



# **MASTER'S PROGRAMME IN URBAN MANAGEMENT AND DEVELOPMENT**

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## **Exploring Public Service Improvement Initiative: A Case Study of Citizen's Charter Implementation in Naga City**

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## Summary

The past decades saw important changes at the sub-national levels not just in the realm of technological advancements but also in arena of administrative and managerial developments. Shifts in perspective as well as in approaches have begun to occupy the discourses and debates in urban development and public administration. One such approach intended to bring about reform in public service delivery is the citizen's charter initiative which have been given birth in United Kingdom and gained popularity not just in adjacent countries in Europe, the Americas but also found its way in the shores of South Asia and the Pacific. Citizen's Charter is a document that spells out the entitlements of citizens when it transacts with governments. It outlines the steps of availing the services the organization offers including the standards by which the services would be delivered.

This research aims to explore the factors associated in formulating, implementing and institutionalizing citizen's charter and determine the extent of its influence on transparency, accountability and quality of public services. A case study was undertaken in the City of Naga in the Philippines using office survey and client's survey, with respondents coming from the Local Civil Registry (LCR) and the Business Permit and Licensing Division (BPLD) as well as key informant interview and focus group discussion with selected key implementers and stakeholders. Desk review and field work findings reveal the following main points that answer the research objective and appurtenant research questions.

There was no single most important and comprehensive strategy or approach that is useful in all stages of the citizen's charter program. Analysis however reveals that certain factors appear more dominant in distinct phases of the citizen's charter. In the conception of the charter, the institutional structure formed was found pivotal in facilitating the crucial activities of the charter formulation. In the implementation phase of the charter, the dominant factor that surfaced is the accessibility of information about the charter to the greater public which was found not perfectly matching with the means by which the target clients can be reached. While indeed it was commendable to have begun utilizing electronic means to get in touch with the segments of the clients, it was revealed that face to face transaction with frontliners in the service window was still the most frequent source of information to clients. The capacity building on the other hand, was found effective to those who have attended the trainings but there is still the concern about the rest and for all in general who have not and desires a more programmatic skills enhancement or attitude/behavioral modification program perceived helpful in the performance of duties and functions. In the institutionalization phase of the charter, it was found the local and national legislations were more than enough to guarantee the charter's sustainability. However, the findings disclose the absence of a systematic evaluation of the citizen's charter than already runs for almost a decade now.

There was a conscious effort on the part of the city government to be open and transparent in the way they do things in their offices by producing the book form (Naga City Citizen's Charter) and electronic form (NetServe) of the charter but these efforts as far as awareness of the citizens is concerned is not sufficient. Clients surveyed in the study perceive that the requirements are clear and understandable. But the visible display

of procedures and process flows as well as applicable fees and charges would have to be worked out for findings disclose not many of the clients notice them right away. The aim of spreading/propagating the information about what can be expected of the services in the city government service standards has not been fully achieved.

The accountability mechanisms established in support of the I-Governance Program where the citizen's charter is an integral part are innovative and pioneering but not all are fully functional. There are a number of avenues by which citizens can express complaints and feedback to the city government. The IT-based facilities include open phone line/Text to the Mayor; TEXT Naga; the Community Forum in the city's official website; and the conventional feedback form or letter to the city government. What seems to work very conveniently at this time is the Text to Mayor mode which is received directly by the local chief executive. The least functional of these modes is the feedback form attached at the end pages of the Naga City Citizen's Charter which has not yielded a striking register. There was no display of procedures how to complain within the city hall premises but are found in the published form of the charter. The received complaints or feedback from all these sources are acted upon independently by concerned offices. Complaints are validated, remised employees are meted with appropriate sanction, correction is done and an apology is relayed to aggrieved customers either by frontliners themselves or the head of office. However, there is none as of yet a compensation provided to appease a complaining client.

Both the clients and employees positively perceive the quality of services being rendered by the city government. Services information are generally accessible because of its availability in the internet however, the issue is no longer the content but the distribution of the Naga City Citizen's Charter to all households in the city. Services are predominantly accurate and the openness of the city to be corrected is a welcome attitude. A great majority of the clients perceived the courtesy, friendliness and accommodation extended by frontliners. Clients perceive waiting areas are comfortable although department heads think this is an opportunity for improvement whenever viably possible. Clients perceive a fair treatment that does not distinguish nor discriminate. Least but still positively perceived is the timeliness of services rendered.

The research highlights the transformative influence of citizen's charter on the city's service delivery transparency, accountability, and quality.

The results of desk review and field assessment clearly point to a need to explore innovative applications to sustain the gains of the institutionalization of the citizen's charter especially that it is embarking on its ninth year of implementation. Towards the end, practical recommendations and considerations have been drawn along the following themes: City Government Process Transparency; City Government Output Accountability; and City Government Service Quality.

**Keywords:** Citizen's Charter, Public Sector Reform Program, New Public Management, Good Urban Governance

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*Maraming salamat po!*

## **Abbreviations and Acronyms**

ARD-GOLD – Associates in Rural Development – Governance for Local Development  
ARTA - Anti-Red Tape Act  
ATM - Automated Teller Machine  
BOSS - Business One Stop Shop  
BPLD-CTO - Business Permit and Licensing Division - City Treasurer’s Office  
CC - Citizen’s Charter  
CDC - City Development Council  
CSC - Civil Service Commission  
FGD - Focus Group Discussion  
HRMO - Human Resource Management Office  
KII - Key Informant Interview  
IFI - International Finance Institutions  
IRR - Implementing Rules and Regulations  
LCR - Local Civil Registry  
LGU – Local Government Unit  
IT- Information Technology  
MNCCI - Metro Naga Chamber of Commerce Incorporated  
MOOE - Maintenance and Other Operating Expenditure  
NCPC - Naga City People’s Council  
NPM - New Public Management  
PAC - Public Affairs Center  
PES - Performance Evaluation System  
PIB - Performance Incentive Bonus  
PIP - Productivity Improvement Program  
PSEP - Public Service Excellence Program  
QSEP- Quality Service Excellence Program  
RCS - Report Card Survey  
SMS - Short Messaging System  
SOCA - State of the City Address  
TUGI - The Urban Governance Initiative  
UNDP - United Nations Development Programme  
3Rs – Reduce, Re-use, Recycle  
5S – Sort, Sweep, Shine, Standardize, Sustain

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## Chapter 1: Introduction

*“Reinventing public institutions is herculean work. To succeed, you must find levers that can move mountains. You must find strategies that set-off chain reactions in your organization or system, dominoes that will set all others falling. In a phrase, you must be strategic”.*

- David Osborne and Peter Plastrik  
(*Banishing Bureaucracy*, 1998)

### 1.1 Research Background

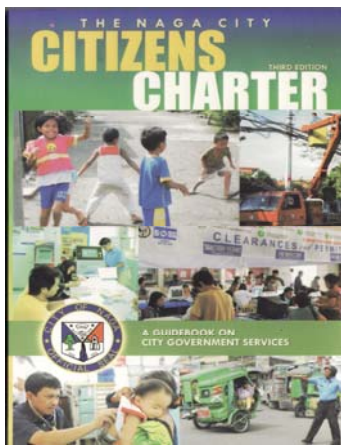
If there is one thing that public administration practitioners, enthusiasts, scholars and critiques are most fond of discussing, it would be public sector management reforms. This is an issue that is not confined to any advanced or less advanced economy, innovation-pioneering or lagging-behind public administrations, whether presidential or federal governments, unitary or federal states. Governments are confronted with the demand to improve public service delivery (Kiviniemi, 1988) and are prompted to introduce reform initiatives whether serious or not to respond to the pressure from its constituents.

In the last two decades, one such reform initiative has been increasingly influencing many economies around the world. A basic reformation in public administration is taking place both at the national and sub national levels. As a result of a growing demand for governments to be more responsive – a citizen’s charter initiative and its variants are occurring in many parts of the world. First to develop Citizen’s Charter (later called Service First) is the United Kingdom in 1991 as a centerpiece programme commitment to quality public sector reform agenda of then Prime Minister John Major (Falconer and Ross 1999). A number of charter-like initiatives in other European countries have followed suit: in Italy, *La Carta dei Servizi*; in France, *La Charte des Services Publicos* (Public Service Charter); in Portugal, *Carta para a Qualidade nos Servicos Publicos* (Quality Charter for Public Services); *La Chartedes Utilizateurs des Services Publics* (Public Service Users Charter) in Belgium (Schiavo 2000); and Public Service Guarantees in Sweden (Madell 2005). In the United States of America it is called Customer’s Service Plans, in Australia it is named Service Charters (McGuire 2002) and in India it is Citizen’s Charter (Haque 2005). Regardless of the names by which it is referred to, its intent and purposes point to just one thing – improvement in public service delivery.

A Citizen’s Charter is a public document that specifies the services a transacting public may look forward to from a public office. It describes the step-by-step procedure for availing a particular service, and the guaranteed performance levels that they may expect for that service (James et. al. 2005). It indicates the rights and services available to the citizens, procedures how these will be delivered, remedy that will be available in case of non-deliverance and obligations of citizen’s in return (Haque 2005). Citizen’s charter becomes an instrument to improve transparency, efficiency, accountability and quality in public service delivery. It also empowers the citizenry by giving them access to

information regarding an office's/agency's service standards and to corresponding remedies available to citizens if they are not satisfied with the quality of service provided.

In the Philippines, Republic Act 9485, "An Act to Improve Efficiency in the Delivery of Government Service to The Public by Reducing Bureaucratic Red Tape, Preventing Graft and Corruption, and Providing Penalties Therefor" enacted in 2007 mandates all government national offices and agencies including local government units and government-owned or controlled corporations providing frontline services to develop their respective service standards to be known as Citizen's Charter. This national or centrally issued policy is triggered partly by opinion surveys and demands (local and international) clamouring for more transparency and accountability in public service delivery in the country.



Interestingly, prior to the passage of this law, one city government in the country has formulated and implemented a city citizen's charter called "**Naga City Citizens Charter**". This is a public service guidebook that outlines the steps and procedures how to avail Naga City urban public services. The city citizen's charter started several years before the promulgation of the law and has just updated it for the third time. In compliance with local ordinance, the revision is intended to update the standards set and incorporate additional services of the city government. Naga City serves as one of the pioneers and benchmarks in the country which has formulated its own service charter without any direct technical assistance from

external service providers or a directive from a national government entity.

The present form of the charter is a product of three public service improvement programs implemented city wide – the Productivity Improvement Program (PIP); the Quality Service Improvement Program (QSIP) and the Public Service Excellence Program (QSEP). The PIP sought to employ private sector productivity strategies in a local government, the QSIP intended to enhance service quality delivery in selected city departments and the QSEP aimed to expand quality service consciousness throughout local bureaucracy. This was a stage in the city service provision where the perspective of end-users was taken as a paramount orientation. The city sought to document the salient outputs of these programs into a functional guidebook for transacting public until this undertaking was overtaken by events connected with the local elections. Perceiving the great potential to enhance transparency and accountability, the present Mayor upon returning to city service, revived the effort and envisioned to make this available to all households in the city. The expansion of the gains of these initiatives formed part of what is now called I-Governance Program of the city.

The I-Governance Program is an information based program that uses various tools to provide city and non-city residents with information on city government policies, programs and operations by "empowering the citizenry, encouraging participation and improving transparency". It seeks to involve individual citizens by widening avenues for participation in governing the city. The Naga City Citizen's Charter is a pivotal

component of the I-Governance Program and its digital version (called NetServe) is made available in the official city website, [www.naga.gov.ph](http://www.naga.gov.ph). Utilizing the power of the internet the guidebook is now reached by a global audience including community of Naguenos now living in different parts of the world. The formulation, maintenance and updating of these components is spearheaded and coordinated by a group called I-governance Team. This very same program is recognized by The Urban Governance Initiative/United Nations Development Program as a CyberCity Awardee for the Asia Pacific in 2002; and the United Nations Department of Economic and Social Affairs as a UN Public Service Awardee for Local e-Government in 2003. Locally in 2004, the National Computer Center cited [naga.gov.ph](http://naga.gov.ph) as the Best City Website and the Best LGU Website (independent category) in the country.

Naga City Citizen's Charter contains service charter information on what it provides to the public, a description of what the service is; the requirements to avail the service; the persons responsible every step; and the procedures to follow. But apart from these, the city charter also includes citizen's friendly information and references such as maps (for directions in the city hall complex); directory/names of city officers and heads and their telephone and email addresses (for contacts, appointments and queries); performance pledges (bearing the frontline services of the office, response time, responsible persons and the pictures of the office personnel); service campaign information (slogan and the "employees wheel" which connects the city hall offices in support of city government strategic goals); the city government and personnel awards and recognitions; related city ordinance; and client feedback forms.

The citizen's charter is viewed by this thesis as a public service reform initiative envisaged to improve the way local governments think about and act on their service delivery ensuring function. The initiative is believed to be promising to bring about change in the way public servants deliver its services and is at the same time, feared to be perilous to the same public organization for it puts itself at the doorstep of scrutiny and criticism for whatever undelivered or sub-standard service rendered.

#### **Box 1: Beginnings of a History: How Citizen's Charter Came to be in the City of Naga**

When Mayor Jesse Robredo came in 1988 from the Bicol River Basin Rehabilitation Project, the city had a typical local government story: low income employees, low morale, no dedication, no customer orientation, all reflected in an ineffective government service delivery. Coming from the private sector himself, the mayor was disappointingly taken aback of the unresponsive culture and the system that has long permeated in the four walls of the city hall. So he subjected the city government to a personal assessment and found the human resource as a focal point for initiating a reform in the city government. Slowly, the Mayor implemented some innovations in human resource management anchored on the concept of productivity where he instituted a system of hiring, no longer on political patronage but based on merits according to guidelines of civil service regulations. Little by little, the morale of the employees was regained. The HRD implemented trainings (on 5'S and 3'Rs, among others) for city employees to efficiently and effectively undertake job and complemented this with an increase in employee's salaries which somehow made positive changes for the city. The employees committed themselves to a Performance Pledge indicating their steadfastness to government service. Until 1995 came, this continuing human resource reform called the Productivity Improvement Program (PIP) won in the *Galing Pook Awards for Local Government Administration* - a proof that private sector productivity techniques are possible in government setting. At this time the city also embarked on computerizing its operations which further streamlined its processes and systems. As for organizational development, the city also implemented the Quality Service Improvement Program (QSIP) which built the customer focused skills of employees. In

Dec. 1997 the city was one of the 11 pilots of Associates in Rural Development-Governance and Local Democracy (ARD-GOLD) of USAID, a demand driven technical assistance project which trained the city's health, hospital, social welfare, population and nutrition and environment departments and offices on Basic Customer Service Skills.

Then came 1999 with a revitalized program Public Service Excellence Program (PSEP), a higher level QSIP which produced two trainers from the city who then trained 31 department/offices for six months on service vision, service audit and customer skills development, among others. There was a training team formed that facilitated the training of the entire city departments. Many attended the three batch training. But prior to this, four office representatives attended an appreciation course with ARD GOLD: the Human Resource Officer, the City Planning and Development Coordinator, Public Employment Services Officer and a City Health Officer who at that time were asked to share their very own Performance Pledge (which commits city employees to providing quality services) that was later adopted by the ARD-GOLD into its QSIP. The pledge is original to Naga City Government to address the city's inefficiencies before. At that time they tried to marry the PIP (inward-looking, productivity focused) and QSIP/PSEP (outward-looking, quality focused). The Naga City Citizen's Charter reflects the outputs of these programs. Then came 2000, at the tail-end of ARD-GOLD extension assistance was a workshop on guidebook development which yielded the basic structure of the charter. An editorial team was called to look into all outputs of the offices but efforts have been overtaken by electoral preparations. Until 2001 when the effort was revived, the production ensued and finally came Naga City Citizen's Charter under the I-Governance Program of the City. Little do they know that six years after, their pioneering effort will become one of the models if not inspiration for the establishment of countrywide effort on citizen's charter development.

## 1.2 Research Objectives and Questions

**The overall objective of the research is to explore the influence of citizen's charter in improving or enhancing the transparency, accountability and quality in service delivery in the city.**

### **Overall Research Question:**

“To what extent did the citizen's charter improve or enhance transparency, accountability and quality of service delivery in Naga City?”

- How useful are the strategies and approaches employed in the formulation, implementation and institutionalization of citizen's charter?
- How open and accessible are the information and standards set in the citizen's charter?
- How resolute are the city government officials and employees in responding to complaints and feedbacks received from implementation of the citizen's charter?
- How do employees and clients perceive the quality of services rendered by the city government?

**Objective 1:** Investigate the strategies and approaches employed in formulating, implementing and institutionalizing the citizen's charter.

Proposition: The adequacy and appropriateness of strategies and approaches used in formulation and implementation paved way for the citizen's charter institutionalization.

Sub research questions:

1. What are the facilitating and/or hindering factors for its formulation and implementation?
2. How have the systems and approaches helped in institutionalizing the charter?

**Objective 2:** Examine how open and accessible are the information and standards set in the citizen's charter.

Proposition: The openness and accessibility of information and standards allow public awareness on citizen's charter to flourish.

Sub research questions:

1. How clear are the requirements or pre-requisites in availing the services of the city government?
2. How accessible are the information related to citizen's charter?

**Objective 3:** Analyze the accountability mechanisms established in the citizen's charter.

Proposition: The presence of functional feedback, complaints and redress mechanisms reinforce institutionalization of the citizen's charter.

Sub research questions:

1. Are city government officials and employees displaying their names for clients to know and approach them?
2. Are there feedback and complaints mechanisms established?
3. Are there redress mechanisms instituted?

**Objective 4:** Assess the level of quality of services rendered by the city government.

Proposition 2: Perceived quality of public services affects the satisfaction/approval rating of the public.

Sub research questions:

1. Is the service available as stated? Are the outputs of services correct and accurate?
2. Is the treatment the same for all types of clients? Is the standard processing time for the service followed?
3. Is the public servant courteous, friendly and accommodating? Is there a decent and comfortable waiting area?

### **1.3 Research Relevance**

The findings of the research aim to generate valuable information and practical considerations for application to the present initiative of the country (RA 9485) to reform public service delivery at the local level. It hopes to cull important learning (facilitating and hindering factors) from the application/implementation of citizen's charter which may, in the long run be considered by the oversight agencies/committee in monitoring and evaluating the law, or in the short term be incorporated in the manual/toolkit being designed. The thesis intends to generate workable recommendations as to how the present

design of technical assistance for citizen's charter formulation in the Philippines may be enhanced.

Secondarily and latently, the results of the study would resemble a Report Card Survey (RCS) for the City of Naga. The Report Card Survey is also a provision contained in RA 9485 which provides that all agencies and offices providing frontline services shall be subjected to a survey that aims to obtain feedback on how the provisions in the Citizen's Charter are being followed and how the agency is performing. Findings of the research may well serve the city government by treating it as an independent study whose recommendations and suggestions may be considered for continuous improvement of city service delivery.

And lastly, it hopes to impart insight on the question of the importance of local governments receiving external technical assistance from consultants and other institutions if needed; and to give insight on the capability of local governments to formulate and implement the initiative on their own.



## Chapter 2: Literature Review and Analytical Framework

### 2.1 Public Sector Management Reform

The pre-occupation of researchers, scholars and enthusiasts with public sector reform is understandable. This is a policy discourse that is close to people's experience in dealing with and transacting with the government. Regardless of status and political leaning, the encounter people have with government would always receive a thought that it could have been better and purposive. The public would always have something to say. Driven by these expectations and demands for accountable, transparent and quality public service, numerous reform initiatives have been flaunted and implemented with various degrees of support from the very clients – the public. As Pollitt and Bouckaert would put it: “public management reform consists of deliberate changes to the structures and processes of public sector organization with the objective of getting them to run better” (2004, p. 8). The reform initiatives, projects or programmes invariably touch on thematic areas such as accountability, transparency, and quality of service delivery. One recent public management reform program occurring in the Philippines is the formulation and institutionalization of Citizen's Charter.

This particular reform initiative in the country is a landmark legislation that puts forth seriousness in reforming the service delivery in the bureaucracy. For quite a long time, and in general sense, Philippine bureaucracies and in particular local government bureaucracies have been existing and delivering services without written and published procedures and manuals that which both implementers and service recipients can base upon and expect of. The absence of clearly defined procedures and steps and the standards by which these should be delivered has resulted in confusion, dissatisfaction of customers and inefficiencies. It made the bureaucracy and the transacting public prone or vulnerable to illicit transactions and red tape.

The reform initiative is expected to trigger changes in the civil servants attitude and behaviour as well as changes in the way the people perceives public service delivery. This is because the charter itself will define the performance standards of the staff and supervisors with which they will be accountable. The same citizen's charter will also motivate civil servants and bureaucrats to behave and act based on service standards because rewards and punishments are also anchored unto said charters. Citizens as “customers” are also empowered to insist appropriate services, utilize and provide feedback and demand compensation for services below standards. Citizens as recipients of public services are thus becoming more active in defining the whole service delivery.

### 2.2 New Public Management

This public sector management reform initiative points to the characteristics forwarded by the overarching philosophy of New Public Management (NPM) – application of private sector styles of management; introduction of performance management; shift to (internal) competition; focus on results, efficiency, effectiveness and quality; stress on output per budget allocation and discipline in use of public resources; and *treatment of the public as customers and clients* (Borins 2000). It now focuses greatly ‘on the

external' which is referred to as *client orientation* (van den Dool 2005). While NPM may actually encompass all other principles that which the Traditional Public Administration is not, the principles mentioned above are those clearly espoused by the citizen's charter.

NPM is the transfer of business and market principles and management techniques from the private into the public sector, symbiotic and consistent with and based on neo-liberal understanding of state and economy. The goal therefore, is a slim, reduced, minimal state in which any public activity is decreased and if at all, exercised according to business principles of *efficiency* (Drechsler 2005, p.1).

According to Hood (1995) who believes in the universal appeal and application of NPM, there are seven doctrinal changes associated with New Public Management's stance on how public administration should be handled. These are:

1. shift towards greater disaggregation (unbundling) of the public sector into corporatized units organized by product;
2. shift towards more contract based competitive provision, with internal markets and term contracts;
3. stress on private sector styles of management practice;
4. move towards greater stress on discipline and frugality in resource use;
5. more emphasis on visible hands-on top management;
6. move towards more explicit and measurable standards of performance and success; and;
7. greater emphasis on output controls or results.

New Public Management advances an apolitical framework and claims to solve management ills in many different contexts.

