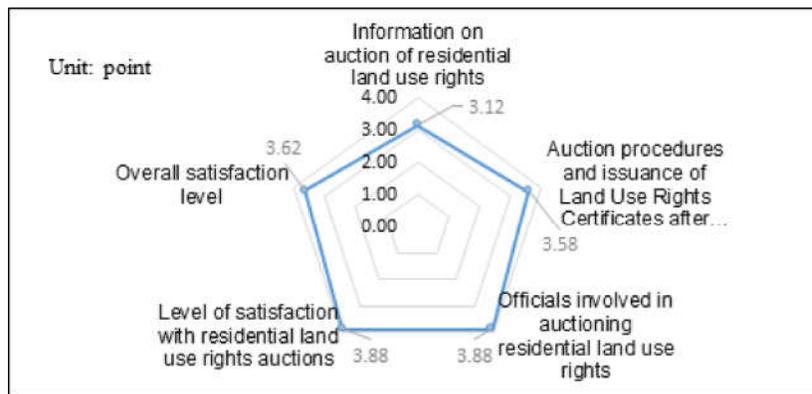


Figure 2: Level of satisfaction with the auction of land use rights in Bao Yen district

### 3.4. General assessment

#### 3.4.1. Advantage

The auction of land use rights in the Bao Yen district is closely cared for and directed by leaders at all levels. The organization and implementation process is methodical, open, and transparent. The auction format currently applied is appropriate and achieves high results. After the auction, the infrastructure at the auction site was built better than before, and the urban landscape was more spacious. The auction of land use rights in Bao Yen district has achieved certain economic and social effects such

as contributing to reasonable exploitation of land funds, increasing revenue for the budget, and creating investment capital for building facilities, and infrastructure.

#### 3.4.2. Disadvantage

The ability of people in villages to receive information about auctions of residential land use rights is limited because people are not proficient in technology and receiving information on electronic websites is still difficult. The starting price of land use rights is higher than people's income due to the cost of machinery to level the ground and create a land fund in large mountainous terrain.

There is a phenomenon of land speculation when some winning documents for land use rights auctions are people from other provinces who came to participate in the auction but they have no real need for housing.

### **3.5. Solution to complete auction of land use rights in Bao Yen district**

#### **3.5.1. Enhance access to information on land use rights auctions**

It is necessary to continue to promote and improve the quality and effectiveness of propaganda and dissemination of information about residential land use rights auction projects to people, especially people in remote villages by diversifying propaganda methods that are more effective than loudspeaker calls or publicity at commune People's Committees, such as sending officials to homes to disseminate information about projects, holding meetings to disseminate information. General information in the villages and hamlets of the people.

At the same time, it is necessary to organize training classes on the use of technological means to update information related to Land Law policies in general and information on land use rights auctions in particular for people who are not high-level.

#### **3.5.2. Increase the ability to successfully auction residential land use rights of people in need**

It is necessary to balance people's income level with the starting price of auctioned land plots to increase the likelihood of successfully auctioning people's residential land use rights. Research options to reduce site leveling

costs and create a land fund so that people in need can easily access the starting price when auctioning land use rights. Additional policy solutions such as supporting loans with low interest rates to auction residential land use rights in particular and auction land use rights in general for local people.

#### **3.5.3. Policy solutions to combat land speculation**

The state needs to take measures to limit land speculation by individuals with money from other localities participating in the auction, leading to even higher residential land prices. From there, the legal system can consider progressive land taxation for second and subsequent real estate to avoid speculators creating virtual land fevers, pushing up land prices, making it difficult for People's opportunity to use land to become even lower.

## **4. Conclusion**

During the period 2021 - 2023, Bao Yen district successfully auctioned 35 residential land projects with 248 plots of land with a total area of 54,237 m<sup>2</sup>. The average starting price at auction from 2021 to 2023 is 2,612.68 thousand VND/ m<sup>2</sup>, respectively; 2664.2 thousand VND/ m<sup>2</sup>; and 18,240 thousand VND/ m<sup>2</sup>. The average auction winning price has a difference coefficient from 1.001 to 1.015 compared to the starting price, the average difference coefficient between the auction winning price is quite satisfied with the overall satisfaction score reaching 3.62 points (fair level), satisfied).

Land use rights auctions have brought about economic, social, and state

management effects on land. However, there are still some limitations such as people's ability to access land use rights auction information is low, the starting price is high compared to people's income... From there, it is necessary to develop solutions to strengthen people's ability to access residential land use rights auction information and increase the ability to auction residential land use rights with people in need successfully.

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