The clarion call of NPM to introduce reforms in the way government does its work is also highlighted in the 'reinventing government' dubbed by Osborne and Plastrik (1997). The summon is for the government to reinvent its customary ways and adapt a more entrepreneurial approach of doing things. This involves remarkable change in objectives, power configuration, custom and tradition and accountabilities. The change is envisaged to enhance government's competence, responsiveness, efficiency and flexibility. They proposed five strategies (5Cs) to introduce this kind of change:

1. *The Core Strategy for Creating Clarity of Purpose.* It is defining the objective and purpose of the public organization whether it is the steerer (giving guidance) or the provider (producing services) in order for the leadership to focus on achieving one collective and vivid purpose.
2. *The Consequences Strategy of Incentives.* It is building performance level and evaluation and incentives (financial or non-financial) into public systems.
3. *The Customer Strategy for Accountability to Their Customers.* It focuses on the accountability of the government in enhancing the client choices on the delivery and provision of public goods and services.
4. *The Control Strategy for Shifting Control Away from the Top and Center.* Promoting Bottom-Up governance wherein the power on the decision is shifted

out into community that includes partnership and decentralizing managerial controls.

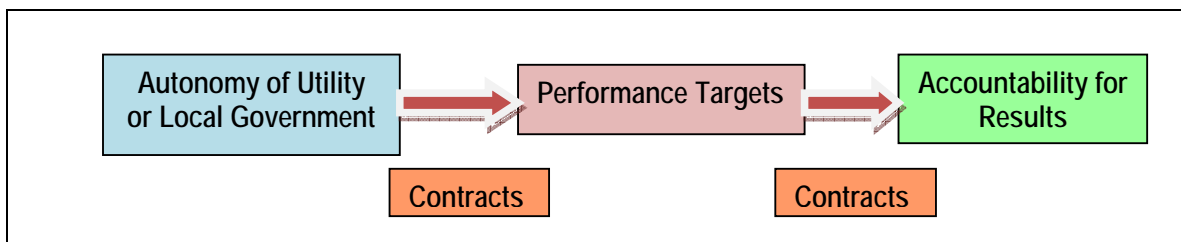
5. *The Cultural Strategy for Creating an Entrepreneurial Culture.* It is overhauling the system wherein outmoded ways of performing is converted into client and performance oriented management.

Andrisani, Hakim and Savas (2002, p2) pointed to the changes in the very nature of American public administration as illustration of what is called New Public Management (NPM). Its elements include:

1. Reverting to core functions;
2. Decentralizing and devolving authority;
3. Limiting the size and scope of government; rightsizing;
4. Restoring civil society;
5. Adopting market principles;
6. Managing for results, satisfying citizens, and holding government accountable;
7. Empowering employees, citizens, and communities; and
8. Introducing e-government and modern technology.

Elaborately, van Dijk (2006, pp 44-45) explains that NPM theory is used by some experts as saying good urban governance means applying the principles of NPM. He said: “the good governance discussion is a step forward in urban management because urban politicians and managers are now more accountable for what they are doing. Accountability is one of the key concepts in NPM theory, a theory that is revolutionizing public management by putting emphasis on contracts and autonomy, while stressing the importance of market orientation and customer orientation”. Among the key concepts in NPM are autonomy, accountability, customer orientation, and market orientation. Below is an illustration showing a framework to analyze the relationship between an organization and its environment.

**Figure 1: Framework in Analyzing the Relationship Between an Organization and its Environment**



(Source: van Dijk, 2006, p.45)

*Autonomy* is the ability to make important decisions at a lower level of government or at the level of a government owned company. This may either be internal autonomy which make local government or utility more flexible, effective and innovative; or external, the service provider be it the local government or the utility is shielded from opportunistic political interference to allow managers to respond to the needs of the their customers.

The degree of autonomy is determined by the legal authority of the local government or utility, constrained by a number of external limitations like condition of labour market, access to financial resources, policy framework, regulation, political commitment and support and availability and quality of natural resources (van Dijk 2006, pp44-46).

van Dijk (2006, pp 46-47) refers to *accountability* as rendering account of the way public money is spent; for which purposes it has been spent and did this have the expected results. It is necessary for both the local government and the utility. Local government is accountable to the municipal council and its citizens while the utility is accountable to a variety of actors including the owner, the regulator, the financing institutions and NGOs and special interest groups. There are two kinds of accountability with respect to government owned company: the first relates to the relationship between the actual service provider and the management oversight agency (i.e. municipality or a board of directors) and second is accountability of staff within the organization (e.g. service provider) and is also known as ‘managerial accountability’. Van Dijk continues and explains accountability concerns who is holding management responsible for the performance resulting from their decisions. NPM promotes contract as a main accountability mechanism. This can take the forms such as performance contract, *customer charters*, loan agreements, etc.

*Customer orientation* is the attention paid to customers of the local government or a utility. It is measured by the attention paid to complaints, representation of customers in different bodies and the frequency (and results) of surveys to find out what customers or citizens think of service provided by the local government and utility (van Dijk 2006, p. 47).

*Market orientation* according to van Dijk (2006, pp 47-48) aims to capture the benefits of competition. This orientation expects to achieve increasing efficiency of service provision. Best known method is private sector participation. A local government’s or utility’s market orientation is assessed by looking at: the use of out contracting/outsourcing in service provision; the use of benchmarking practices in the utility; and the use of other mechanisms to introduce quasi competition.

Below is a table showing the NPM Principles and the corresponding NPM Instruments as outlined by van Dijk (2006, p.78)

**Table 1: NPM Principles and NPM Instruments**

NPM Principles	NPM Instruments
Autonomy	Influencing tariffs
Accountability	Using contracts
Customer Orientation	A service-oriented company
Corporate Culture	Incentive programs
Market Orientation	Benchmarking/making an inventory of possible private sector participation

NPM hypothesizes that a well performing local governments or utilities are likely to be subject to considerable accountability mechanisms that contain explicit performance targets.

In this thesis, NPM principles of performance management, client orientation, focus on results, efficiency, effectiveness and quality will be highlighted in the course of explaining citizen's charter as a public service reform program.

## 2.3 Good Governance

The United Nations Development Programme (UNDP) defined governance as:

“The exercise of political, economic and administrative authority in the management of the country's affairs at all levels. It comprises the mechanisms, processes and institutions through which citizens and groups articulate their interests, exercise their rights, meet their obligations and mediate their differences” (in UNDP-TUGI, 2003).

There are four aspects to this definition laid out by UNDP. One is that governance is broader concept than government. Power is recognized to exist even outside the formal institutions and authority in government. Second, that governance is more than just management, that it is also concerned with the governance environment in which management decisions are taken and implemented. Third, that governance emphasizes process arising from the complex relationship between different actors possessing different interests. And lastly, that governance itself is a neutral concept, either positive or negative, thus necessitating a “good governance” that signifies an exercise of political, economic and administrative authority in the most positive, productive and creative form.

The United Nations Development Program (UNDP) in the document *Governance for Sustainable Human Development* explains:

“Good governance is, among other things, participatory, transparent and accountable. It is also effective and equitable, and promotes the rule of law fairly. Good governance ensures that the voices of the poorest and the most vulnerable are based on broad consensus among key stakeholders – the state, the private sector and civil society” (in UNDP-TUGI 2003).

Translating this good governance within the context of urban setting, *The Urban Governance Initiative (TUGI) Users' Manual* spells out nine core characteristics of good urban governance: participation, rule of law, transparency, responsiveness, consensus orientation, equity, effectiveness and efficiency, accountability and strategic vision. It looked at *participation* as men and women having a voice in decision making, either directly or through legitimate intermediate institutions that represent their interests. It is built on freedom of association and speech, as well as capacities to participate constructively. It sees *rule of law* as legal frameworks that are fair and are enforced impartially, particularly the laws on human rights. It characterized *transparency* as building on free flow information, where processes, institutions and information are directly accessible to those concerned with them. *Responsiveness* is trying to serve all

stakeholders. *Consensus orientation* is mediating different interests to reach broad consensus on what is the interest of the group, and where possible on policies and procedures. *Equity* pertains to availability of opportunities for all men and women to improve or maintain well-being. *Effectiveness and efficiency* refer to processes and institutions producing results that meet needs while making the best use of resources. It described *accountability* as answerability of decision makers in government, the private sector and civil society organizations to the public or institutional stakeholders. *Strategic vision* is broad and long term perspective on human development and its requirements.

By and large, the term “governance” has by now become a more or less neutral concept that focuses on steering mechanisms in a certain political unit, emphasizing the interaction of state, business and society players. “Good Governance”, on the other hand, is not all neutral; rather it is a normative concept that again embodies a strong value judgment in favor of the retrenchment of the state, which is supposed to yield to business standard principles, and - not least- interests. In that sense, “Good governance” privileges the Second (business) over the First Sector (state), even in First Sector areas (Drechsler 2005, p.8).

UNDP (1997) has defined *Transparency* as “sharing information, and acting in an open manner. It allows stakeholders to gather information that may be critical to uncovering abuses and defending their interests. Transparent systems have clear procedures for public decision making and open channels of communication between stakeholders and officials”.

On the other hand, it discussed *Accountability* as a “requirement that officials answer to stakeholders on the disposal of their power and duties, act on criticisms or requirements made of them and accept responsibility in case of failure, incompetence. Accountability involves adhering to a set of established criteria and using these to measure the performance of officials and estimate economic and financial outputs. It requires the following pre-requisites: freedom of information, stakeholders who are able to organize; and rule of law” (Ibid).

The importance of stakeholder participation in formulating, implementing and institutionalizing policy is underscored in a lot of development planning and policy development literatures. Regardless of cultural or geographic identities, citizen/community participation is considered an indispensable ingredient in a meaningful decision making process. One of these literatures is the classic *ladder of citizen participation* and nonparticipation written by Sherry Arnstein (1971)<sup>1</sup> where she illustrated a ladder-like levels or modes where “have-not” citizens can have the opportunity to be involved in economic or political decision making processes. It has eight rungs which starts at the bottom (nonparticipation) – manipulation, therapy, to informing, consultation, placation, partnership (tokenism), to delegated power, and citizen’s control which is the apex (citizen power) of the ladder. This simple typology however, does not capture the reality of varying degrees of influence the powerless/less powerful have in the entire decision making process. Nonetheless, this serve to illustrate

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<sup>1</sup> Arnstein, Sherry R. (1971) likened citizen participation to a ‘caring spinach’ which in principle means no one will be against of because it is good for everyone.

that there exist a construct where practitioners and students of citizen's participation can look at to describe the levels of participation in development plans and projects.

A variation of this typology is formulated by David Wilcox<sup>2</sup> (1994) wherein he modified the ladder into stances to read now as: Information; Consultation; Deciding together; Acting together and Supporting independent community interests. Wilcox premises his typology that participation is a 'controlled process' wherein someone (with resources) initiates and manages the participation process and has a reason for doing so. He explains that Information stance is where you tell people what is planned; Consultation stance is where you offer a number of options and listen to the feedback you get; Deciding together stance is where you encourage others to provide some additional ideas and options, and join in deciding the best way forward; Acting together stance is where a partnership is forged to carry it out best decision; and Supporting independent community initiatives stance is where you help others do what they want - perhaps within a framework of grants, advice and support provided by the resource holder.

Within the state sector itself, many of the principles of "Good Governance" are therefore identical with NPM. And while a unitary definition of the concept never existed, not even within the respective individual international finance institutions, "good" principles usually encompassed such concepts as transparency, efficiency, participation, responsibility, and market economy, state of law, democracy and justice. Many of them are indubitably "good" as such but all of them – except the last one, which is the most abstract – are heavily context dependent, hinging not only on definition and interpretation, but also on time and space (Drechsler 2005, p.8).

This thesis will anchor its elaboration on those espoused by good governance. The Citizen's Charter is being viewed as an instrument to propagate and instil the values of accountability, transparency, participation, efficiency, and effectiveness in running the affairs of the local government and in implementing its projects and programs. These shall be used in expounding the formulation, implementation and institutionalization processes related to the citizen's charter.

## **2.4 The Consumer, the Client and the Citizen**

The importance of citizen's charter is being recognized not just at governance levels (i.e. central-local; national-sub-national) sectoral level i.e. parent's charter (schools), patient's charter (hospital), passenger's charter (rail) but also along approach/strategy level. A model of citizen's charter for disaster management is being advocated in hazard-prone Uttaranchal Region in India (Pande and Pande 2007). The Citizen's Charter of Disaster Management is considered to be another effective tool to bring in citizen-centric governance.

Drewry in Pollitt (1998, pp349-350) points out that charters have been established across a range of countries, largely in response to the trans-national public administration reform agenda and its growing emphasis on the phenomenon known as the 'public sector

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<sup>2</sup> Wilcox, David (1994) believes that participation may work best for all concerned when each of the key interests - the stakeholders - is satisfied with the level of participation at which they are involved. That is, those who don't have much at stake may be happy to be informed or consulted. Others will want to be involved in decisions and possibly action to carry them out.

consumer'. Andrisani, Hakim and Savas explain that citizens play different roles. One is as consumers of government services, and therefore government must, like all service providers, satisfy its customers. The citizen-consumer-customer is king. Customer's service is a major thrust of modern managers in government. This means getting things done right, quickly, courteously, and knowledgeably (2002, p9).

One of the criticisms poised to citizen's charter is its name itself. More particular to the UK, the discourse centers on the semantics of the use of the terms citizens, customers, clients and users. Harrison (1999, p.58) for instance notes that placing of apostrophe in citizen's, patient's, parent's charters symbolizes the view of the individual with his or her own wants, needs, preferences and grievances which runs contrary to the view that citizens pertain to collective or group in relation to the state. Harrison points "mutual understanding between the state and the citizen cannot occur on an individual basis, but must be group to group".

Another complication to this semantics is the question from whose view should the citizen's charter must emanate. Harrison (1999, p 58) says the local government is more inclined to see citizen within the group – the local community – possibly as a member of the electorate, and certainly someone who shares with the group civic rights which are additional to the rights of the consumer (the right to know, be heard, be treated with fairness, honesty and courtesy as well as the right to participate and be represented). The central government seems to view citizens differently in content and in purpose. Barnett and Harrison in Harrison (1999) explain: "there is clearly overlap, in that similar methods have been used for different aims. Thus, for example, decentralization can be *consumer-based* and initiated out of concern for more responsive service delivery, or can be *citizen-based* and concerned with the devolution of political power and increased participation".

Users have responsibilities as well as rights (Harrison 1999). This cliché stems from the argument that citizen or client or customer's charter is a contract. Therefore, citizens, users or customers have the responsibility to make the contract work by fulfilling certain expectations as well like, showing the same courtesy to both service providers and other citizens, paying promptly and providing opinions and suggestions for service improvement. Harrison points the same expectation, for example by the Sheffield City Treasury, that customers in return should be honest, provide accurate and prompt information, pay bills and behave reasonably towards employees. The contract therefore is a "two way street".

The foregoing is consistent with an earlier observation and remark of Pollitt (1994, p.12) in the UK's citizen's charter conceptualization whereby citizens are viewed more as 'subjects' of the Crown and that the White Paper has no reference to citizens instead refers to users or consumers of public services. He explains "To be a consumer is to hold a particular position in a network of market relations. To be a citizen is to be a member of a political community, a richer concept embracing a much wider range of potential relationships".

The UK example of charterism indicates that public sector consumerism is not solely concerned with the users of public services. It is fundamentally about service providers and the customer's awareness orientation of public service delivery agencies (Pollitt, 1998, p. 350). Lovell (1992) for his part argues that if the improvements in customer



service required by the Citizen's Charter are to be effective and long lasting, changes in structures and systems will need to be accompanied by change in culture and management style. A customer responsive culture is necessary if customer service is to be improved.

The thesis may interchangeably use the terms citizens or customers or clients in its discussion of the processes the City went through in coming up with and implementing the charter. Although the thesis may use the word customers and clients as depicting a relationship where the public/user is more of a rightful recipient of services therefore deserves all right to demand and exact, the citizens as term, on the other hand, the thesis may also use it to refer to the relationship where the public/user is expected to render the equal obligations it ought to as a party to the contract.

## 2.5 Some Findings from Citizen's Charter

### *On Factors Associated with Citizen's Charter Formulation, Implementation and Institutionalization*

Azizah (2008, p40) in her study of Citizen's Charter Transformation in Yogyakarta City has looked at several internal and external variables related to citizen's charter formulation. One of which is the **involvement of actors**. She found that actors came from different backgrounds, the government, the academe, the representatives from NGOs, members of local parliament, members of representative's board, middle level staff from some city government agency who formed the Citizen's Charter Forum responsible for drafting, monitoring and evaluation of the CC for Birth Certificate Service. These actors have contributed technical, financial, human, and political resources to the formulation of the charter.

More specifically to **staff involvement** in formulating the charter, the experience of Yogyakarta City is mixed, there was participation in the CC for Birth Certification and there was marginalization for the CC on Children's ID. But in this case the explanation lies in the magnitude or number of staff in the office, many staff means less possibility of involvement. The involvement of staff in the 'transformation process' is important to illicit sense of belongingness that would make them ready for change; and to reduce resistance that comes from insecure feeling of change (ibid).

A field assessment was conducted by PAC (2005, p.23) in eight departments located Bangalore City, Karnataka, India to assess implementation of citizen's charter. These departments include Bangalore City Police, Bangalore Metropolitan Transport Corporation, Bangalore Water Supply and Sewerage Board, Commercial Taxes Department, Karanataka State Police, Rural Development and Panchayat Raj Department, Stamps and Registration Department and Transport Department. On **awareness and responsiveness**, it was found that officials especially in head offices are aware of the existence of the charter. Local office heads fare quite well in this regard however line staff that interact directly with citizens are not fully aware of the existence of citizen's charter.

As to institutionalization (defined in this study as the process referring to internalizing, or bringing in new values, norms and behavior needed to execute the charter), Azizah (2008

p.44) noted **leadership** as one important factor. This includes commitment, coordination and adaptation. Members of the CC Forum were found committed in the process of formulation and implementation. Indirectly this commitment has affected how the frontliners implemented the charter. It has inspired the frontliners to put their commitment too in the transformation process.

Azizah (2008, p. 45) also pointed to **training system** (which helps staff to adapt into new values and manners as required by the charter) which allowed the transfer and internalization of new values and manners. While there were trainings conducted, not all were able to be included for two reasons: limited budget and the secondly the training was meant for trainers. The effect of the training was not long lasting. Gradually staff did not practice 'friendly service (prescribed greeting)' when they were in peak hours. The language difference (Javanese to Indonesian) was a reason for non conformance to standard. Azizah recommended that that a maintenance program be instituted to sustain initial trainings. This program may include reward and punishment mechanism, communication, monitoring and good supporting office facilities.

Azizah (2008, p.46) also discussed the importance of **reward and punishment system** in the institutionalization of the charter. In the Yogyakarta's experience this was not very effective. More particularly because the reward system was not integrated into it. No financial or non financial reward was attached to performance of standards in the two charters they drafted. She underscored that constant appraisal and incentives will be needed since it's about changing understanding, perception and action from one stage to another.

**Staff's opinion** about the charter was also looked into and the PAC (2007, p.46) study found that the institutionalization process was both successful and not, for there were staff who considered the CC as an instrument to optimize service delivery to citizens and there were those who felt the CC was a control mechanism that pushes them to meet the standards set in the charter.

Azizah (2008 p. 46-47) also studied **communication of change from leader to staff** as an indicator to measure the institutionalization process. In Yogyakarta's experience, routine meetings were conducted to monitor and evaluate the implementation. Socialization program was also arranged to introduce CC to the staffs and citizens.

Support variable such as **sufficiency of office facilities** was also looked at. Azizah (2008 p.47) noted since the charter was aimed at shortening time needed to deliver the services it means that there should be additional facilities to support the charter. Even though staffs have changed their mindset when facilities are not well managed may cause negative effect on the staff's performance.

Azizah (2008 p.49) measured **staff's attitude** in delivering the service based on the standards written in the charter. In this case, the standard for public officers was to greet the citizen's who come for service – "Good morning/Good afternoon. What can I do for you?" Findings show that in practice not all frontliners always accomplish this standard. In Yogyakarta's case the reasons for non compliance mentioned point to number of staff available and the number of transacting public. If the office is short of human resources and the clients are many, chances are, as in this case, the standard would not be met all the time. Thus, affecting the achievement of one objectives of their charter – delivering friendly and congenial service.

### ***On Transparency***

Azizah (2008, p51) in her study of citizen's charter institutionalization in Yogyakarta City revealed that transparency in the city provision of Citizen/Children's ID Services has not fully taken place. Transparency of service was measured using **certainty of charges**. Azizah found out that even if staff knew there are standards for charges there was a willful choice not to inform the citizens. This is because staff would lose the opportunity to get additional income from the service (i.e. becoming a witness to the service as one of the requirements), or would not be able to charge extraordinary service for a fast service (especially for wealthy clients). The survey done confirmed that there were staffs not providing official receipts to clients simply because clients did not ask for it. Knowledge of the standard charges according to Azizah is important to achieve transparency. Thus she proposes education of citizens to inform that they have the right to ask for receipts.

McKeown, 1993 (as cited in Pollit, 1994 p.13) reports modest changes that can be directly attributed to "charterism" such as wearing of name badges; acceleration of improvements to complaints procedures.

### ***On Accountability***

The discourse on citizen's charter can be further stretched. Harrison (1999) explains that the rights and duties of citizens, customers, consumers and clients are both less clear and less well balanced. Elcock in Harrison (1999) points that **downward accountability** i.e. to the recipients of services, is addressed in citizen's charter. He foresees that the charter will encourage users to be more assertive and to make complaints, thus improving the accountability downwards. He doesn't see evidence of effective accountability in any other direction.

In the 2005, a PAC study revealed in terms of grievance redress, Bangalore Water Supply and Sewerage Board puts in place the most comprehensive system for effective redress mechanism which includes measures such as information when to complain, where to complain, details of nodal officer, format for complaints, time limit for response, assurance of action taken and acknowledgement.

The presence of feedback is one measure of accountable governance. PAC's (2007, p24) study revealed that **users are not encouraged to provide feedback** on charters. More than 84% of respondents that had seen a Citizen's Charter had not had the opportunity to provide feedback to department officials responsible for the implementation of the agency citizen's charter, indicating that end users are rarely consulted, when drafting, implementing, or updating the charter.

PAC (2007 p.22) found that most of those **dissatisfied users do not file complaints**. Of those who were dissatisfied with service provider, just 36% reported filing complaint while a further 68% of those who filed wanted to file but could not do so because they were unaware of grievance redress options. However, 87% of those who actually filed a complaint found the procedure to be simple. Almost 63% had their complaint acknowledged and 68% had their complaints resolved within the time period stipulated by the citizen's charter.

Further PAC (2007, p27) discloses that most **officials claim to resolve grievances in a timely fashion while end-users beg to differ**. Nearly 76% of officials interviewed claimed to acknowledge user complaints within the time period specified in the

departments' citizen's charter. Almost 43% of officials stated that their department resolves 75% to 100% of formal complaints within the time period specified in the charters. Yet just 39% of end users who filed a formal complaint report that officials promptly acknowledge and resolve grievances per standards.

### ***On Quality***

In this study of Citizen's Charter in Yogyakarta City, quality of the service was measured using the **certainty of time**. Azizah's (2008, p.5) study revealed that staff knew of the standard time by which a service should have been delivered however, due to lack of computer facilities service providers often violated this standard. Clients have accepted this situation because they are being informed of the possibility of delay. In some cases however, the study revealed that sanctions have been applied thus, staffs would be the one to deliver the product to the citizen's house. Critical to this is the client's knowledge of time standard which Azizah confirmed not many people know of.

PAC (2005) studied **courtesy and staff behavior** during a field assessment of citizen's charters in eight departments in Bangalore City and found that staff behaviour are better in head offices (than in local offices) and that by and large, most departments fare well in this respect. PAC's study in 2007 found that officials on the other hand are generally courteous and helpful. Nearly 86% of respondents felt that officials they encountered were courteous or very courteous. Similarly, 83% perceived officials to be helpful or very helpful. In terms of **availability**, the same assessment report prepared by PAC (2005) points out that in almost all offices, charters are not available for the public. Many offices have a lone copy in an office file that cannot ordinarily be accessed by citizens. Most staffs were unable to procure a copy of the charter upon request. In terms of **display in notice boards**, very few offices have displayed citizen's charter. In instances where notice boards display salient features of the charter, they are not visible to users upon entering offices nor are the contents clear.

PAC's (2005) desk review of citizen's charters of the same set of departments reveal that only two (transport department and transport corporation) out of eight departments have adequately met the standards of service which includes **full list of procedures, clarity of steps, prescribed timings of offices, time limit for a service, cost of service, and conditions to be complied with**.

In another study of PAC (2007, p.21) which was national in scope covering hundreds of citizen's charter across India, revealed that in terms of increasing service quality end users feel that **service quality** was average to poor. 48% percent of clients of agencies who have adopted a charter graded the department's performance as such. Study mentioned that departments must go beyond merely drafting charters and actually implement systemic changes that have real impact on service quality.

In terms of citizen friendliness, PAC 2007 (p13) report mentions Bangalore Metropolitan Transport Corporation meeting most of the criteria for a client friendly charter that includes **simplicity of language, small document, provision for updating charter, commitment of courtesy and friendliness, description of role of citizen's, information on where copy of charter is available, provision for consultation with users to gauge satisfaction, availability in multiple languages, information on year of publication, periodic review to ensure proper implementation, and compensation clause**. None of the offices covered by this desk review was found containing provision

on compensation if promised services is not delivered in time. This Assessment Report on Karnataka's Citizen's Charter mentions cases of compensation being paid in Andhra Pradesh and Delhi.

Osborne and Plastrik (1998, p36) relayed that in terms of quality and satisfaction among United Kingdom's national agencies the service standards they set had driven visible improvements in services. The National Health Service had lowered patient's waiting time from two hours to thirty minutes. In March 1990 for example, 200,000 patients were waiting for admission in hospitals but by March of 1995, the number was reduced to 32,000. The Royal Mail had raised the percentage of first class letters delivered by the next working day from 85.5% in 1990-91 to 92% in 1994-95. The British Rail had similarly improved in terms of raising the percentage of trains arriving within 10 minutes of their scheduled time from 78% in 1991 to 88% by end of 1994. The Passport Office had decreased the time of securing a passport from 95 days to a maximum of 15 working days.

Three years after the implementation of centrally issued policy on citizen's charter in UK, Pollitt (1994, p.13) relayed empirical findings from some local studies which cast doubts on the claim that CC programme is making major difference to service quality. In a small scale research in West London they found that "majority of users could not detect any change for better or for worse...hardly any of the citizens we interviewed could accurately identify a single standard". He went on to say "What is more disturbing for charter enthusiasts is the finding that many of the quality improvements that have been achieved have little to do with the charter. Many were already in place, often the result of local initiatives, financial pressures or legislative requirements that have little to do with the charter". Pollitt asserts that at that time, the value added of the charter programme appears 'disappointingly small'.

### ***On Impact of Display of Charter***

The national review of citizen's charter in India conducted by PAC (2007, p25) discloses important findings to the question whether the display of Citizen's Charter in offices impacts service delivery. In a comparison of those who displayed and did not, study reveals that interviewed users were more satisfied with offices that displayed citizen's charter. Twenty nine percent (29%) were satisfied with office's performance compared to 15% of users interviewed in offices that did not display a charter. **Offices that display citizen's charters deliver service closer to established standards than of offices that do not display citizen's charters.** Thirty nine percent (39%) perceived that those offices who displayed charters hewed closer to established standards than 21% of users who visited offices that did not display citizen's charter.

Further revealed is the finding that offices that display citizen's charter are **better prepared to facilitate service delivery and grievance redress.** A much larger proportion of users (80%) interviewed in offices that displayed CC found the forms needed to apply for service or formal complaints than users who were interviewed in offices that did not display citizen's charter. In addition, many more of those who went to **offices with charters displayed found the officials very courteous and helpful than those who went to offices without charters displayed.** Nearly 25% and 23% of users felt that officials were courteous and helpful, respectively, compared to 16% and 22% of users who were interviewed in offices that do not display a charter. Moreover, a larger

proportion of those who lodged complaints among those (29%) who went to offices with charter displayed found the officials very helpful and considerate than those (14%) who went to offices with no charter displayed (PAC, p. 26).

### ***On Awareness***

In terms of awareness PAC's (2007, p23) national review of citizen's charter implementation in the entire India divulged that **awareness of the citizen's charter is extremely low**. Almost 74% of users surveyed were unaware of that citizen's charters exist. Of those that were aware of the citizen's charter program: 10% had simply heard but had not actually seen or read a charter; 7.7% had seen a charter in an office but had not read the document; 7.4% had seen and read a charter and 1% had seen, read and had a copy of citizen's charter in hand. The study mentions that the lack of awareness of citizen's charter initiative highlights the ineffectiveness of public service providers to inform citizen's o the program.

### ***Summary of the Review of Literature***

In varying degrees of seriousness and impact in different countries worldwide, many attempts have made by various public administrations to reform the way the bureaucracy does its mandate. Approaches range from vision and values clarification, strategies reformulation, resource augmentation, technology adaptation, management innovations, performance monitoring and management, systems re-engineering, benchmarking, and the list goes on. In the midst of present trends like decentralization, urbanization and competitiveness, the cry for a government that delivers mandates, accomplishes promises and inspires its people to be a partner in development grows tremendously. One of the most recent approaches is the citizen's charter initiative. This chapter of the report has expounded on New Public Management as a theoretical anchor of many of these approaches. As reviewed in this chapter, NPM espouses the use market or business related principles and stresses the significance of customer or client orientation. People have been clamouring for a type of governance that uses resources efficiently, answers and stands to decisions made for the institution, serves with integrity, and involves people in running the affairs of the state. Good governance platform is what many of the public sectors reform initiatives claims it is anchoring on.

As an approach, citizen's charter has been pioneered in United Kingdom. The interest about it and its influence spread in Europe and found it in the doors of African, American, and Asian countries. The review of selected experiences Karnataka, India and Yogyakarta, Indonesia showed how varied the experiences have been and the intrinsic and extrinsic factors that led to its formulation and implementation. Both countries have found inspiration from the model UK has exemplified. The findings from these countries may well provide lessons to others aspiring to introduce another promising reform at the local or national level. A research into this very same topic in a country such as the Philippines, or any pioneering city for that matter may probably contribute to the literatures of public service reform initiatives. Some questions that initially come to mind were "how different is the experience of a pioneer city in Philippines in crafting its own citizen's charter in terms of objectives and processes; and what are the lessons and considerations that may be surfaced from other countries experiences that may be useful or applicable in local governments?"

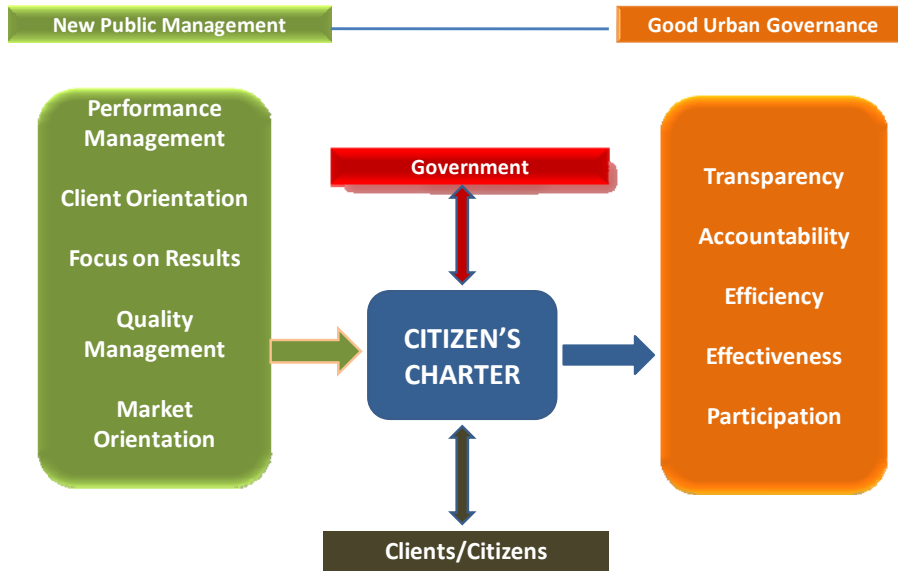
However, Rose in Pollitt (1998 p.349) points a caveat in drawing lessons about ‘charterism’: “Borrowing a program that is effective in elsewhere is no guarantee of success”. Any attempt to draw lessons from the experience of others must take full account of the historical, cultural, social, economic, and political environment pertaining to both the country seeking lessons and the countries whose experience is being examined. In this way, we avoid the danger of ‘learning’ which is not easily transferable.

This research endeavours to explore the implementation of citizen’s charter outside the UK and other European and non-European experiences where the political, administrative and cultural context is highly different. Divergent to most of published researches on citizen’s charter which exposes implementation at the national or central level (i.e. formulation and implementation of citizen’s charter at the department/ministry levels), this study intends to touch on citizen’s charter implementation in a specific city government in the Philippines in the Asia Pacific. This dearth of studies at the micro level, bottom up implementation is what this research hopes to contribute to.

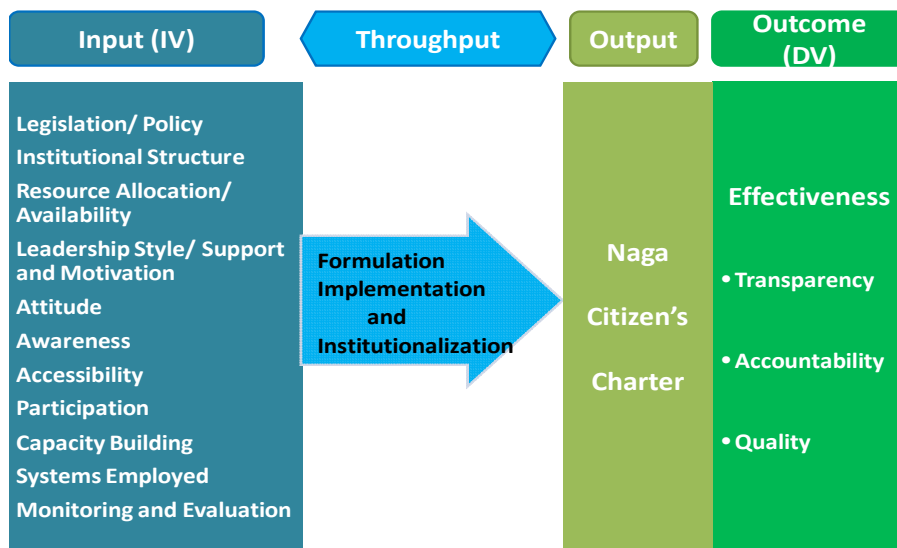
## **2.6 Theoretical Background and Analytical Framework**

Exploratory as it is, the findings of the research is analyzed within the ambit of New Public Management and Good Urban Governance principles (Figure 1). Both theoretical anchors are expressive of the intents and practices as well as the substance and form of citizen’s charter. The NPM principles of market and citizen’s orientation, performance management and results focus, as well as quality management are all depicting approaches in citizen’s charter formulation and implementation. The outcome of the institutionalization process of citizen’s charter is explained using the elements espoused by Good Governance primarily transparency, accountability, participation, efficiency and effectiveness. Having these as backgrounder Figure 2 illustrates a framework just how exactly the research would be analyzed. Input variables therein enumerated from legislation/policy existence to functional monitoring and evaluations were culled from empirical cases with a few additions from the researcher himself. These input variables contribute to the different processes associated with the development of citizen’s charter which are then hypothesized to result into a transparent, accountable and quality service delivery. Below are the succeeding illustrations showing all the factors or variables put together that this research explored.

**Figure 2: The Study's Theoretical Background**



**Figure 3: The Study's Analytical Framework**



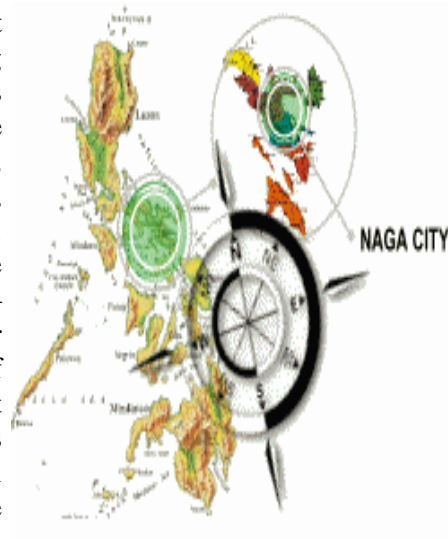


## Chapter 3: Research Methodology

### 3.1 Research Area

The research is undertaken in the landlocked City of Naga located in the province of Camarines Sur in the Bicol Region. Bicol is the fifth region in the Philippines. Naga City is an independent component city. It is one of the fastest growing cities in the Bicol region which is 377 kilometers away from Manila, the country's capital. In spite of being a small size densely populated urban city, Naga is the commercial, financial, educational, religious and cultural center of the Bicol region. Residents of the city are called Nagueños. At the helm of leadership is a locally elected Mayor – Jesse M. Robredo, seconded by his Vice Mayor Gabriel Bordado Jr.. Naga City is at the core of Metro Naga comprising of 14 adjacent municipalities. The city occupies 8,448 hectares and comprises 27 barangays (villages) with a total population of 157,087 (as of 2008). These barangays include Abella, Bagumbayan Norte, Bagumbayan Sur, Balatas, Calauag, Cararayan, Carolina, Concepcion Grande, Concepcion Pequeña, Dayangdang, Del Rosario, Dinaga, Igualdad, Lerma, Liboton, Mabolo, Pacol, Panicuason, Peñafrancia, Sabang, San Isidro, San Felipe, San Francisco, Sta. Cruz, Tabuco, Tinago and Triangulo.

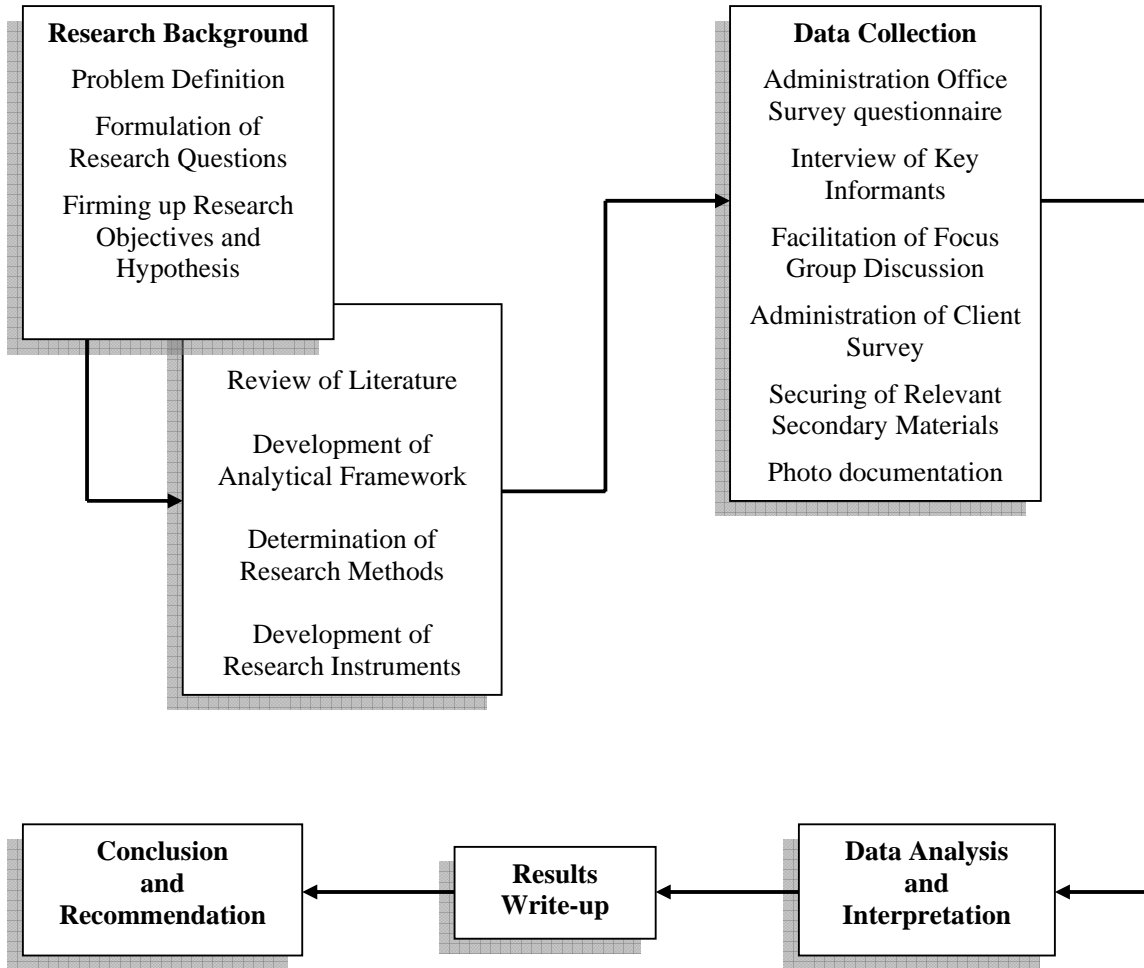
Figure 4: Map of the Philippines showing Naga City



### 3.2 Research Framework

This research was undertaken in five main stages illustrated below (Figure 5). During the proposal preparation, the research objectives and initial hypothesis were formulated as a result of preliminary literature review and consultation with thesis supervisor. The development of analytical/conceptual framework followed together with the formulation of appropriate research instruments. The primary and secondary data collection was undertaken during the specified field work. Data collected from field work were consolidated, analyzed and interpreted. Results were thoroughly analyzed and written following the thesis content outline. And finally research conclusions were drawn as well as recommendations for the city government service improvement.

**Figure 5: Research Framework**



### 3.3 Research Design

This research looks into the features, characteristics, approaches in formulation, implementation and institutionalization of citizen’s charter of a city government in the Philippines and its relationship with the intended or unintended outcomes. This necessitated a holistic *case study strategy* that employed various data collection techniques described below to generate as much information, insights, perception about the formulation and implementation of citizen’s charter. The research aims to *explore* the pioneering initiative of a local government to introduce local governance reforms in the area of service delivery.

**Table 2: Research Dimensions and Applications**

Dimensions	Application	Details
Research Type	Exploratory	Largely describing the phenomenon and exploring the possible relationship of variables or factors associated
Research Strategy	Case Study	Embedded Single Case With multiple units of analysis
Kind of Data Analysis	Qualitative Analysis	Obtaining in-depth data on perception, attitude and behaviors
Unit of analysis	City of Naga	Multiple units: <ul style="list-style-type: none"> <li>▪ For the Client Survey: office clients</li> <li>▪ For the Office Survey: office implementers</li> <li>▪ For the Key Informant Interview: key personalities</li> <li>▪ For the Focus Group Discussion: key personalities</li> </ul>

**Data Collection Techniques and Research Respondents**

Bearing in mind the exploratory intent of this study, the research is primarily qualitative in nature. The field work was done from July 1 to 30, 2009. A pre-testing of research

**Figure 6: Map of Camarines Sur showing Naga City**



instruments with clients and staff was undertaken in the initially proposed research locale, a city in Metro Manila. Upon interview with the City Citizen’s Charter Deputy Team Leader, the researcher decided to move to Naga City upon learning that the initially proposed city has benchmarked its citizen’s charter formulation with the City of Naga in Bicol Region. Henceforth, an introductory letter was faxed to the Office of the Naga City Mayor stating the request for data collection in the city. Also sent was the introduction letter from the IHS, EUR certifying the field work and need for thesis data collection. Coordination with Office of the Mayor and follow up ensued. A briefing meeting with research associates was done to familiarize them with the research objective and the research instruments that were consequently administered. Primary data collection was undertaken using four methods described below.

- 1. Interview with Key Informants and Focus Group Discussion.** Interviewees included the following: the City Mayor; the Planning and Development Coordinator; the Human Resource Management and Development Officer; the Information Officer/Chief Naga City Visitors Center; the Local Civil Registrar; the Division Chief, Business Permit and Licenses – City Treasurers Office; the Citizen’s Charter Manager/ Executive Director, Naga City Investment Board; the

Chairperson, Naga City People's Council (NCPC); and the President, Metro Naga Chamber of Commerce and Industry (MNCCI). The interviews were done inside their respective offices and outside the city hall premises. Interview Guides were prepared and customized for each respondent (please see Annexes A, B, C). An FGD was facilitated with three of these informants. These methods were undertaken to generate deeper insights and details not otherwise available in other methods.

2. **Office Survey.** Two frontline offices were selected on the basis of the following criteria: degree of public interface; level of public demand; and magnitude of impact. Basing on these criteria, the 12 staff from Local Civil Registry (LCR) and the Business Permit and 18 staff from Licensing Division (BPLD) were included as respondents of office survey. The whole office staff except the office heads became the complete respondents of Office Survey Questionnaire (please see Annex D). The office survey was undertaken to gather insights, attitudes and behaviours of staff toward their work and functions.
3. **Client Survey.** To complement the office survey and informant's interview methods, a client survey was administered to these very same offices - Local Civil Registry (LCR) and the Business Permit and Licensing Division (BPLD). Fifty (50) respondents from BPLD and another fifty (50) respondents from LCR were included in this research. The client survey (please see Annex E) primarily intended to generate the perception of clients on city government services.
4. **Observation.** Unobtrusively, observation was employed to generate insights on processes and systems used by the city government. Care was ensured during the first week of data gathering so that both the frontliners and clients would not know they are being observed to avoid action bias. The courtesy call with Office of the Mayor coincided the date of actual interview with the local chief executive. Thereafter, courtesies and appointments were made with key informants.

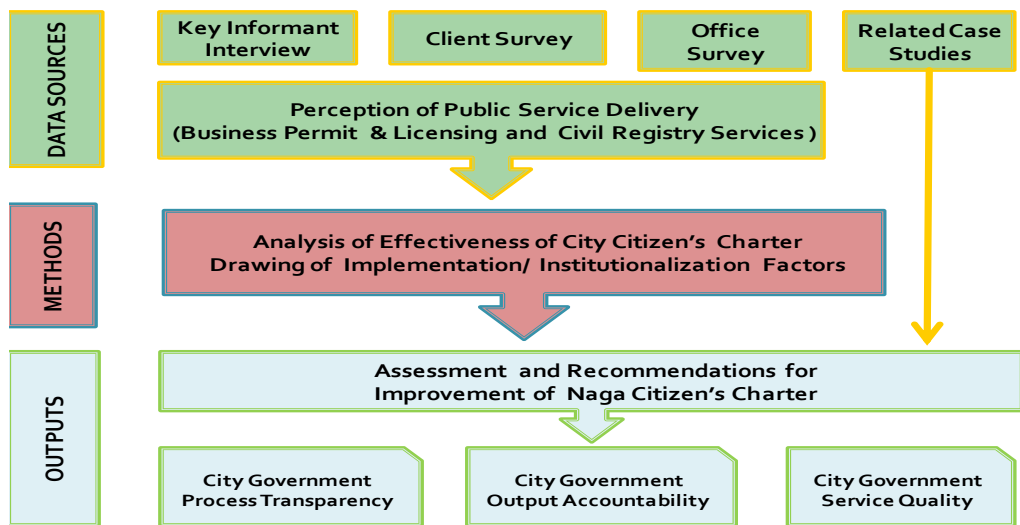
As to secondary data collection, **Document Review/Study** was done to review the present edition of the Naga City Citizen's Charter, the State of the City Address (SOCA), and other literatures on citizen's charter primarily that of Indonesia and India, and other related documents. The Naga City official website was frequently visited to verify information gathered during the fieldwork, especially those mentioned by key informants.

**Table 3: Matrix of Research Objectives and the Data Gathering Techniques**

Research Objectives	Primary data gathering techniques and instruments					Secondary
	Key Informant Interview (KII)	Client Survey (CS)	Focus Group Discussion (FGD)	Office Survey (OS)	Observation	Document Review (DR)
<b>Obj. 1:</b> Investigate the strategies or approaches in the implementation and institutionalization of citizen’s charter.	✓		✓	✓		✓
<b>Obj 2:</b> Examine how open and accessible are the information and standards set in the citizen’s charter.	✓	✓	✓	✓		✓
<b>Obj 3:</b> Analyze the sufficiency of accountability mechanisms and management approaches set in the citizen’s charter	✓	✓	✓	✓		✓
<b>Obj 4:</b> Assess the level of quality of services rendered by the city government.	✓	✓	✓	✓	✓	✓

The above matrix indicates the techniques and instruments that were used per research objective. Objective four made use of all primary and secondary techniques in this research. The data generated from these data gathering methods have been cross validated to check consistency and validity of responses.

**Figure 7: The Case Study’s Framework**



Given the premises and assumptions discussed, above is the illustrative framework of the Case Study approach which guided the researcher in this study. A case study is an empirical investigation of a particular phenomenon in real life context (Van Dijk 2006). It details the sources of data that generated the perception of city hall clients, the city government frontliners, and selected key informants on the city public services more specifically the local civil registry and business permit and licensing services per declaration in the Naga City Citizen’s Charter. Perception on effectiveness of the program was analyzed along three extrinsic variables – transparency, accountability and quality of services. Alongside, factors and insights were drawn to form part of the assessment and recommendations for the city’s service delivery improvements.

### 3.4 Operational Definitions, Research Variables and Indicators

Below is a table defining and operationalizing the major terms used in this research.

**Table 4: Terms Definition and Operationalization**

<b>Term</b>	<b>Definition</b>	<b>Operationalization</b>
<b>Transparency</b>	<p>as building on free flow information, where processes, institutions and information are directly accessible to those concerned with them (TUGI-UNDP).</p> <p>“sharing information, and acting in an open manner. It allows stakeholders to gather information that may be critical to uncovering abuses and defending their interests. Transparent systems have clear procedures for public decision making and open channels of communication between stakeholders and officials” (UNDP)</p>	<p>Providing clear information (standards, contacts, names, fees &amp; charges, etc.) that allows clients to make an informed choice on how to transact with the city government.</p>
<b>Accountability</b>	<p>as answerability of decision makers in government, the private sector and civil society organizations to the public or institutional stakeholders (TUGI-UNDP).</p> <p>“requirement that officials answer to stakeholders on the disposal of their power and duties, act on criticisms or requirements made of them and accept responsibility in case of failure, incompetence. Accountability involves adhering to a set of established criteria and using these to measure the performance of officials and estimate economic and financial outputs. It requires the following pre-requisites: freedom of information, stakeholders who are able to organize; and rule of law (UNDP)”</p>	<p>Providing mechanisms such as feedback, complaints, redress etc. that allow citizens’ to submit feedback, make comments and demand for action, correction, and redress.</p>

Term	Definition	Operationalization
<b>Quality</b>	<ul style="list-style-type: none"> <li>• Characteristics that are important to customers – Deming</li> <li>• Fitness for use – JM Juran</li> <li>• The total composite product and service characteristics of marketing, engineering, manufacturing, and maintenance through which the product and service in use will meet the expectations of the customer - A. V. Feigenbaum</li> <li>• Quality is conformance to requirements - P. Crosby</li> <li>• Quality is the totality of features and characteristics of a product or service that bear on its ability to satisfy stated or implied needs - ISO</li> </ul>	Striving to meet the important requirements and satisfaction (expectations) of clients laid out in the citizen’s charter that allows citizens to enjoy the products and services
<b>Effectiveness and efficiency</b>	as processes and institutions producing results that meet needs while making the best use of resources (TUGI-UNDP).	Accomplishing target outputs and results within the allotted means.

Below are the details of the indicators and the propositions casted per research objective, both for input and outcome variables.

**Table 5: Matrix of Input Variables, Indicators, Propositions and Sources of Data**

Research Objective	Phase of Citizen’s Charter	Independent Variables (Input)	Initial Propositions/ Hypothesis	Indicators	Sources of Data
<b>Obj. 1</b> Investigate the strategies or approaches in the implementation and institutionalization of citizen’s charter.	Formulation of the Citizen’s Charter	Institutional Structure	Creation of committee/task force or any ad hoc body facilitates activities related to formulation	<ul style="list-style-type: none"> <li>▪ Creation of committee/ task force/ ad hoc body</li> </ul>	KII/FGD-City Officials Document Review
		Legislation/Policy	Presence of legislation/policy jumpstarts formulation of CC	<ul style="list-style-type: none"> <li>▪ Release of city ordinance/</li> <li>▪ Issuance of executive order/special order</li> </ul>	KII/FGD-City Officials Document Review
		Top Leadership Support and Motivation	Pronouncements and presence in activities enhances the motivation of task force and staff	<ul style="list-style-type: none"> <li>▪ Verbal or written pronouncement</li> <li>▪ Presence in CC related activities</li> </ul>	KII/FGD-City Officials Document Review

		Resource Allocation	Allocation of resources signifies that LGU is serious about the initiative	<ul style="list-style-type: none"> <li>Provision of financial resources (project budget)</li> </ul>	KII/FGD-City Officials Document Review
		Participation	Involvement of citizens increases ownership/acceptance of the process and the output arising from it	<ul style="list-style-type: none"> <li>Role played</li> </ul>	Client's Survey KII-Business/People's Association Document Review
Implementation of the citizen's charter	Awareness of the frontline staff	Frontline staff's knowledge of CC in general and the office standards in particular indicates first level accountability.	<ul style="list-style-type: none"> <li>Knowledge of the CC in general and the office service standards in particular</li> </ul>	Office Survey Document Review KII/FGD-City Officials	
	Attitude of frontline staff	<p>Motivation of frontline staff affects the quality of services rendered.</p> <p>The enthusiasm of the office affects the quality of the services rendered.</p>	<ul style="list-style-type: none"> <li>Motivation of frontline staff</li> <li>Enthusiasm of Office</li> </ul>	Office Survey Document Review KII/FGD-City Officials	
	Capacity building	The adequacy of the capacity building positively affects the delivery of services.	<ul style="list-style-type: none"> <li>Number of orientations/training/seminars attended</li> </ul>	Office Survey Document Review KII/FGD-City Officials	
	Systems employed	The imposition of administrative punishments and granting of awards reinforce quality service delivery.	<ul style="list-style-type: none"> <li>Number of rewards given</li> <li>Number of punishments imposed</li> </ul>	Office Survey Document Review KII/FGD-City Officials	
	Accessibility and Awareness	The greater the variety of information mechanisms the higher the level of awareness of public.	<ul style="list-style-type: none"> <li>Means of information accessed</li> </ul>	Office Survey Document Review KII/FGD-City Officials	
	Top Leadership Style	Output/performance orientation of the top leadership	<ul style="list-style-type: none"> <li>Style of leadership (output</li> </ul>	Office Survey Document Review	



			reinforces accountable, transparent and quality delivery of services.	oriented, performance, participative, etc)	KII/FGD-City Officials
		Resource availability	Resource availability induces complete and accurate services.	<ul style="list-style-type: none"> <li>▪ Access to available resource</li> </ul>	Office Survey Document Review KII/FGD-City Officials
	Institutionalization of Citizen's Charter	Management Approaches	The presence of monitoring and evaluation mechanism strengthens city government accountability.	<ul style="list-style-type: none"> <li>▪ Monitoring and Evaluation Mechanisms (tools/instruments; regularity of conduct; reporting of results)</li> </ul>	KII/FGD-City Officials Document Review
		Legislation/ Policy	The presence of signed legislation signals sustainability of program	<ul style="list-style-type: none"> <li>▪ Signed ordinance or law</li> </ul>	KII/FGD-City Officials Document Review

**Table 6: Matrix of Outcome Variables, Propositions, Indicators and Sources of Data**

Overall Research Objective	Dependent Variables (OUTCOME)	Initial Propositions/ Hypothesis	Indicators	Sources of Data
<b>Obj 2:</b> Examine how open and accessible are the information and standards set in the citizen's charter.	<b>Transparency</b>	The openness and accessibility of information and standards allows awareness of the public on citizen's charter to flourish.	<ul style="list-style-type: none"> <li>▪ Clarity of requirements</li> </ul>	Client Survey Office Survey KII/FGD-City Officials KII-Business/People's Association Document Review Observation
			<ul style="list-style-type: none"> <li>▪ Posting of procedures</li> </ul>	Client Survey Office Survey KII/FGD-City Officials KII-Business/People's Association Document Review Observation
			<ul style="list-style-type: none"> <li>▪ Display/specification of fees and charges</li> </ul>	Client Survey Office Survey KII/FGD-City

				Officials KII- Business/People's Association Document Review Observation
<b>Obj 3:</b> Analyze the accountability mechanisms established in the citizen's charter	<b>Accountability</b>	The presence of functional feedback, complaints and redress mechanisms reinforce institutionalization of the citizen's charter.	▪ Display of names of frontline/officers	Client Survey Office Survey KII/FGD-City Officials KII- Business/People's Association Document Review Observation
			▪ Presence of functional feedback and complaint mechanisms	Client Survey Office Survey KII-/FGD City Officials KII- Business/People's Association Document Review
			▪ Presence of functional redress mechanism	Client Survey Office Survey KII/FGD-City Officials KII- Business/People's Association Document Review
<b>Obj 4:</b> Assess the level of quality of services rendered by the city government.	<b>Quality</b>	Perceived quality of public services affects the satisfaction/approval rating of the public.	▪ Accessibility of service	Client Survey Office Survey KII/FGD-City Officials KII- Business/People's Association Document Review Observation
			▪ Accuracy of service	Client Survey Office Survey KII/FGD-City Officials KII- Business/People's Association Document Review Observation

			<ul style="list-style-type: none"> <li>▪ Pleasantness of staff</li> </ul>	Client Survey Office Survey KII/FGD-City Officials KII- Business/People's Association Document Review Observation
			<ul style="list-style-type: none"> <li>▪ Comfortability of office/transaction area</li> </ul>	Client Survey Office Survey KII/FGD-City Officials KII- Business/People's Association Document Review Observation
			<ul style="list-style-type: none"> <li>▪ Equality of treatment</li> </ul>	Client Survey Office Survey KII/FGD-City Officials KII- Business/People's Association Document Review Observation
			<ul style="list-style-type: none"> <li>▪ Timeliness</li> </ul>	Client Survey Office Survey KII/FGD-City Officials KII- Business/People's Association Document Review Observation

### 3.5 Validity and Reliability

A detailed field work plan and schedule was devised prior to going into the research area. Largely considering the overall research timeframe and limitations, the field work plan/schedule enumerated or specified the steps, activities, outputs and responsible persons and timeframe. Given change in research locale, the time targets have been adjusted.

Similarly, prior to fieldwork, and in consultation with the Thesis Supervisor, the variables and the relationships between and among them were firmly established before reproduction of data gathering instruments. Results of pre-test was incorporated in the final survey questionnaires and interview guides.

The Client and Office Survey Questionnaires were pre-coded; numbered; and packaged well for Research Assistants and the hired Field Enumerator (FE). A pre-testing was conducted with clients, and the client survey questionnaire was translated in Tagalog, a local dialect. A necessary Research Assistant and Field Enumerator briefing and meeting were facilitated by the Researcher before deploying them for field work. The Researcher was the one who personally interviewed all interviewees. The research associates helped assist during Focus Group Discussion (FGD) and client interviews.

Similarly, the KII Guide Question was pre-tested for comprehension and this was done by having a colleague participate in a simulated question and answer activity wherein ambiguities were noted down and necessary improvements were made. After interview with the CC Deputy Team Leader in the earlier proposed locality, final adjustments to interview guide questions were done.

On validity, careful scrutiny was done to ensure that the study measures the variables that it intends to evaluate and ambiguities are checked. A matrix was developed to ensure the one to one correspondence of objective, variables and indicators. They are matched in every instrument developed hence a triangulation of results can be expected from Client Survey, Office Survey, KII and documents review.

### **3.6 Limitations of the Research**

The intention of the research strategy is to cover as much elements or factors as it could in the formulation, implementation and institutionalization of the citizen's charter in the city. It desires to pinpoint the areas where the effect or influence of charter may have been very or less significant. It is however restrained by some inherent factors such as time and resource limitations. As such the study was not able to cover the entire departments/offices of the city and samples of clients in each of the departments but nonetheless covered two representative offices and their respective clients based on criteria earlier mentioned. This provided valuable insights and perceptions on the variables this research looked at. The research was also qualitative in nature and gave a discussion of relevant factors found in desk review and during field work. It did not endeavour to proceed to a more quantitative analysis which may be an agenda for succeeding research work on citizen's charter implementation at city level ascertaining for example the level of satisfaction of citizens on all or selected city government services or products.

### **3.7 Research Timeframe**

The research has been conducted for four months starting June 2009 which saw the preparations and finalization of design and development of research instruments. The month of July was allotted for data gathering and collection (field work in Naga City), data tabulation and initial consolidation. The succeeding months of August and

September proceeded for the data analysis, data write-up, research findings presentation, refinements, defence and thesis report submission.

### **3.8 Resource Requirements**

Based on the research design and the demand of identified data gathering techniques, the research undertaking required the following major expenses: hiring of research associates; field enumerator; field work paraphernalia and supplies; accommodation, transportation; communication; meetings and miscellanea.

## Chapter 4: Research Results and Analysis

This section of the report analyzes the findings of the primary and secondary data collection. The first part will relate the findings of the desk review and the second part will reveal the findings of the field work. The presentation and discussion follow the flow of research questions discussed in Chapter One. This chapter primarily intends to build up evidences that would point to or refute the extent of influence of citizen's charter in improving or enhancing transparency, accountability and quality of service delivery in Naga City.

### 4.1 Desk Review Findings

The review of Naga City Citizen's Charter document necessitated the formulation of certain criteria so that the initiative would be evaluated based on applicable and objective parameters. The researcher finds it difficult to assess a pioneering effort of a city without setting some measures that are appropriate for academic purposes yet yielding practical considerations. Here is where the minimum parameters set by the Anti-Red Tape Act (ARTA) of 2007 are used. In addition, this review also adopted the criteria developed by Public Affairs Center (PAC) in 2005 particularly *grievance redress mechanism and citizen friendly criteria* in evaluating a charter. PAC has done an evaluation of the State of Karnataka's Citizen's Charters to ascertain whether charters live up to their intended objectives of informing citizens about the standards of service provided by a department. These two sets of criteria are discussed in detail below.

At the **minimum**, the Implementing Rules and Regulations (IRR) of the ARTA 2007 requires the following information from frontline service providing offices in government agencies including local governments, government owned and controlled corporations, departments, bureaus:

- 1) Vision and mission of the government office or agency;
- 2) Identification of the frontline services offered and the clientele;
- 3) The step by step procedure to obtain a particular service;
- 4) The officer or employee, responsible for each step;
- 5) The maximum time to conclude the process;
- 6) Documents to be presented by the client, with clear indication of the relevancy of said document/s;
- 7) The amount of fees if necessary;
- 8) The procedure for filing complaints in relation to requests and applications, including the names and contact details of officials/channels to approach for redress;
- 9) Allowable period for extension due to unusual circumstances, i.e. unusual events beyond the control of concerned government office or agency; and
- 10) Feedback mechanisms, contact numbers to call and persons to approach for recommendations, inquiries, suggestions, as well as complaints.

In addition, the IRR requires that the citizen's charter be in the form of billboards and in the form of published materials written in English, Filipino, or in local dialect.

On the other hand, the PAC developed assessment criteria on **grievance redress mechanism** requires the charter should contain the following information:

- 1) When (i.e. under what circumstances) to complain;
- 2) Where to lodge complaint (name and address of office);
- 3) Designation of Nodal Officer (grievances);
- 4) How to complain (format of complaint);
- 5) Time limit for response;
- 6) Assurance of action taken provided to complainant; and
- 7) Acknowledgment given.

The ‘**citizen friendly criteria**’ developed by the PAC indicates the following as information that should be included in the citizen’s charter:

- 1) A compensation clause
- 2) A provision for consultation with users to gauge their satisfaction;
- 3) A provision for updating the charter;
- 4) A commitment of staff courtesy and helpfulness towards citizens;
- 5) Description of the role/ obligation of citizens
- 6) Periodic review to ensure proper implementation of charter;
- 7) Year of publication;
- 8) Information on where copies of the charter are available;
- 9) Availability in multiple languages – is the charter available in just the local language or English or both?
- 10) Simplicity of language – is the language simple?
- 11) Length of the charter – is the document too long?

The Naga Citizen’s Charter Guidebook on City Government Services is now on its third edition. The latest release is the January of 2009 edition. It contains 140 city government services (10 services more from last edition) for various clients and customers. The 150 page document is divided into five main parts: Part 1 – About Citizen’s Charter (Introduction, The I-Governance Program, How to Use this Guidebook); Part 2 – Maps and Vision Statement (Map of the Naga City Government Complex, Vision and Mission Statement); Part 3 – Growth Oriented Services; Part 4 – Equity Enhancing Services; Part 5 – Performances Pledges of City Government Departments and Offices; Part 6 – Service Campaigns and Awards (international, national, regional and individual) ; and Part 7- Directory, Governance Ordinance and Feedback Forms.

The following discusses the key finding using the above discussed criteria.

#### **4.1.1 Minimum Requirements Criteria**

Whether the charter contains information on:

a) Vision and mission	✓
b) Identification of the frontline services offered and the clientele	✓
c) The step by step procedure	✓
d) The officer or employee, responsible for each step	✓
e) The maximum time to conclude the process (per step, and the total	✓

transaction time)	
f) Documents to be presented by the client, with clear indication of the relevancy of said document/s	✓
g) The amount of fees if necessary	✓
h) The procedure for filing complaints in relation to requests and applications, including the names and contact details of officials/channels to approach for redress	✓
i) Allowable period for extension due to unusual circumstances, i.e. unusual events beyond the control of concerned government office or agency	X
j) Feedback mechanisms, contact numbers to call and persons to approach for recommendations, inquiries, suggestions, as well as complaints.	✓
<b>Total</b>	<b>9/10</b>

The above table shows that almost all of the criteria set by the national mandate are met except for information that conveys a ‘disclaimer’ type of notice to the public for circumstances beyond the city government control. This situation is also mentioned by a respondent who said, “*except during typhoons, I would be able to meet the standards we have set in our office*”.

**Box 2: What the Mayor Says About the Charter: “it’s a way of engaging”**

*“It’s a way of engaging, meaning the charter is a document by which we would be made to answer, for the things we do here in City Hall, in terms of standards (response time, availability..). But that is not the ultimate goal. The ultimate goal is to have a medium by which you would be able to engage, so that that we can build a system ... a feedback/ communication mechanism. That these are the things we can do, what do you think about it? It’s not just measuring ourselves. It’s more than a performance measurement related tool, and more than measuring our performance and our efficiency. It’s a way of communicating. It’s the main principle of the charter. That the processes are made clear to everyone. If the system is very transparent, then the people will know where the hitches are. They can say: you can improve here and there, etc.. Meaning people are included in our improvement system. Instead of us dictating our standards (this is how we do it). We tell them (the clients) let’s discuss how. Probably there is better way. It’s not a process driven, supplier driven arrangement, we want it to be client-driven. In terms of getting feedback, in terms of taking to task if we don’t meet the standards, in terms of continually improving the system”.*

*-- Mayor Jesse M. Robredo  
Naga City*

**4.1.2 Grievance Redress Mechanism Criteria**

Whether the charter contains information on:

1) When (i.e. under what circumstances) to complain	✓
2) Where to lodge complaint (name and address of office)	✓
3) Designation of Nodal Officer (grievances)	✓



4) How to complain (format of complaint)	✓
5) Time limit for response	✓
6) Assurance of action taken provided to complainant	✓
7) Acknowledgment given	✓
<b>Total</b>	<b>7/7</b>

One important element of a ‘good’ citizen’s charter is a functional grievance redress mechanism. This pertains to the system by which the organization seriously responds to complaints lodge in their office. The satisfaction of the customer is not fully attained by accomplishing the procedures set in the complaint mechanism; the action of the organization on the submitted complaint is what the clients are after for. Remedies for inaction, sub-quality service, delay or whatever is important to clients as this affects the trust and confidence of the public towards the city government in general and the civil servants in particular.

The charter indicates four specific grievance related complaints with corresponding steps and procedures how to avail it. These specific cases include: Complaints against violations of trimobile drivers and operators; Complaints against illegal vending; Building-related Complaints; and Sanitation-related Complaints. All of which indicates the time of response and the point person to approach. All other types of complaints (city government operations related) are entertained through email and text messaging. As to email, the complainant may send directly to concern office/department and would have to copy furnish the City Mayor and the I-Governance Team (using the email address therein indicated) for monitoring purposes. A reply will be made within 24 hours from receipt of email. And then the Mayor calls the attention of the office concerned; and coordinates efforts to address the complaint.

As to complaints/suggestions sent through text messages, the complainant may text to 0917 TXTNAGA or 0917-89866242 and the message will be routed to the city government’s dedicated SMS server. A pre-composed message will be received via text to acknowledge receipt of complaint. Threads of received messages, as well as office replies are kept to monitor whether action on complaints had already been taken. Again, action and/or reply will be made within 24 hours upon receipt of message.

### 4.1.3 Citizen Friendly Criteria

Whether the charter contains information on:

1) A compensation clause	X
2) A provision for consultation with users to gauge their satisfaction	X
3) A provision for updating the charter	✓
4) A commitment of staff courtesy and helpfulness towards citizens	✓

5) Description of the role/ obligation of citizens	X
6) Periodic review to ensure proper implementation of charter	✓
7) Year of publication	✓
8) Information on where copies of the charter are available	X
9) Availability in multiple languages	X
10) Simplicity of language	✓
11) Length of the charter	✓
<b>Total</b>	<b>6/11</b>

The table above shows the areas where the Naga Citizen’s Charter may have been lacking. One is the *provision for compensation*. This concept pertains to the practice in the UK and India where payment for promise serviced not delivered in time is accorded to client. This financial approach to redress is something not mentioned in the Naga City Citizen’s Charter. Though validation confirms (during field work that non-financial redress approach is being practised in the city). There is question on whom should the payment come from – the staff remised of duty or from the concerned office. And if from office, which budget item in the office should it be charged. This concept is undoubtedly new if not unknown practise in the country where in fact the services being rendered are income generating sources of revenue for local governments. The *provision for consultation with users to gauge their satisfaction* is also not mentioned in the charter document per se. But in practise as mentioned by interviewees, the Naga City Peoples Council (NCPC) as an organized umbrella of all sectoral groups in the city are always consulted not only on the contents and updates of the charter but on the whole governance strategy and programs of the city.

There is also no highlighting of *the role/ obligation of citizens* in the charter. While it contains information on what clients need to have or secure before transacting with specified windows as far as requirements to avail the services are concerned, there is no mention of the equal responsibility of the citizens to make the charter as a contract work. While the Mayor also exhorts the cooperation of the citizens to continuously build a more effective, efficient and responsive city hall for them, the charter does not indicate the specific actions a responsible Nagueno should exemplify. The charter does not indicate *information on where hard copies of the charter are available*. Although in reality, the digital version of the charter (NetServe) is available at [www.naga.gov.ph](http://www.naga.gov.ph) wherever and whenever there is access to internet and the performance pledge is posted in almost all offices. At present the latest edition has published a limited number of copies because of some financial constraints. And lastly, the charter is not yet *available in multiple languages*. At the very least, it is published in English and the attempt to translate it in the local dialect has not been very fruitful.

**Box 2: What the Naga City Chamber of Commerce Thinks about Citizen’s Charter: “it’s like a contract of the government and the constituents”**

*“It is a living testimony of how empowered the residents is by having a document that gives rights to citizens to demand certain standards of services. More than efficiency and effectiveness, it is like a contract of the government and the constituents which grants the right to expect standards in basic city services.”*

*-- Mr. Alberto Bercasio  
President, Metro Naga Chamber of Commerce and Industry*

## **4.2 Field Work Findings**

The field investigation was done at the city level and this basically was carried out using Office Survey (LCR and BPLD) to determine the knowledge and perceptions of staff on citizen’s charter formulation and implementation while the Client Survey was made to complement perception of the same from the customer’s perspective. The Business Permit and Licensing Division performs the permit and license processing, inspection, tax collection functions related to business establishments within the city. The Local Civil Registry on the other hand, maintains and updates records of births, deaths, marriages and status of persons in the city. The key informant interview and focus group discussion with the office chiefs and I-Governance Program Team Leader, the Mayor and selected stakeholders were undertaken to draw a deeper understanding of the city’s intentions and experiences including personal insights on city charter implementation. Succeeding are salient findings presented along the main research questions and the variables that come with it.

### **4.2.1 Strategies and Approaches Employed in Formulating Implementing and Institutionalizing the Citizen’s Charter**

#### **4.2.1.1 Formulation of the Citizen’s Charter**

This section explores the factors and circumstances that led to the formulation of the citizen’s charter of the city. These factors include: institutional structure; legislation/policy; top leadership support/motivation; and resource allocation. There is also a discussion on the challenges and obstacles encountered and the facilitating factors.

The Naga City Citizen’s Charter has its long roots from three important public service reform programs - the Productivity Improvement Program (PIP); the Quality Service Improvement Program (QSIP) and the Public Service Excellence Program (QSEP). The PIP sought to employ private sector productivity strategies in a local government, the QSIP intended to enhance service quality delivery in selected city departments and the QSEP aimed to expand quality service consciousness throughout local bureaucracy.

#### 4.2.1.1.1 Institutional Structure

At the time that the Mayor re-assumed the post as the local chief executive and envisioned the launching of the charter as part of I-Governance Program he constituted the *I-Governance Team* composed of Mr. Reuel Oliver (Electronic Data Processing Chief/Team Leader); Mr. Willie Prilles (City Planning Development Coordinator); Ms. Teresita Zapata (Human Resource Management Officer); Mr. Gil dela Torre (Secretary, City Legislative Council); and Mr. Jose Perez (Visitor Center Chief). The composition was not based on sectoral services but on who will give/facilitate the content. Conversely, the *I-Governance Expanded Team* is composed of all department heads and office chiefs who are the content and service process owners. The I-Governance Team was tasked to coordinate and fast track the finalization and publication of the charter (including updating of the Performance Pledge which is an equally important component of the charter) in time for its launching on the City's Charter Day in December 2001. The creation of this ad hoc group facilitated the important activities of the citizen's charter.

#### **Box 3: What an Office Head Says About How the Standards Came About and the Processes They Through: "all about the desire for service delivery improvement."**

*"ARTA 2007 says there should be service standards. If we are asked how we came up with it, we say, we are lucky. We didn't start from scratch. We started in 1990s. It started with Productivity Improvement Program (PIP). The concept is systems change and people change. Where would the push come from? The best push is from the people more than the mayor. So there came the Citizen's Charter, a transparency tool to see how the services are delivered. Also an equity building tool since services should be known and delivered to all constituents regardless of status. And also a customer feedback tool, since we say these are the services and so they ask where they are. This is all about service delivery improvement."*

*- Mr. Reuel Oliver  
Executive Director, Naga City Investment Board, and Chief, Electronic Data Processing Unit*

#### 4.2.1.1.2 Legislation/Policy

As to formulation of the charter there was no formal executive order issued by the Mayor but the marching order for I-Governance Team came during Management Committee (ManCom) Meetings chaired by the local chief executive. It is during this time that all department heads and office chiefs/ heads sit together in one table and discuss city government affairs, programs and projects. As to the latest edition of the citizen's charter, the HRMO was this time tasked to spearhead the fast tracking of Naga City Citizen's Charter Third Edition. One interviewee mentioned that as a group, the I-Governance Team is expected to provide content, update tools, and find other means to further promote transparency. Implicitly, the team is mandated to spread the idea of the charter and establish mechanisms of transparency between the government and the people.

Related to the citizen's charter are two legislative issuances which make the citizen's charter a legitimate program of the city government. The presence of these ordinances triggered the conscious and continuous implementation of the citizen's charter. One is Ordinance No. 97-002 or the "Naga City Productivity Improvement Program" authored by Hon. Gabriel Bordado that institutionalizes the Naga City Productivity Improvement

Program. The activities under the program aim to “transform city government employees into genuine public servants driven not by rules and regulations but by vision and mission”. Specifically, to set response time in the delivery of services to its barest minimum; to pursue specific projects and activities aimed at inducing and sustaining peak productivity levels in all departments/offices; to encourage employees to come up with viable ideas and suggestions to further improve productivity; to constantly upgrade the skills and competence of employees through the regular conduct of seminars, workshops, trainings and similar activities; to institutionalize a cost reduction system; and to set up a feedback mechanism for the public.

Then the second is the “I-Governance Ordinance of Naga City” or Ordinance No. 2002-063 authored by Hon. Mila SD Raquid-Arroyo and Hon Gabriel H. Bordado Jr. which is the ordinance that strengthens people participation in local governance by establishing mechanism of transparency through institutionalization of the I-Governance Program of Naga City. The ordinance institutionalizes the setting up of citizen’s charter as document indicating the standards of city government delivery and its digital version posted in the Naga City official website. According to one interviewee the spirit of the ordinance is *“Inclusive Governance, getting individual citizens to involve itself in local governance; Interactive Engagement in dialogues between authorities and the people; Information Openness which empowers citizens; and Innovative Management, committing to sustained creativity and innovation. I-Governance means getting push from the outside.”*

#### **4.2.1.1.3 Top Leadership Support and Motivation**

The Mayor has always been very supportive of city undertakings. During Management Committee (ManCom) Meetings he always asks for updates and developments from I-Governance Team especially the Team Leader or assigned person. The Mayor makes it a point to be at important Citizen’s Charter activities such as in one activity of the last module of PSEP where the Mayor responded appropriately in the discussion on Service Improvement Recommendation. He was one of the reactors who participated very well in the activity. He also represents the city during dialogues and talks with stakeholders. The I-Governance Team takes motivation and to a certain extent gets fulfillment from the awards the city receives from external organizations/institutions who took notice of the innovations and programs they developed and implemented. One interviewee remarked *“our motivation was not monetary in nature. We take pride at the feelings level, that we are part of what can be said as successful and awarded program like the Citizen’s Charter”*. The physical presence of and the verbal support and monitoring from the Chief Executive the I-Governance Team received enhanced their motivation and drive to work for the citizen’s charter program.

#### **4.2.1.1.4 Resource Allocation**

There is an I-Governance Program Fund. One million pesos a year was being allotted for the cost of charter production, updating of computer hardwares, and installation of wireless internet infrastructure facility to enable access of four upland barangays on the citizen’s charter (but not functional now). For the 3<sup>rd</sup> edition, there was a separate fund. The city hopes to distribute one Citizen’s Charter copy per household. This is the target.

But because of constraints the city opted for strategic distribution: with NGOs, people's organization, barangay associations, parishes, chamber of commerce and schools and the like. They also produced CD version of the citizen charter similar to what one can access on the web.

Now, because the ARTA of 2007 which mandates allotment coming from Maintenance, Operations, and Overhead Expenditures (MOOE) of the organization to citizen's charter implementation, about two million pesos can be allotted. But the estimation of requirements according to one interviewee was more than. Their allocation is based on five items: Trainings and Seminars; Naga City PIP; Information Technology; Business One Stop Shop (BOSS); and the Citizen's Charter. The allocation of resources for the citizen's charter even before this national guideline signifies that the city government is serious in implementing and sustaining the program.

Previously an external fund assistance (coming from the Award the city received) was utilized to support the wireless connection for upland barangays. The Naga City People's Council (NCPC) also has effort to access some funds intended for citizen's charter.

#### **4.2.1.1.5 Participation**

The participation of people and stakeholders in almost all development undertakings is sought for as a prerequisite to good governance. TUGI (2003) highlights participation as having a voice in decision making either directly or through legitimate intermediate institutions that represent their interest. Two such institutions are found in the research as playing an important role in citizen's charter program – the MNCCI and the NCPC.

The Metro Naga Chamber of Commerce Inc. (MNCCI) is an organized civil society group has always been involved by the city government in its affairs and activities. In the city councils and boards different sectors are involved. MNCCI, as one of these sectors is Co-chair of the Naga City Investment Board and is a member of the Law and Order and the Ways and Means. In the crafting of the charter, they were also involved by validating the standards that have been drafted. They commented on what was not followed. During the first edition of the Naga City Citizen's Charter, particularly during the crafting of the standards they asked the city government "What are really the processes or procedures" and they shared their own expectations. NCPC was the facilitator then.

#### **Box 4: What MNCCI Says About the Gains of Institutionalizing the Citizen's Charter in Naga City: "three things."**

*"First is people's involvement. Second is awareness that they own the government and that the government is not independent or separate from them. And third is mindset that "I am the client".*

*-- Mr. Alberto Bercasio*

*President, Metro Naga Chamber of Commerce and Industry*

The Naga City People's Council (NCPC) is an umbrella or federation of about a hundred non-government and people's organization (with about 11 basic sectors represented<sup>3</sup>) operating and established in the city. NCPC is an active partner and critical collaborator of the city government in city programs and projects either as beneficiaries, co-implementor/planners, monitor, advocate or critique. For the citizen's charter in particular there are several roles they have explicitly played. During the formulation of the charter, the Chairperson relayed they critiqued the output that was presented to them during one consultation called by the city government. During this consultation the city government asked them how the city processes and procedures can be improved and made better and the NCPC suggested ways to enhance the processes. In the second edition, there have been changes which the NCPC noticed such as improvement in processing time (15 to 10 minutes for example) as a result of their suggestions. The interviewee shares that the city government is conscious of consulting them every time their sector will be affected by any city program. *"They knew that we have the right to be informed and that our opinions matter in city programs"*.

Many instances that came, where people who encountered problems, asked the NCPC to relay the experiences they encountered in transacting with the city government (as to declarations of the charter). These are monitored by NCPC. There is secretariat from NCPC that receives calls and they prepare letter for the city to put across the message of the people. NCPC does feedback this to the City in order for them to know, to check, to correct things if the pledges are not being followed.

One sample comment received from member organization was for LCR. According to the complaint, the time declared was not followed (for example: after 3 days a client came back and it was not ready). These comments are sent thru Community Forum, Open line of Mayor, TEXT Naga, and directly from NCPC to the office concern. If the complaint raised is serious and heavy, they call and set appointment with the Department Head and bring forth the issue of people. And if it is political they prepare a formal letter and they ask for action. The interviewee relayed *"it's like a complaint but were just facilitating the concern so they can explain what happened"*.

The NCPC also took to task informing and disseminating to its members at the grassroots not just the presence of citizen's charter as part of the I-Governance program but also the main contents/services of the charter and how to avail them. This they do as part of the organizational strengthening thrust of the NCPC. The NCPC was also invited by the city government during the launching of the third edition of the Naga City Citizen's Charter.

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<sup>3</sup> NCPC started in 1989 but was only institutionalized in December 20, 1995 through the enactment of Ordinance 95-092 or the Empowerment Ordinance that seeks to strengthen marginalized sectors of society by providing them avenues to meaningfully engage the government. These sectors include Non Government Organizations, Women, Peasant, Urban Poor, Labour, Youth, Student Councils, Cooperatives, Business, Persons with Disabilities, and Barangay People's Council.

**Box 5: What NCPC Says About its Own Effort to Educate People on the Citizen’s Charter:  
“to attain maximum people participation.”**

*“For NCPC, what we do is explain to our members especially the peasant sector. Member of the boards took it as task to explain/inform the members about the Naga Citizen’s Charter. We also disseminate information. Because we in NCPC believe we can better help make the charter understandable to our members. Considering the fact that, the boards are concerned leaders. The city government cascades it to barangay. As partner, we just take it as part our work to help explain to the people within our network organization By doing so, we hope to attain maximum people participation (in the affairs of the city)”.*

*-- Ms. Glenda Dasco  
Chairperson, Naga City People’s Council*

In the research however, it was found that at the non-organized individual level Ninety two percent (92%) of the clients surveyed claimed they have not been invited to participate in the development of standards for Naga Citizen’s Charter. Similarly, ninety two percent (96%) of the clients maintained they did not attend nor any of their family members any orientation or forum related to citizen’s charter. This finding reveals that there was no extensive consultation from ordinary un-organized individuals or city residents.

**Table 7: Client’s Knowledge of Invitation to Participate in the Development of Standards for Naga City Citizen’s Charter and Client’s or Family Member’s Attendance in Any Citizen’s Charter Orientation or Forum**

Frequency	Percentage	Response	Frequency	Percentage
8	8.00	Yes, invited and attended	4	4.00
92	92.00	No, not invited, did not attend	96	96.00

#### **4.2.1.1.6 Challenges and Obstacles Encountered**

There is a number of what can be considered as obstacles that the I-governance Team faced in pursuit of the citizen’s charter. One is haggling/ bargaining on the reduction of time. There was fear on the part of the offices to commit what they thought they could not deliver. Second is change of accountable persons. As times come by, there was turn-over of accountable staff, so employee’s names need to be updated. There was the issue of who to put: permanent person’s names or casual staff’s name. Third is meeting deadlines of release. There was a ceremonial distribution day to beat. Although the digital version was already uploaded in the Naga City official website, it took time for the publication component to come out. The city also released CD version which were distributed to those LGUs and interested parties (DILG, CSC, LGUs, WB, Asia Foundation, etc). Fourth is target distribution. The concern is how to reach most number of people or households. After the first edition, the plan was to put it in Bicol language and distribute to all households but didn’t push through. Fifth is the form issue. Is it going to be in booklet or book-form? Is it going to be handy or bulky? The city government is not selling the copies of the charter. The third edition of the book form released only 1,000 copies because of financial constraints.



**Box 6: What a Division Chief Says About Challenges and Obstacles Encountered:  
“eventually overcame all these.”**

*The hesitance of department/office heads and chiefs and indifference of staff. Eventually we overcame these since they have been involved in the drafting. They eventually learned it's better with citizen's charter. It has become part of the system later.*

*-- Ms. Gigi Nilda Abonal  
Business Permit and Licensing Division Chief*

#### **4.2.1.1.7 Facilitating Factors**

The interviewees shared a number of factors that led to citizen's charter formulation. One is the championing of the leader. The Mayor who provided directions, was the one who really pursued to have this in book form and document the outputs of the city's public service improvement programs. Second is the assistance extended by US-AID ARD-GOLD in QSEP and PSEP projects. Third is the materials and forms used during the formulation which served as templates for drafting. Fourth is the team work of competent staff, who laboured in the consolidation, coordination and technical editing. Fifth is the I-Governance Ordinance which is the policy that institutionalized the charter. And sixth is the people's sense of demand which was the reason for charter and the present drive to sustain the initiative.

**Box 7: What an Office Head Says what Led the Citizen's Charter Formulation and Institutionalization: “confluence of factors”**

*“A confluence of factors may be mentioned that facilitated citizen's charter formulation and its eventual institutionalization: the Mayor who provided directions, competent staff, teamwork, the I-Governance, Ordinance, and the people's sense of demand”.*

*– Mr. Jose Perez  
Naga City Visitor's Center Chief*

#### **4.2.1.2 Implementation of the Citizen's Charter**

This section looks at various aspects and facets that feature the implementation of the citizen's charter in Naga City. These facets include awareness of frontline staff, attitude of frontline staff, capacity building, systems employed, accessibility, civil society participation, top leadership style, and resource availability.

##### **4.2.1.2.1 Awareness of the Frontline Staff**

Of the thirty frontline staff respondents surveyed from two sought after frontline service offices – Business Permit and Licensing and the Local Civil Registry, 93% have knowledge on the existence of citizen's charter in the city government in general and their offices in particular. This is a good indication of first level accountability which should be complemented by supervisory/ managerial level of accountability. The remaining seven percent may be accounted for by the newly hired casual employees that should be given orientation by the Human Resource Department. This finding is similar to Azizah's (2008)

finding that frontline staffs in Yogyakarta City are not fully aware of the existence of charter for ID.

The table below (Table 8) shows that staff perceives they are expected to be friendly, render fair treatment, arrive on time and extend service hours more than departing on time and wearing own ID. These traits however are not explicitly stated as behavioral expectations either in the local ordinance or in the national law. Apparently, service standards seem to require certain attitudinal and even behavioral complements in order to be more effective.

**Table 8: Staff’s Perceived Service Standards Expectations of him/her in Accomplishing Task or Service**

Standards	Frequency	Percentage
Friendliness	27	13.43
Fair Treatment	26	12.94
On time Reporting	25	12.44
Extended Service Hrs	25	12.44
Timeliness	22	10.95
Accuracy	22	10.95
Extra help	21	10.45
Wearing of own ID	17	8.46
On Time Departure	16	7.96

**Note:** multiple responses N: 201

#### 4.2.1.2.2 Attitude of Frontline Staff

The five attitudinal statements of frontline staff revealed in Table 8 reflect a general healthy attitude towards work and its working environment in relation to the city service delivery function. Eighty three percent (83%) strongly agrees that his/her service is a valuable contribution to the overall city public service while the remaining 17% agrees with the statement. Combining both means that all respondents believe that their work is a valuable contribution to city services. Majority (87%) of the respondents strongly disagree that he/ she does not care about accomplishing or finishing his/her part of the office work. Combining it with another segment of those who do not agree results to ninety percent (90%) of the respondents are not indifferent/ callous to work in the office. One hundred percent (100%) agrees that he or she is generally enthusiastic to come to office and do his/her part of the work. Seventy percent (70%) of the respondents disagree that working in the office is a mere obligation and that working city government is a choice. Sixty seven percent (67%) of the respondents are motivated to work if they see other working conscientiously. In Azizah’s study (2008), attitude of staff was measured in terms of the ‘greeting’ standard set in the charter and findings show in practice not all frontliners always accomplish this standard. The attitude of frontline staff and the enthusiasm of the office are important to determine as this affects the overall delivery of services and in particular the compliance to standards set in the charter.

**Table 9: Attitude of Frontline Staff towards Public Service and Work Environment**

Attitude Statements	Strongly Disagree		Disagree		Agree		Strongly Agree		Neither Agree or Disagree	
	Freq	%	Freq	%	Freq	%	Freq	%	Freq	%
<i>"I believe that my service to our clients is a valuable contribution to the overall city public service".</i>					5	16.67	25	83.33		
<i>"I don't care if I am not able to finish/accomplish my part of the office work".</i>	26	86.67	1	3.33	1	3.33	2	6.67		
<i>"I am generally enthusiastic to come to office and do my part of the work".</i>					6	20.00	24	80.00		
<i>"I simply have no choice, I report to office and fulfill my part because I am obliged to".</i>	14	46.67	7	23.33	6	20.00	3	10.00		
<i>"I am motivated to work if I see my officemates conscientiously working".</i>	5	16.67	4	13.33	12	40.00	8	26.67	1	3.33

#### 4.2.1.2.3 Capacity Building

Of the respondents covered in this research, 53% has confirmed attendance in an orientation or training on citizen's charter and claimed the knowledge they gained in these trainings are being practiced now. This finding seems to indicate that not all have been covered by a deliberate capacity building program for the offices covered by this study. The research is of the opinion that the adequacy or for that matter, the coverage of capacity building positively affects the delivery of services. In Azizah's (2008) study, it was found that while trainings have been conducted, the effects have not been long lasting. Gradually staff did not practice 'friendly service (prescribed greeting)' when they were in peak hours. Hence, she recommended that that a maintenance program be instituted to sustain initial trainings. This program may include reward and punishment mechanism, communication, monitoring and good supporting office facilities. Below is a table of training themes and topics for the offices covered in this research. Respondents perceived these to be helpful in the performance of their duty.

**Table 10: Types of Capacity Building Perceived by Frontliners Helpful to Work**

Business Permit and Licensing Division	Local Civil Registry
GIS /IT-Related Trainings	Civil Registrar Seminar
Enrichment Program/Career Development /Skills Development	Preservation of Civil Registry Documents
Modern Volumetric Calibration	Seminar/Workshop IRR of RA 9255
Tax Revenue Code/ Business Taxation /Revenue Collection/ Tax Collection Bookkeeping	Records or Data Management

#### 4.2.1.2.4 Systems Employed

A system of punishment and rewards exist in the city government. Sixty seven (67%) percent of the respondents says punishment is applied in forms of reprimands, reminders from higher authorities and bonus deduction if mistakes are committed. Surprisingly only thirty percent (30 %) of the respondents experienced application of rewards if standards are met or even beyond it. This takes the form of productivity incentives and receiving letter of recommendation. This finding seems to indicate the reward complement of administrative punishment is lagging behind. While there is an existing reward system, clear integration of the reason for reward is not established among the consciousness of frontliners. In Yogyakarta City (Azizah 2008) experience, reward system was not integrated into citizen's charter. No financial or non financial reward was attached to performance of standards in the two charters they drafted. A purposeful punishment and reward system that is anchored on the citizen's charter should be able to reinforce the quality of service delivery.

#### 4.2.1.2.5 Accessibility and Awareness

Access to information is one critical element to ascertain the transparency of an organization. Service providers have identified the following: Brochure/leaflets/flyers; Citizen's Charter Publication; Notice/Bulletin Board, Poster; Naga City Website; Advertisement in radio, TV, journal; and Seminar to Barangay Officials as the city's primary means by which they disseminate office services and products to the public. Table below indicates which of these access points have been most notable to transacting clients.

**Table 11: Client's Sources of Information How to Avail Services in the City Hall**

Sources of information	Frequency	Percentage
Frontline staff/ Service window	73	63.48
Brochure/leaflet/flyer	9	7.83
Naga City Website	9	7.83
Notice/Bulletin Board/Poster posted outside the office	4	3.48
Advertisement in radio/TV/journals	4	3.48
Naga City Citizen's Charter publication	2	1.74
<i>Others</i>		
Private companies (hospital)	4	3.48
General knowledge	3	2.61
Own Company/ Officemate	2	1.74
Other Government Agency	2	1.74
Barangay Office	2	1.74
Family/Relatives	1	0.87

Note: Multiple responses; N: 115

The above table shows that 63% of the client survey respondents accessed information thru service windows and frontline staff. This is way above respondents who accessed information thru the Naga City website (8%) and the Naga City Citizen's Charter publication (2%). This seems to indicate two things: that Naga City website and Citizen's Charter publication are not readily accessible or the means by which they would be accessed is difficult to obtain; and that non-face to face mode of information availability is not fully exploited. If such were the case, then it requires that a more vigorous and purposive awareness program on citizen's charter be considered if the city government intends to spread awareness on the availability by which citizen's can access information on city governments services.

It is for this reason that staff thinks the services of their respective offices can further disseminate information to public by: having house to house campaigns; encouraging word of mouth transmission; having more activities e.g. mass registration or mobile registration; publishing in local newspaper; barangay campaigns and orientations/seminars/advisories; joint venture (e.g. with MNCCI, with regards to disseminating concerns to business sector); and attending City Council session to disseminate office concerns to barangay level leaders attending the session). One respondent however believes their office has utilized all possible means helpful and that their services and products are already a common knowledge among citizens. The research is of the opinion that a great variety of information mechanisms increases the chances of a more aware public.

**Table 12: Client's Awareness on the Existence of Citizen's Charter as a City Government Guidebook and Client's Knowledge on the Existence of Standards Based on Naga City Citizen's Charter**

Awareness on Naga City Citizen's Charter as City Government Guidebook		Response	Knowledge of the existence of standards in Citizen's Charter	
Frequency	Percentage		Frequency	Percentage
25	25.00	Yes, I know	23	23.00
75	75.00	No, I don't	77	77.00

Majority (75%) of the respondents in client's survey is not aware of the existence of Naga City Citizen's Charter as a city government guidebook. Conversely, about seventy seven (77%) of the clients surveyed do not know of any standard set based on the Naga City Citizen's Charter. This can be partly explained by admission of eighty nine percent (89%) of them not receiving or acquiring hard copy of the citizen's charter.

Eighty four percent (84%) of the clients surveyed stated they have not experienced receiving unsatisfactory or unacceptable products or services. For the remaining sixteen percent (16%), samples of unacceptable services are relayed below. Responses of unacceptable services were not ascertained if it happened within the immediate period or the past year.

1. refusal to sign fire clearance for not buying fire extinguisher with the accredited supplier

2. discrepancy in tax declaration
3. wrong date in fire clearance
4. wrong spelling
5. could not locate signatories
6. unpleasant treatment towards clients
7. kept returning
8. presumed busy / disorganized filing / lost documents
9. no one manning the service window
10. lot of signatories / waiting for signatory
11. long processing
12. was not entertained

Interestingly, sixty percent (62%) of the clients are not willing to pay additional fee to receive products/services directly at home or office and prefer to just wait and/or pick up their documents. Only thirty seven (37%) of them are willing and one says it will depend how much will be added to the fee. This alternative mode of delivering the product to clients is something which the city government can consider offering to its clients. With a fee that can be added to the total due the client, transacting public need not come back to the city hall office to pick it up. The time savings and the convenience this offers the clients may provide them more productive or leisure time and activities than waiting in the city hall. Such a mode can be offered to the public for the types of product that would not be produced at the day it was first applied for or requested, or services that would be accomplished the next day or several days after.

One curious and sensitive question was asked of the clients transacting at the city hall. This is whether or not the client has ever attempted to provide grease money in order to finish/receive products or services ahead of the rest. It discloses that ninety percent (90%) of the respondents did not make any attempt and about 10% did. The question however did not probe deeper if out of this 10% attempt there was acceptance on the part of the service providers. Such a condition, under existing laws will consummate a bribery which constitutes a violation of the law.

#### 4.2.1.2.6 Top Leadership Style

An attempt to explore the preference of leadership style of frontliners reveals that about ninety percent (90%) of service providers/frontline staff agree that their office heads/supervisors need to be more output/performance oriented while about fifty seven percent (57%) disagrees with the Mayor being less output/performance oriented as revealed by the table below.

**Table 13: Attitude Towards the Office Head/Supervisor Being More Output/Performance Oriented**

Response	Frequency	Percentage
Strongly Disagree	1	3.33
Disagree	0	0.00
Agree	14	46.67

Strongly Agree	13	43.33
Neither Agree nor Disagree	1	3.33
No answer	1	3.33

These attitudes of the staff have implication with the present set of leadership in the city. Staff prefers their immediate supervisors should be more aggressive and more motivating and be output oriented for the whole office to be more productive. While the Mayor on the other hand would have to maintain performance/output orientation type of management in leading the city as shown in table below. This preference signals a relationship between the output/performance orientation of top leadership and middle managers/department heads with transparent, accountable and quality service delivery. Azizah (2008) in her study found that the mayor and the leaders of the Citizen’s Charter Forum have demonstrated strong commitment in citizen’s charter formulation and implementation.

**Table 14: Attitude Towards Mayor Being Less Output/Performance Oriented**

Response	Frequency	Percentage
Strongly Disagree	12	40.00
Disagree	5	16.67
Agree	7	23.33
Strongly Agree	4	13.33
Neither Agree nor Disagree	1	3.33
No answer	1	3.33

#### **4.2.1.2.7 Resource Availability**

In terms of resource availability, fifty seven percent (57%) of staff perceives the supply and equipment is insufficient to deliver and accomplish assigned tasks. They claim they need more office supplies, more computers and new software, more filing cabinets, new high technology equipment, and service/mobile vehicles to be able to function more effectively. Azizah (2008) noted since the charter was aimed at shortening time needed to deliver the services it means that there should be additional facilities to support the charter. Even though staffs have changed their mindset when facilities are not well managed may cause negative effect on the staff’s performance. This perception of the staff is also reflected in the suggestions they have expressed when asked how they can improve their services to the public. The research thinks that access to available resources induce complete and accurate services.

#### **4.2.1.3 Institutionalization of the Citizen’s Charter**

This section delves on identifying the factors that make the citizen’s charter a continuing and sustained initiative. Two of the factors looked into are the presence of a local and national policy and the existence of a functional monitoring and evaluation mechanisms.

#### 4.2.1.3.1 Presence of Policy

One of the main concerns in any innovative or promising initiative in local governments, especially in the country where local priorities shift together with the assumption of new leaders, is the sustainability of a laudable program. The Naga City Citizen's Charter as one of the tools by which the city puts into practice its citizen centric governance is sustained thru a policy embodied in a local ordinance. In 2002, an ordinance is enacted to facilitate the meaningful participation of individuals in local governance through the institutionalization of transparency inducing and feedback encouraging mechanisms. This is Ordinance No. 2002-063 - An Ordinance Strengthening People Participation in Local Governance by Establishing Mechanism of Transparency through Institutionalization of the I-Governance Program of Naga City otherwise known as the "I-Governance Ordinance of Naga City".

The I-Governance nature and scope as contained in this ordinance says:

*"a mechanism by which government transparency is facilitated through information openness on matters affecting the affairs of government. As a mechanism, it facilitates the establishment of a government that is inclusive, interactive and innovative. An inclusive and interactive government is one where the system of governance encourages participation of both individuals and groups by engaging them in a continuing dialogue and productive partnerships towards the achievement of communal goals. An innovative government is where the system of governance is founded on a culture of excellence and thrives upon the unending challenge of greater creativity and continuing innovations. (Ordinance No. 2002-063)".*

The I-Governance Program is basically a two component program comprising of the [www.naga.gov.ph](http://www.naga.gov.ph) and the Naga City Citizen's Charter. The former is the official internet website of the city government providing relevant and salient information about the operations of the city hall. The website in its current capacity informs the public of four main themes: Sell Naga which contains city related information such as city profile, indicators, statistics, resources, tourism attractions, investment opportunities and news updates accessible through downloadable features, pictures, maps, and tables; Serve Naga (also called NetServe) which indicates a comprehensive listing of city government services detailing requirements to avail it, the steps and procedures as well the response time and accountable personnel for categorized service; Share Naga which divulges relevant data on city fiscal affairs including budget and expenditure, public bidding announcements, invitations and results, city ordinances and resolutions, and directory of city government officials with their respective contact numbers and emails; and finally Star Naga which features the city's accomplishments, awards and citations.



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Downloadable Forms ▼

Welcome to the service webpage of the City Government of Naga. We give you on-line access to our frontline services and more! Check out our service delivery response time. Download the forms and maps that you need. Browse through a complete directory of City Hall services and find out how to contact key persons. We deliver services beyond the front desks.

Business & Investments
Tourism & Visitor Services
Livelihood and Employment
Infrastructure Services
Agricultural Services
Transport and Traffic Management Services
Executive Service/Request to the City Mayor
Social Welfare
Integrated Health
Education
Urban Poor
Environmental Services
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Personnel Services
Legal Services
Information Services
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**Know more about the  
city government's  
Productivity Improvement  
Program**



**Find out about our new services...**

**Socialized Medical Care Program (SOMECAP)**

SOMECAP is a health care program designed for the poor residents of Naga. It allows the poor to afford the rising cost of health and hospitalization services. It was introduced in 2001.

One interesting to mention is the Community Forum, an interactive facility that permits individuals to communicate with the rest of offline and online city residents including city employees and officials. This feature enables people to express and convey information, feedback, complaints, suggestions and recommendations, as this allows people to interact directly with city officials and employees.

The Naga City Citizen's Charter on the other hand is its second component which constitutes the printed version of the NetServe theme of the Naga City government website. As mentioned, this is a handbook that contains the procedures and requirements to avail the services provided by the city government, together with other useful contents such as maps which indicate where the location of offices/ departments are and a

perforated feedback form for people to use as one means to express their opinions and suggestions about city services.

As a commitment, the ordinance stipulates that the Office of the Mayor should update it, ensure the relevance of information contained in [www.naga.gov.ph](http://www.naga.gov.ph) and parallel, the Naga City Citizen's Charter is consequently updated, reprinted and distributed within one year after every local election.

Recent policy development at the national level is being hailed as one of the most promising service improvement reform mandate – the Republic Act 9485 - Act to Improve Efficiency in the Delivery Government Service to the Public by Reducing Bureaucratic Red-Tape, Preventing Graft and Corruption, and Providing Penalties Therefore, otherwise known as the Anti-Red Tape Act of 2007. Consistent with principles of integrity, accountability, proper management of public affairs and public property, and transparency this law mandates the adoption of a program for simplified procedures that will to reduce red tape and expedite transactions in government. Foremost is its directive to all government agencies including departments, bureaus, offices, instrumentalities, or government owned and controlled corporations, *or local government* or district units shall establish their respective service standards to be known as Citizen's Charter.

This law specifies the form by which the citizen's charter shall be realized. It shall be in the form of billboards which shall be posted at the main entrance of offices or at the most conspicuous place, and in the form of published materials written either in English, Filipino, or in local dialect, that detail:

- 1) The procedure to obtain a particular service;
- 2) The person/s responsible for each step;
- 3) The maximum time to conclude the process;
- 4) The documents to be presented by the customer, if necessary;
- 5) The amount of fees if necessary; and
- 6) The procedure for filing complaints.

The same law points to the head of offices and agencies as the primary responsible for the implementation of this Act and shall be held accountable to the public in rendering fast, efficient, convenient and reliable service. The law further stipulates limitation of signatories to a maximum of five which represent officers directly supervising the office or agency concerned; adoption of working schedules to serve the clients within their premises prior to end of working hours and even during lunch break and after regular working hours; and the establishment of public assistance/ complaints desk. The law also lays down the corresponding penalties for violations of detailed administrative or criminal offenses therein specified.

In the light of customary ways of doing things upon assumption of new administration or leadership after elections, it is impossible for the next local administration/leadership to set aside or de-prioritize Citizen's Charter program implementation given these two strong legislations. Both policies underscore the accountability of the head of agency, and in this case, the local chief executive to implement the citizen's charter.

**Box 8: What the Mayor Says About the Charter Being Effectively Implemented:  
“it’s possible”**

*“The most important element in all of these is capacity of the bureaucracy. Actually, the charter only tells you what we can do. The charter is just a tool. At the end of the day, it’s us. You can develop a very good charter if you have a very proficient and very motivated bureaucracy. In our case, the charter was born out not just out of setting standards but born out of saying this is how ready we are – these are the standards we set ourselves. The Anti-Red Tape Act (ARTA) of 2007 might be a tool to measure but it doesn’t really tell you, exactly what they can do. I can prepare a charter for Building Permit, set standard say at 15 days. But I am capable doing it in 4 days then the 15 days (standard in the National Building Code) is meaningless. It’s a way of documenting the capacity and making the organization answerable for the standards set for itself”.*

*It’s not something that should be imposed. If imposed, probably you come up with standards that are too difficult to achieve, probably you might come up with standard that is very easy to achieve. It’s not localized. If initiated by an internal desire to really deliver what you will set as standards would be much better than what others are setting for themselves.... We have done it without the law (ARTA). It’s possible. Whether in the Philippines or Indonesia, or elsewhere, you begin with capacity of the bureaucracy. The charter in effect will just document the capacity of the bureaucracy.”*

*-- Mayor Jesse M. Robredo  
Naga City*

#### **4.2.1.3.2 Presence of Monitoring and Evaluation Mechanisms**

As far as formal and systematic monitoring or evaluation mechanisms, the city has instituted none for the citizen’s charter. There has been no external third party formal evaluation of the charter implementation which interviewees agree to be very ideal and desirable for them. Certain constraints limit them from commissioning an external evaluation of the program. But so far, the means by which they monitor the progress and to a certain extent assess the effectiveness of the citizen’s charter is through the sub-mechanisms established – the TEXTNaga (which is centrally received by a dedicated SMS Server) and Text the Mayor (which is a personal phone of the Mayor) strategies. They also rely heavily to what the NCPC has to say or to the feedbacks they normally receive from them. Suggestions are also relayed thru these means apart from the office telephone numbers and email addresses of the city government officials. One message relayed by the interviewee is shared to the researcher and it commends the Business One Stop Shop (BOSS) they conducted last time. According to the one who sent the text message to TXTNaga, such an effort minimizes the informal and additional charges because all concerned office desks are contained in one area thereby saving precious time and money from coming back to the city hall.

Another interviewee added that citizen’s charter concerns and developments are lengthily discussed in Management Committee Meetings. Hence, for management consumption, allows them to assess internally the effectiveness of the program. However, results of this internal evaluation are not dovetailed to Performance Appraisal of the Staff. In addition, the interviewee says the City Development Council (CDC) does consciously monitor

feedback and comments from people as to all local governance complaints and grievances in the city. The concerns of the CDC are then fed back to the City Government for appropriate action.

**Box 9: What a Department Head Says about Performance Appraisal: “there is peer, subordinate and client rating”**

*“In every office, there was a group called Productivity Improvement Circle (PIC) formed during PSEP days who functions as Service Audit Team within offices. Their audit report became basis of Productivity Incentive Bonus (PIB). PIB is given to both casual and regular employees. Two satisfactory ratings entitle these people to receive PIB. Then it had corresponding reward amounts (as high as 3,000 and low as 500) distributed to staff based on results of PIC rating. Now, we follow Civil Service Commission’s Performance Evaluation System (CSC-PES) where there is peer, subordinate, and client rating”.*

*-- Ms. Teresita Zapata  
Human Resource Management Officer*

The HRM Office adopts the Civil Service Commission (CSC) – Performance Evaluation System (PES). PES is a system of assessing individual or personnel in government as basis for awards and other forms of recognition. This regular personnel mechanism is linked with citizen’s charter in the sense that the starting point is the description of one’s job which is basically the personnel tasks in the services that his/her office offers to the public. The personnel’s job is basically outlined in the Performance Pledge which every employee in the city signs and commits to deliver. The results of the PES become the basis of the Performance Incentive Bonus.

All offices are required to submit their Annual Accomplishment Reports. Therein indicated are not just the accomplishment of the departments or offices but also the operational concerns and bottlenecks. The gist of these reports are then consolidated and reported by the Mayor during his State of the City Address which is a report of the administration to legislative department and the people of Naga. These management approaches to monitor the city government personnel compliance or non-compliance to citizen’s charter point to the unconscious manifestations of an accountable city government.

The findings above reveal that there was no one single most important and comprehensive strategy or approach that is useful in all stages of the citizen’s charter program. Analysis however reveals that certain factors appear more dominant in distinct phases of the citizen’s charter. In the conception of the charter, the institutional structure formed was found pivotal in facilitating the crucial activities of the charter formulation. But nagging was the question on how extensive was the consultation made by the city government in setting the service standards of the charter. While there was a conscious and deliberate effort to consult the organized group such as the NCPC for practical and convenience purposes, the low awareness of people about the charter reflects this inadequacy. The consultation here in the words of Wilcox (1994) will pass what he calls as ‘consultation stance’ where the drafted standards have been initially drafted but were purposely asked to obtain feedback. There was a mindful effort on the part of the city government to ‘listen’ and adjust the standards. In the implementation phase of the charter, the dominant factor

that surfaced is the accessibility of information about the charter to the greater public which was found not perfectly matching with the means by which the target clients can be reached. While indeed it was commendable to have begun utilizing electronic means to get in touch with the segments of the clients, it was revealed that face to face transaction with frontliners in the service window was still the most frequent source of information to clients. The capacity building on the other hand, was found effective to those who have attended the trainings but there is still the concern about the rest and for all in general who have not and desires a more programmatic skills enhancement or attitude/behavioral modification program perceived helpful in the performance of duties and functions. In the institutionalization phase of the charter, it was found the local and national legislations were more than enough to guarantee the charter's sustainability. However, the findings disclose the absence of a systematic evaluation of the citizen's charter than already runs for almost a decade now.

## **4.2.2 Openness and Accessibility of Information and Standards in Citizen's Charter**

### **4.2.2.1 Clarity and Understandability of Requirements**

Ninety six percent (96%) of the clients surveyed are clear with and do understand the requirements of the services and products they are availing. This finding contradicts the opinions of government interviewees, they believe that from the perspective of the service provider, it is them who would find the requirements more understandable because it is them who were involved in drafting it in the first place. And that the public would not completely understand these that is why the element of customer relations is very important to be able to explain to those who don't understand the necessity of the requirements. Yet this finding re-assures the city government officials, at least for the two offices covered in this study that clients understand the requirements of the services they are availing.

### **4.2.2.2 Display of Procedures and Process Flows**

Sixty percent (60%) of the clients surveyed state that the procedures or process flow are displayed and posted. The idea is for clients to be familiar with how the transaction with the particular office will proceed even before approaching the window for Step 1 of the procedure. The researcher's observation however is contrary with this perception from the clients surveyed. The BPL office does not visibly display any procedure or process flow inside or outside the City Treasurer's Office. On the other hand, while there is a transaction process flows or procedures in the LCR's office, these are not readily noticed by clients. Only the BPL-CTO displays a prominent Performance Pledge. But not even the touted performance pledge identifies the steps or procedures for it is not numbered as to steps or labeled as procedures. This is because the performance pledge is not designed to be a procedures document but a statement of commitment. The "How to Avail the Service" in the inside pages of Naga City Citizen's Charter is one that is helpful to and needed by the transacting public.

### 4.2.2.3 Display of Fees and Charges

Fifty eight percent (58%) of the clients surveyed express that applicable fees and charges are not displayed or specified. This goes to show that not many of the clients are clear with how much they are going pay with the service they are availing. Their only basis perhaps would be previous transaction payment (if same service was availed of previously). Apart from asking the frontline staff, clients may also resort to asking other clients who have transacted in the same window. The idea here is for clients to obtain information about fees and charges prior to being notified by the frontline staff. That way, clients are ready to transact with the office without necessarily being compromised with the frontline window if money is not enough.

In Yogyakarta City, Azizah (2008) found that even if staff knew there are standards for charges there was a willful choice not to inform the citizens. This is because staff would lose the opportunity to get additional income from the service (i.e. becoming a witness to the service as one of the requirements), or would not be able to charge extraordinary service for a fast service (especially for wealthy clients). The survey done confirmed that there were staffs not providing official receipts to clients simply because clients did not ask for it. Knowledge of the standard charges according to Azizah is important to achieve transparency. The present study in Naga City did not find non-issuance of official receipts to clients.

In the hard and soft copies of the charter, not all services would require payment yet not all have specified the charges and fees that need to be paid. In cases where there is a computation needed to calculate the payment such as charges, the corresponding source of policy (ordinance or national issuance) is posted to enable public to verify the basis. Not the whole schedule is posted. Fees more or less are fixed within the three years. If there are changes in the schedule of the charges, the client would have to refer to frontliners in the windows. Unlike in the web posting, only after three years could the revised amounts be posted in the published charter. In the first edition of the charter, there were no fees or charges declared or posted. Now there are wherever viable and applicable.

The rating beside shows that on a scale of 1 to 5 where 1 is the lowest (Very Disappointing/Very Un-transparent) and 5 the highest (Very Good/Very Transparent) key informants rated transparency in city government before charter implementation as near Average (2.92) and at present is, **Good/Transparent** (4.06).

Key Informants Rating of Transparency	
Before the charter implementation	2.92
At present	4.06

key informants rated transparency in city government before charter implementation as near Average (2.92) and at present is, **Good/Transparent** (4.06). This reveals a leap of rating of perceived transparency among key informants.

The Chairperson of the NCPC is of the opinion that the city has become a more transparent government because it is assured that people can check and ask how much was spent, where and how much is left. Asking information about city programs and project and receiving it is guaranteed. In the same way, she observes that people have become more vigilant of what the local government is doing. They are equally challenged to see if what the government said would be true not just in intentions or words but also in deeds and actions. Further she thinks the city government has become a model for its lower level barangays to emulate in terms of openness and transparency.



The findings above reveal a conscious effort on the part of the city government to be open and transparent in the way they do things in their offices by producing the book form (Naga City Citizen's Charter) and electronic form (NetServe) of the charter but these efforts as far as awareness of the citizens is concerned is not sufficient. Clients surveyed in the study perceive that the requirements are clear and understandable. But the visible display of procedures and process flows as well as applicable fees and charges would have to be worked on for findings disclose not many of the clients notice them right away. The posting of this critical information at the city hall premises is very important because (as revealed in this study) the clients could nowhere obtain the same but only service windows. And if they are not armed with this crucial information, clients cannot be expected to demand standards as per declarations. Transparency in the advocacies of UNDP-TUGI (2003) would mean free flow of information directly accessible to those concerned with it. The aim of spreading/propagating the information about what can be expected of the services in the city government service standards has not been fully achieved.

### **4.2.3 Accountability Mechanisms in Citizen's Charter**

#### **4.2.3.1 Display of Identification**

Fifty six percent (56%) of clients surveyed says identification names or tags are not prominently displayed for anyone to read or identify. Actual observation confirms this finding. Majority of the frontline staff are not wearing their identification cards because this very same card is also used as salary disbursing ATM card which many keep in their wallets and bags so as not to scratch, break or dent. Hence, some resorted to producing replica of the official identification card just to be able to wear one. For those who do not bother, did not wear any identification at all. This however, is not the case before when their identification cards are not same as their ATM salary disbursing card. This is a case of misplaced function. Identification cards or name tags are supposedly meant for clients to "identify" who they are transacting with. When clients know who exactly they are transacting with, they are more able to exact accountability.

#### **4.2.3.2 Presence of Functional Complaints/Feedback Mechanism**

As has been mentioned in the discussion on Accessibility (in Formulation of Citizens Charter) one functional mechanism by which an exchange of communication between the city government and the citizens is through the open cellular phone of the Mayor and the TXTNaga facilities. The open line of the Mayor is a personal phone of the local chief executive which receives complaints and feedback from the residents. What the Mayor does when he receives complaints is to coordinate this with the respective department and office head for appropriate action. The same thing is true for TXT Naga which is centrally received by a devoted server managed by Electronic Data Processing Unit (EDPU) which in turn routes the message to concerned office. The sender receives an auto reply from the server to acknowledge receipt of sent message. Such text is also received by the Mayor and is followed up for action. All offices of the city hall are provided with telephone numbers which the city residents can call for information and feedback. In addition, the

public may also write a letter and send to email addresses which are contained in the directory posted in the citizen's charter publication.

The complaints received thru text vary from mundane to the serious ones. There was one who complained that a city government employee was "*singing very loud in a karaoke bar*". Another is a complaint that a "*convenience store operates without a permit, it's unfair*". Still another is "*high asking price in LCR*". All these samples received thru Mayor's cellular phone. As an action, the former was verified, inspected and was given order to secure a mayor's permit while the latter was investigated by the LCR Head himself and found the complainant has something against the staff for there was really none in the fees required was extravagantly high. Or maybe according to the interviewee, is the case for fixers. The LCR since then has been more vigilant of these cases. The texts received by the city are also positive ones like congratulatory remarks for the successful conduct of BOSS, faster transactions now and the like (with a reminder to be more so).

One concern though with these mechanisms is the tracking and monitoring of complaints, feedbacks and suggestions. All interviewees during personal interview and focus group discussion admit that this is an area for improvement. While the TXTNaga can generate how many complaints are received for example in a week and how many have been acted upon, the responses made using the Mayor's personal phone they claim cannot be tracked or monitored. The Mayor takes it as a personal responsibility to act and respond even during sleeping time.

One admission to the weakness of citizen's charter is the inability or lack of mechanism to monitor the Customer Feedback Forms they attached to the Citizen's Charter publications for the past two editions. While it has become fashionable for city residents to make use of the more accessible cellular phones which majority of the residents has access to, one interviewee admits he is yet to see an accomplished feedback form from customer. Government interviewees realize it is the Information Desk that should have it and receive it.

Apart from these measures, the city also capitalizes on the internet facility by establishing the Community Forum in the Naga City official website which likewise allows city and non-city residents to participate in communication and exchanges with the city government. The Community Forum is managed by an administrator in EDPU.

The potential for harnessing information technology is not yet exhausted. According to one interviewee the cellular phones of city residents can be further utilized to propagate citizen's charter. Citing the Survey of Ateneo de Naga which says that every household in the city has two cellular phones, the interviewee believes this can be used to overcome the internet divide (which limits some who don't have internet access). He thinks of uploading the citizen's charter salient information to one qualified cellular company which the city residents can access directly through their phone. In the midst of technological revolution, this according to him is the "way to go". This he describes as "cellphone penetration".

On another development is the intention to bring texts received in TXTNaga to the knowledge of NCPC. The idea is for the NCPC as a vanguard of good local governance to



also read and monitor actions of the city hall. This way too, the city extends in a more innovative way the transparency and accountability of the administration to the concerns lodged by the residents.

If there are unsatisfactory services or products, clients are supposed to feed this back to the office they transacted with and demand for correction, replacement, or redress. This is a picture of an empowered client. But before they can do that, clients need to know how to do it. A procedure for complaints is therefore looked into by the research and findings show that seventy four percent (74%) of the clients surveyed did not see any posted or specified complaints procedure in the office they transacted with. Observation confirms this finding, although it is a popular word of mouth in the city hall, that they can always “text the Mayor” for complaints and suggestions there is none within the city hall premises that would inform transacting public about how they can complain much less how they can text the city mayor. I could personally attest of the Mayor’s open line but could not vouch of any notice board within the city hall premises indicating that he can be texted anytime using a particular number. And the conventional feedback form pages (which are contained in the Naga City Citizen’s Charter last pages which are supposed to be perforated and sent at “Office of the Mayor, 2<sup>nd</sup> F, City Hall, J. Miranda Street 4400 Naga City) has not yielded a very impressive register. Also nil is any Suggestion Box where people can readily drop feedback forms without going up to the Office of the Mayor. We found an Information Desk that is not always manned located at the side entrance of the city hall but the person occupying the desk is not very well adept of information the public may need such as requirements for a specific service. There is much that desk can offer the public other than pointing where the location of the office is. It can receive the feedback forms, hand out and explain citizen’s charter flyers and info sheet, serve as the first arbiter between the public and the government, and serve as frontline staff of all frontline staff. An interviewee explains city residents can also submit complaints to the Legal Office and the Human Resource Management Office.

It also appears that procedure for complaining is a vague thing for city hall staff themselves. They seem to be unsure as to whether there is an official procedure when dissatisfied customers complain about service or product. Fifty three percent said there is no official procedure while forty percent (40%) says there is. The procedure they mentioned is that a written complaint will have to be submitted and signed by the complainant which would be responded and acted upon by supervisors or office heads. The types of complaints the offices received range from lack of frontliners/personnel, low performance of computer system, increased tax every year, slow processing, delayed services, long queues, and slow changing of money paid.

The means explored above indicates that the city government is extending means and ways by which they could reach city inhabitants to express themselves and provide feedback to the government charter. This is contrary to findings of PAC (2007) Study that reveals users are not encouraged to provide feedback on charters.

Below is a table illustrating the various reactions by which frontline staff/officers handle complaints. More than one third of these reactions are reflective of their attitude as

accountable staff and officials. These observations of the clients however have not been probed if it occurred within the last year.

**Table 15: Client’s Observations How Frontline Staff/Officers React if They Encounter Oral Complaints and Feedback**

Business Permit and Licensing Division		Local Civil Registry	
Acts to respond to problems /Entertains/ Listens to	16	Cooperates / accommodates	14
Talks with and finds solution / Apologizes and corrects / Troubleshoots	14	Entertains / listens to queries	23
Brings the concern to the Head of Office	5	Feels guilt/ Denies fault/ Cant be located on their assigned post/ Not clear in giving instruction	5
No experience/ No idea	13	Shouts to clients and unpleasant toward clients	1
I don't mind, it's not related to me	2	No opportunity to observe / No experience/No comment	7

In the same vein, seventy seven percent (77%) of clients covered by this survey observed that there is no procedure posted or specified as to how clients can express appreciation or commendation for satisfactory services or products. Observation within the offices covered by this study would reveal that there are no procedures posted for such a purpose. Again, interviewees mentioned appreciation or feedback can always be forwarded to the Mayor’s cellular phone number. But even this, there is none you will find in the city premises that would say “text to Mayor all your comments and feedback” (only in the city’s official website and in the published Naga City Citizen’s Charter). Residents and clients who have internet connection can also express appreciation or thanks either at city official email addresses or post it at Community Forum. One citizen comment was relayed to the researcher by an interviewee thru paraphrased wordings that say “*for the first time, a local government has innovated on something we can see and a facility where we can express. The city government is serious in showing transparency by providing us figures (i.e. posting of city budget and allocations and the bidding process and results)*”. City residents can also extend their appreciation through the Office of the City Council where a Councilor can author a citation or recognition for exemplary personnel or department.

#### **4.2.3.3 Presence of Functional Redress Mechanism**

Once the complaint has been filed or submitted in whatever means available for the city residents either TEXT Naga, Text to Mayor, Community Forum, or emails, snail/postal mails and phone calls, what can be expected as an action to correct and remedy the situation as may be required? The HRM Officer relayed that a complaint is validated first and if found true, the guilty employee is meted out with appropriate sanction. An apology to customers is then issued.

In the LCR, a complaint is validated if indeed the mistake was theirs and then issues a corrected one. In the case of a Petition for Correction that was transacted in their office and whose product is also copy furnished/submitted to a central agency, the remedy is not

shouldered or charged to the client. It was an inadvertent mistake. The staff receives a reprimand from supervisor to make her realize the implication of a mistake on a perpetual document. It seems that for the office of the civil registry there is no room for mistake.

In the BPL Division, if a mistake is committed, especially during BOSS in January they apologize right away and make necessary corrections in the document. They don't issue any formal letter whatsoever nor compensates any client. Verbal apology is the first recourse of action.

There is no case yet of a compensation to pacify/appease a complaining client. This according to one interviewee is something that may probably take some time. He thinks that penetration the charter into the consciousness of the public has not fully taken place yet. People have not fully embraced it and are not completely empowered yet. He believes that to a certain extent this is cultural. *"We're not a very complaining people. We don't dare hold government bureaucrats accountable. This has to be cultivated"*. He assesses that the city still is half way to a culture change as far as community service vigilance and orientation is concerned. Yet some cases relayed to the researcher already exemplify such an attitude. A couple went to the city hall to complain about their plants in the garden being run-off by the city garbage collection truck. The chief of the department readily apologized to the complainant but they did not ask for any compensation. They said they just want to express and inform that such a case can still happen and that action should be done by the concerned department. A present case is being heard about the complaint on alleged inaction of the city hospital towards an incoming patient. The case was filed by parents who are legitimate residents of the city. In India, PAC (2007) discloses that most officials claim to resolve grievances in a timely fashion while end-users beg to differ. Nearly 76% of officials interviewed claimed to acknowledge user complaints within the time period specified in the departments' citizen's charter. Yet just 39% of end users who filed a formal complaint report that officials promptly acknowledge and resolve grievances per standards.

The rating beside shows that on a scale of 1 to 5 where 1 is the lowest (Very Disappointing/Very Un-accountable) and 5 the highest (Very Good/Very Accountable) key informants rated accountability in city government before charter implementation as slightly over Average (3.14) and at present, **more than Good/Accountable** (4.62). This rating shows a big improvement of perception of the city's accountability among informants to services being rendered by the city hall.

Key Informants Rating of Accountability	
Before citizen's charter implementation	3.14
At present	4.62

The accountability mechanisms established in support of the I-Governance Program where the citizen's charter is an integral part are innovative and pioneering but not all are fully functional. There are a number of avenues by which citizens can express complaints and feedback to the city government. The IT based facilities that include open phone line/Text to the Mayor; TEXT Naga; the Community Forum in the city's official website; and the conventional feedback form or letter to the city government. What seems to work very conveniently at this time is the Text to Mayor mode which is received directly by the local

chief executive. The complaint is then relayed for action by the concerned office or department and is followed up by the Mayor himself. The concern however with this mode is the tracking and monitoring of the complaints, feedbacks and suggestions. The least functional of these modes is the feedback form attached at the end pages of the Naga City Citizen’s Charter which has not yielded a striking register. There was no display of procedures how to complain within the city hall premises but are found in the published form of the charter. The received complaints or feedback from all these sources are acted upon independently by concerned offices. Complaints are validated, remised employees are meted with appropriate sanction, correction is done and an apology is relayed to aggrieved customers either by frontliners themselves or the head of office. This illustrates the kind of accountability advocated by UNDP (1997) when it defined accountability as a requirement for officials to be answerable to stakeholders on disposal of their duties and to act on criticisms in case of failure and incompetence. However, there is none as of yet a compensation provided to appease a complaining client. The findings also reveal that majority of the frontliners and office heads are not prominently displaying their identification names for anyone to visibly read. Identification cards or name tags/plates are supposedly meant for clients to ‘identify’ who they are transacting with so they would know who to exact accountability.

#### 4.2.4 Perception of the Quality of Services in City Government

This section of the findings analyzes a number of quality dimensions that serve to assess whether the services or products are satisfying the expectations of the clients as customers of the city hall. These quality dimensions include: Service Information Accessibility, Accuracy, Area Comfortability, Pleasantness, Equality, and Timeliness.

##### 4.2.4.1 Customer’s Expectations

Table below shows that the client’s most voted choice of standard covered by this study. On top is “fair treatment to clients” which acquired 15.86%, and closely followed by “friendliness/greetings/courtesy to clients” which got 15.51%. Least of the expectations are “timeliness” (7.49%) and a composite of behavioural, attitudinal expectations lumped in “others” (5.17%) and enumerated in detail below.

**Table 16: Client’s Personal Expectations on Products and Services**

Responses	Frequency	Percentage
Fair treatment to all clients	89	15.86
Friendliness/ greetings/ courtesy to clients	87	15.51
Availability on declared time	72	12.83
Accuracy/No mistake/ no repeat work	72	12.83
Extra help/assistance	70	12.48
Extended service hours	53	9.45
Comfortable waiting area	47	8.38
Timeliness	42	7.49
Others	29	5.17

**Note:** Multiple Responses; n: 561

**Table 17: Client’s Personal Expectations on Products and Services - “Others”**

Responses	Frequency	Percentage
Speed / fast transaction	10	1.78
Posts relevant information / disseminates info	5	0.89
Accommodating/service with a heart (industry/loyalty/commitment)	2	0.36
Follows the set process/standard	2	0.36
Responsiveness	2	0.36
Energetic/ lively	1	0.18
No returning of transactions if possible	1	0.18
First come first served basis	1	0.18
Renders services (skeletal force) during break time	1	0.18
No entertaining of unofficial business/visitors	1	0.18
Designation of OIC if on leave or late	1	0.18
Wearing of ID	1	0.18
Clarity of instruction	1	0.18

Table above shows the variety of expectations of transacting clients to frontline services. Foremost among open ended responses is speed or fast transaction. This means that if the city government wants to satisfy the expectations of the public they should put among the major considerations are speed of transaction; equal treatment; and friendliness and courtesy. Selected indicators have been closely looked into and the results of their perception are discussed in the following paragraphs.

**Table 18: Client’s Perception of the Quality of Services Being Rendered by the City Government**

Service Quality Dimensions	Percentage
Information Accessible	92%
Accurate	97%
Pleasant	94%
Comfortable waiting area	95%
Fair treatment	89%
Timely	88%

#### **4.2.4.2 Service Information Accessibility**

First quality dimension looked at in this research is information accessibility. Ninety two percent (92%) of the clients surveyed in this study perceives information is accessible. Interviewees enumerated the means by which the city informs the public about the services the city offers: the frontline staff and officers; the Naga City Official website; the Naga City Citizen’s Charter publication, the Performance Pledges posted outside the city

government offices; the flag ceremonies and public fora. These means are being made available to the public for residents and clients to access whatever their conditions and circumstances in life. Interviewees however admit that they have not fully covered all the households which are supposed to receive the citizen's charter guidebook.

#### **4.2.4.3 Service Accuracy**

The second quality dimension is service accuracy. Ninety seven percent (97%) of the clients surveyed said the product they have received is accurate. Interviewees however admit there are still some loopholes but they are always open for correction and feedback not only from external but even among internal clients (city hall employees).

#### **4.2.4.4 Service Pleasantness**

The third quality dimension explored by this study is service pleasantness. Ninety four percent (94%) of the clients surveyed perceived the courtesy, helpfulness and accommodation rendered by service providers. According to the interviewees this is what they strive to be always - *service with a smile*. But admittedly they explain there are still circumstances that clients will encounter where this particular expectation will not be met. There are still those who might still have work attitude problems but they hope their brood will not become dominant. The staff might have personal circumstances that affect their work behaviour. PAC's study in 2007 found that officials on the other hand are generally courteous and helpful. Nearly 86% of respondents felt that officials they encountered were courteous or very courteous. Similarly, 83% perceived officials to be helpful or very helpful.

**Box 10: What an Office Head says About Courtesy, Friendliness and Accommodating Attitude of Public Servants: "service with a smile"**

*"It has always been service with a smile. As far as I know they try to be very much. But sometimes they may have problem and falter. For whatever reason it's not possible, we tell our staff "You can say no without antagonizing the customer."*

*- Ms. Teresita Zapata Human Resource Management Officer*

#### **4.2.4.5 Service Area Comfortability**

The fourth quality dimension is service area comfortability. Ninety five percent (95%) of the clients surveyed found the service area comfortable enough for them to wait. Interviewees on the other hand feel this is an area for improvement of the city, especially if it is to benchmark with other cities in the country. One interviewee said even if they are courteous and accommodating there would still be an aura of separation or barrier because of the steel bars in the service windows of the main building. The meantime the 'un-extravagant' city administration which prioritizes other programs and projects will have to compensate with other approaches. Transacting public would have to make do with they have right now.

#### **4.2.4.6 Service Equality**

The fifth quality dimension explored in this study is service equality. Eighty nine percent (89%) of the clients surveyed indicated that there was fair treatment among them

transacting in the office. Interviewees claim the office’s treatment to transacting public is the same regardless of economic status or religion, or sex, big or small taxpayer. There is no discrimination they say. One interviewee explains the Mayor implements an open door policy where anyone who wants to meet with him can do even without appointment.

#### 4.2.4.7 Service Timeliness

The sixth quality dimension studied is service timeliness. Eighty eight percent (88%) of the respondents surveyed indicated the service is timely. Interviewees explain that as much as possible they follow the declared time by which the service should have been finished. They also claim that sometimes they are also ahead of time declarations meaning services are rendered in less than the committed time. One interviewee said “*not all are strictly followed but neither is it grossly violated*”. For LCR and BPL, meeting the target time is the norm but the respective heads qualify that it also depends on the completeness of the client’s documents. It should be pointed out that this dimension is different from the speed of services. In Azizah’s (2008) study in Yogyakarta City it was revealed that staff knew of the standard time by which a service should have been delivered however, due to lack of computer facilities service providers often violated this standard. Clients have accepted this situation because they are being informed of the possibility of delay. In some cases however, the study revealed that sanctions have been applied thus, staffs would be the one to deliver the product to the citizen’s house. Critical to this is the client’s knowledge of time standard which Azizah confirmed not many people know of.

The rating beside shows that on a scale of 1 to 5 where 1 is the lowest (Very Disappointing/Very Low Quality) and 5 the highest (Very Good/Very High Quality) key informants rated quality in

Key Informants Rating of Quality	
Before the citizen's charter implementation	3.00
At present	4.18

city government before charter implementation as flat Average (3.00) while at present it’s more than **Good/High Quality** (4.18). This rating is attributable to the continuous improvement effort of the city government to make the services better for the residents.

Both the clients and employees positively perceive the quality of services being rendered by the city government. The numerical ratings of clients and adjectival descriptions of government officials interviewed more or less confirm each other’s perception. Services information are generally accessible because of its availability in the internet however the issue is no longer the content but the distribution of the Naga City Citizen’s Charter to all households in the city. Services are predominantly accurate and the openness of the city to be corrected is a welcome attitude. A great majority of the clients perceived the courtesy, friendliness and accommodation extended by frontliners. Clients perceive waiting areas are comfortable although department heads think this is an opportunity for improvement whenever viably possible. Clients perceive a fair treatment that does not distinguish nor discriminate. Least but still positively perceived is the timeliness of services rendered.



#### 4.2.4.7 Ratings on Effectiveness and Service Delivery Improvement

This section provides the final rating on the effectiveness of the charter as solicited from interviewees and survey respondents. It also relays valuable suggestions as to how the city government can further improve its public service delivery function.

**Table 19: Client’s Perception on Product/Service Availed in Local Civil Registry and Business Permit and Licensing Division Offices**

Business Permit and Licensing Division		Responses	Local Civil Registry	
Frequency	Percentage		Frequency	Percentage
0	0	Extremely Disappointing	0	0
0	0	Disappointing	0	0
21	42.00	Okay	18	36.00
23	46.00	Good	20	40.00
6	12.00	Very Good	12	24.00

Table above indicates the positive satisfaction rating of clients surveyed in this study. Clients of both BPL and LCR perceive the services rendered to them is at least good (58% and 64% respectively). Respondents didn’t think the services rendered were disappointing nor extremely disappointing. This illustrates that the citizen’s charter as far as this two offices are concerned is going in the direction where the charter has envisioned itself to proceed, that is ultimately satisfying the service expectations of the clients.

The table below reveals the uneven but improving client’s perception of the effectiveness of public service delivery with and without the charter in place. At present no one among the respondents assessed the service delivery extremely disappointing whereas before there was. The at least good rating progressed from 37% to 64% which depicts that the charter per public perception is an evolving and effective service delivery improvement program. Similarly, the disappointing rating decreased from 15% to just merely 2%. While only a sample of the population of transacting public in Naga City government was covered in this study, the findings reveal the improved rating even for at least two frontline but highly sought for offices in the city hall.

**Table 20: Client’s Perception of Public Service Effectiveness Before and After Charter Formulation/Institutionalization**

Before the Charter implementation		Responses	During the Charter implementation	
Frequency	Percentage		Frequency	Percentage
4	4.00	Extremely Disappointing	0	0.00
11	11.00	Disappointing	2	2.00
48	48.00	Okay	33	33.00
27	27.00	Good	48	48.00
7	7.00	Very Good	16	16.00



3	3.00	No answer	1	1.00
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The rating beside shows that on a scale of 1 to 5 where 1 is the lowest (Very Disappointing/Very Ineffective) and 5 the highest (Very Good/Very Effective) key informants rated effectiveness in city government before charter implementation as slightly over Average (3.14) and at present, more than Good/Effective (4.25).

Key Informants Rating of Effectiveness of City Government	
Before citizen's charter implementation	3.14
At present	4.25

There are convincing reasons why the interviewees believe the citizen's charter has been an effective program to enhance transparency, accountability and quality in city service delivery:

1. The numerous awards received tell how effective the program is. In fact the Citizen's Charter of Naga is being replicated and serves as model to many. Originally 110 services now 140 services are posted. Indication is they can deliver more. There are in fact backroom offices in the city hall which effectively produce services in support of frontline ones.
2. Now, people know where to go and how to transact. They are now guided. They are no longer going to grope in ignorance, circling around and will no longer be coming back and forth.
3. There is now awareness how to avail and quality standards how these would be delivered are declared.
4. The influx of business establishment and enterprises as a result of government improvement program indicate program effectiveness. The business friendly city award has created impression there is no red tape and that the services are predictable in the city. This is important to businessmen. Interviewee expressed: "More businessmen we get because we have a more business-friendly environment".
5. The citizen's charter is now being used by ordinary people. It's now in the consciousness of Naguenos that basic services are provided by city government. The city government is effective in their service delivery because more employees now recognize their responsibility, they decide by themselves on matters within their function, no matter how limited.

**Box 11: What Office Head Says About What Else Can be Done to Further Improve Service Delivery in Naga City: "awareness program"**

*It should be more participatory - solicit participation from greater constituents. It should be two way communications to public even if we have done consultations before. Here we need orientation for them to know how to avail the services. Even if the citizen's charter book is already there... but if not read. There has to be an awareness program".*

*- Mr. Alexander Cayetano  
Local Civil Registrar*

The following are insights of interviewees what can still be done to improve the service delivery in entire Naga City:

- Penetration of the ultimate clients of the city. By design it's suppose to reach all households. But resources are also constrained to make copies available to all.
- Actualize the continuous improvement. There has to be formal evaluation. It should recommend how it can be improved.
- Intensify information dissemination as far citizen's charter is concerned. Awareness Campaign on Naga City Citizen's Charter. Empower the people more, give them bigger /wider reservoir of info they should learn about local governance. Otherwise, if people don't absorb their rights and don't demand, it's going to be wasted. Inputs from people are valuable. Suggestions can be discussed.
- Handy booklet (part by part) for easier reading. Put in newsprint, and divided into categories (to address resource constraints). At least the top 50 services for the business sector.
- Translation into a local dialect – in Bicol for grassroots to know.
- Needs a functional redress mechanism.
- Feedback mechanism can be improved. Monitoring of feedback.
- Address the comfort dimension.
- It should be participatory, solicit participation of constituents. It should be two way communication to public. Even if we have consultations before. Here we need orientation for them to know how to avail the services. Even if CC book is already there but not read. There has to be awareness program.
- To be accountable as a whole can still be improved. This needs to be cultivated and deepened. That my accountability does not end within the confines of my own office. I should be accountable for the whole service delivery of my city government. Everyone should be guided to do their job well.

Appended in **Annex F** is Client's Suggestions to Improve Public Service Delivery and in **Annex G** is Staff's Suggestions How the Office Can Better Deliver Services.

**Box 12: What an Office Head Says About Maintaining the Naga City Citizen's Charter:  
"difficult not to continue"**

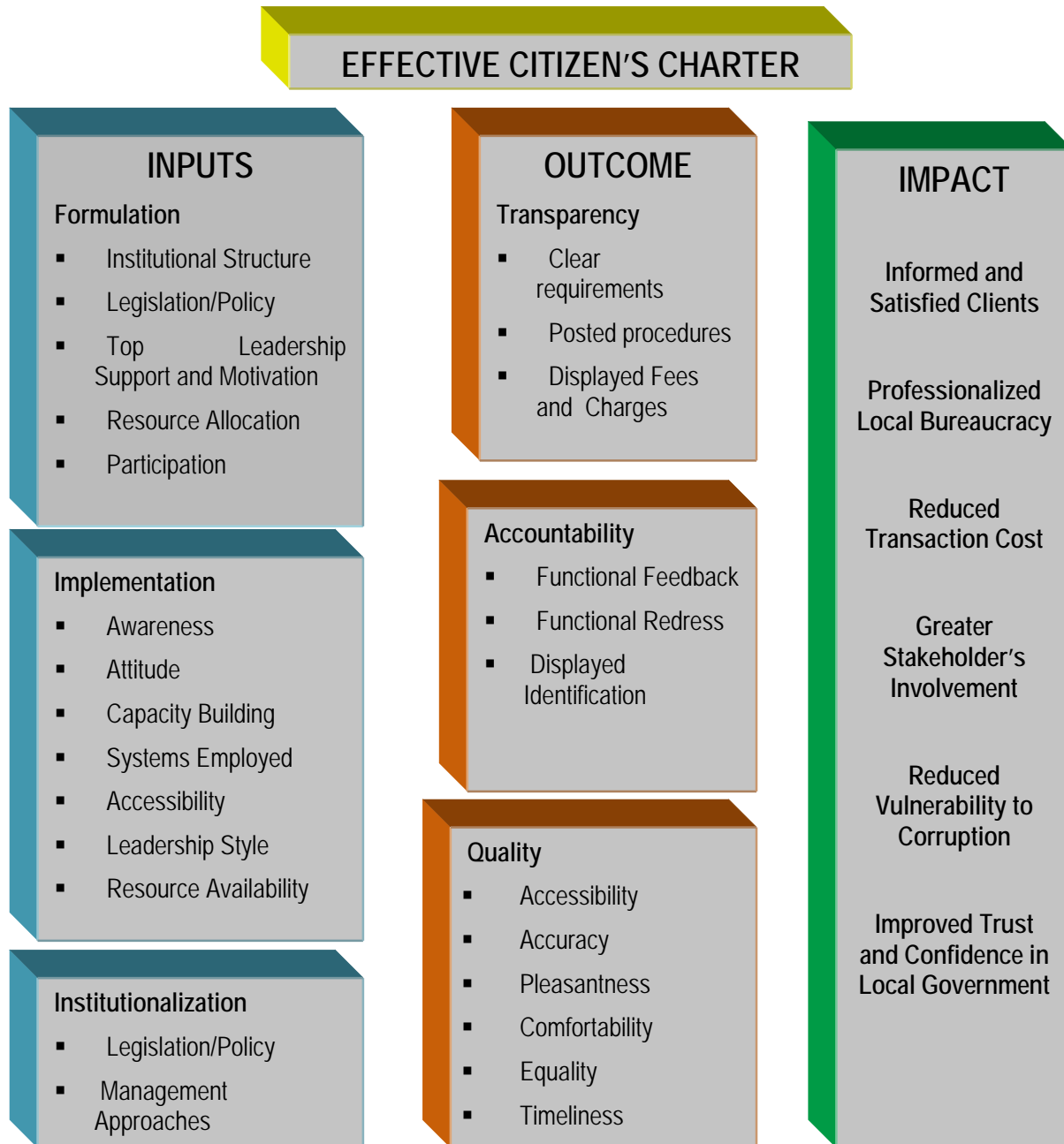
*"Whatever we have gained and started will all go to waste. It defeats the notion that this is a living document. It would not be consistent with ordinance that meticulously requires updating in three years. The next administration (leadership) is entitled but would run counter to the law (ARTA) which is national in scope and power. There is always that opportunity of a more friendly administration to come in. But the people who benefited... it would be difficult to run counter the momentum. Supposing there are no laws. There is still the pride of the people. There is clear instance that Naga trailblazed these things, so it would be difficult not to continue."*

*– Mr. Wilfredo Prilles  
City Planning and Development Coordinator*

### **4.3 Summary of Findings and Analysis**

The above findings show the extent and scope of the possible factors that are associated, intervening, related in the formulation and implementation and to a great extent the successful institutionalization of a citizen's charter. Figure 8 below captures the building blocks of an Effective Citizens' Charter as evidenced by the case of citizen's charter implementation in Naga City. In the formulation of the citizen's charter the research has explored the input variables such as institutional structure, legislation/policy, top leadership support and motivation, resource allocation, and participation. In the implementation of the charter it has identified awareness and attitude of frontline staff; the capacity building; systems employed particularly rewards and punishment imposed; the accessibility and awareness of the public; top and supervisory leadership style; and resource availability. In the institutionalization it has looked into policy presence as important consideration and the presence of monitoring and evaluation mechanisms. It has investigated the elements that point to the attainment of outcome variables such as transparency, accountability and quality of services delivered by the Naga City Government. Given these inputs and corresponding outcomes, the citizen's charter is believed to be making an impact manifested in the following state or circumstances: informed and satisfied clients, professionalized local bureaucracy, reduced transaction cost, greater stakeholder's involvement, reduced vulnerability to corruption, and improved trust and confidence in local government. A wealth of important considerations is drawn and further discussed in the succeeding and final section.

**Figure 8: Building Blocks of an Effective Citizen’s Charter**



## Conclusions and Recommendations

### 5.1 Summaries and Conclusions

For a city government such as Naga, the promises of good urban governance in the program called I-Governance where citizen's charter is an integral component is not waited upon but perseveringly harvested. The city's effort to make their processes transparent, their officials and staff accountable and their services and products of quality standards has bore fruits that it is being enjoyed by its citizens and hailed by others outside looking at Naga as a model local government. But a program such as citizen's charter as a *contract of accountability* (van Dijk 2006) is not stopping there. The city government bureaucracy together with the leader at the helm is bringing the charter to next term of implementation where all revisions and additions would be put to litmus test of client-centeredness. The city has chosen to maintain charter implementation using a *customer orientation approach* where *attention is paid to customers* (van Dijk 2006). The citizen's charter is thus, a *customer charter*. This in the midst of a national policy imposing uniform parameters mandated to be followed by all government agencies and departments, local governments included. Whereas before, the city is being watched vigilantly only by its people's vanguard such as the NCPC, now external agencies are also on the lookout.

The guidance citizen's charter provides to both providers and transacting public brings about a new service orientation and client consciousness. As a public sector reform program in this small city, it has unwittingly exemplified many of the principles of New Public Management (NPM) outlined by Andrisani, Hakim and Savas (2002): *Reverting to core functions* that is identifying them and assuming its responsibility; *Decentralizing and devolving authority* by pinpointing who are the responsible persons under the supervision of accountable head; *Restoring civil society* by means of involving them in the program critiquing; monitoring and advocacy; *Adopting market /business principles* through introduction of productivity improvement (performance management and enhancement) approaches such as 5S, 3Rs, service audit, productivity improvement circles and the like; *Satisfying citizens* by making adjustments to accommodate it, and *Holding government accountable* by subjecting the program to open feedback and suggestions and presenting itself as accountable service providers; *Empowering employees citizens and communities* by involving staff in the drafting of standards, capacitating and rewarding them for good performance and providing them access to information so that standards are learned and demanded; and *Introducing e-government and modern technology* such as TXTNaga, Text the Mayor, Community Forum, and NetServe.

This study may have been the first exhaustive rapid appraisal done on the extent of the citizen's charter influence on Naga City's service delivery function focusing on its effect on transparency, accountability and quality. Its overarching objective is exactly this, explore its influence. Evidences from the desk and field assessment confirm its perceived effects or influence on the outcome variables mentioned above.

Desk findings reveal both strengths and weaknesses of the Naga Charter based on three clusters of parameters: it's almost perfect (9/10) for Minimum Contents Criteria set by ARTA 2007, with only the of disclaimer type of notice to the public for circumstances

beyond the city government control is lacking in the book form of the charter; perfect score (7/7) for Grievance Redress Mechanism Criteria developed by Public Affairs Centre; and average score (6/11) Citizen Friendly Criteria developed by PAC, India. Salient points of which will be altogether covered by the summaries narrated in the succeeding paragraphs.

This section of the report answers the main questions posted in Chapter One. The research overall question is “To what extent did the citizen’s charter improve or enhance transparency, accountability and quality of service delivery in Naga City?” Answers are revealed one by one.

### **Strategies and Approaches Employed in the Formulation, Implementation and Institutionalization of Citizen’s Charter**

The formulation of the citizen’s charter is marked with factors essential for its jumpstart. As found in this research institutional structure; legislation/policy; top leadership support/motivation; and resource allocation are essential elements to propel a vision of improving public service delivery. The execution of the charter on the other hand is more challenging and complex if without the presence of an aware frontline staff, positive attitude of frontliners, skills and competence built thru adequate capacity building, functional punishment and rewards, available resources, output oriented leadership, access to greater variety of information mechanisms and the participation of stakeholders as validators and critiques.

It was found that the drafting of the charter came from the offices themselves hence ensuring that frontline personnel themselves are aware of the standards being set by their office and not just their heads and supervisors. It was also revealed that these drafted standards have been consulted with major organized sector groups which have generously provided inputs for the improvements of the processes then practiced. However, the consultation and involvement was limited to organized groups and have not been apparently extended to majority of their constituents. While practicality and convenience was the choice, this resulted, as the survey shows a limited knowledge of the existence of the “Naga City Citizen’s Charter” and the standards of service delivery set therein. The limited knowledge of the existence of citizen’s charter by its constituents also limits the possibility of the public enjoying the benefits it entails.

Challenges to formulating and implementing the citizen’s charter can come in different forms. Naga City encountered the following: haggling/bargaining on the reduction of time with different offices; change of accountable persons which necessitated updating of names declared in the charter not to mention whether or not to put: permanent person’s names or casual staff’s name; meeting deadlines of release; and the number of copies to be produced per target distribution; and the form issue: whether in booklet or book-form; handy or bulky?

The facilitating factors on the other hand as enjoyed by the city includes the following: the championing of the leader who provided directions; the external technical and financial assistance extended in QSEP and PSEP projects; the materials and forms used during the formulation which served as templates for drafting; the team work of competent staff who laboured in the consolidation, coordination and technical editing; the

I-Governance Ordinance which is the policy that institutionalized the charter; and sixth is the people's sense of demand which was the reason for charter and the present drive to sustain the initiative.

The adequacy and appropriateness of strategies and approaches used in formulation and implementation of the citizen's charter paved way for the city to inch closer to its vision of attaining good governance and people-centered development.

### **Openness and Accessibility of Information and Standards Set in the Citizen's Charter**

One critical measure of transparency in an organization is the accessibility of information. The findings reveal a variety of sources by which public can access information on the availability of city government services. Almost a third of the respondents surveyed accessed information thru service windows and frontline staff while only a few accessed information from the Naga City website and the Naga City Citizen's Charter publication. This seems to indicate two things: that the means by which both could be accessed is difficult to obtain; and that non-face to face mode of information availability is not fully exploited. If such were the case, then it requires that a more vigorous and purposive awareness program on citizen's charter be considered if the city government intends to spread awareness on the availability of means by which citizen's can access information on city governments services. The meantime, strengthening the main source of information - service window frontliners is an investment on the city that is worth the expenditure.

While it is true and commendable that the city has very well documented about 140 growth oriented or equity enhancing services from 28 offices contained in the Naga City Citizen's Charter publication there is a concern on the display of appropriate procedures and process flow within or outside the city hall offices. What was thought of as a procedures document embodied in the very well placed Performance Pledges is not completely true. A closer look at this innovative performance pledges would reveal a summary of procedures and not the detailed steps of the services the clients would go through. This is understandable because performance pledges are not designed to be procedures document because its intention is to declare who the accountable persons committing in the delivery of services at a particular completion time. What is deemed more appropriate and useful to display is the "*How to Avail the Service*" in the inside pages of Naga City Citizen's Charter. This appears to be more responding to the question of clients such as what are the next steps and how long would those take me. Treating the performance pledge as a commitment means it is more of an accountability measure than a transparency tool.

Corollary, the display of applicable fees and charges is a concern. While all these and its explanations are contained in the published guidebook i.e. Naga City Citizen's Charter and in the digital copy posted in the official local government website at NetServe, there is none visibly posted anywhere on the two offices covered by this research. The idea here is for clients to obtain information about fees and charges prior to being notified by the frontline staff. That way, clients are ready to transact with the office without necessarily being compromised with the frontline window if money is not enough. Not to

mention is the latent intent of posting and display is to eliminate or do away with 'unofficial and additional charges'.

It should be underscored however, that posting of applicable charges and fees was not included in the first edition of the city services charter. And as a proof of enhanced transparency such have been decided to be included starting August of 2004 when the second edition was released. Despite these posting concerns, a great majority of the client respondents finds the requirements understandable. This is assuring enough that the transacting public will be able to deal well with the frontliners in the windows of offices they are transacting with.

There is no doubt the city has successfully projected an openness to its transacting public and stakeholders yet accessibility of information to the set standards of service delivery particularly in the Naga City Citizen's Charter or its digital version in the web (NetServe) offers a tremendous potential to fully realize a more aware public and a more transparent local government. The impetus for the realization of empowered citizens - a community of aware and vigilant public comes from the available means and ways by which they can realize the same. The charter and its promises can be fully actualized if the mechanisms to propel it are available. Awareness and dissemination of the presence of I-governance program in general and the Naga City Citizen's Charter in particular to the greater public as the ultimate targets of the charter leaves much to be desired.

### **Accountability Mechanisms in Citizen's Charter**

The city government staff and officials are not always identifiable for not every time they wear their identification tags or IDs. The display of visible and readable names allows the clients to see and know who they are transacting with; and lets them "identify" the responsible personnel to deal with whether in front of the windows or in their respective tables. Confidence is built when clients know who exactly they are transacting with as they are more able to exact accountability.

The presence of complaints and feedback mechanisms they have so far installed seem to be working on a limited yet promising basis. The Text to Mayor offers the most convenient and fastest strategy to send the concern to the government. This is very laudable as this goes straight and direct to the attention of the city mayor. However, the tracking of received messages through this mode is a concern unlike TEXTNaga where it is received by a central server and recorded and the actions to the forwarded complaints are documented. The conventional feedback form mode is the least found functional method among all designed for very small if not nil were the number of people who have tried using this mode. There is also absence of suggestion box anywhere in the city hall premises where such a feedback form can be dropped at. The internet based Community Forum on the other hand is working well among those who have access to it. The absence of a fully functional electronic transaction in the city hall means that clients are transacting on a face to face basis. This reality should be capitalized by the city government in soliciting a direct feedback from transacting public.



While the city government provides for these feedback mechanisms, the charter as of yet does not incorporate a provision for compensation clause in its redress system which stipulates a payment to clients for delays in service. Such a provision potentially sends a very strong message to the public that the city government is serious in the delivery of their committed services. The concern to this very unconventional approach is to whom should the payment be charged: should it fall under the responsibility of the remised personnel or should it be shouldered by the concerned office? If so under what item it should be charged?

One big assurance of an institutionalized Naga City Citizen's Charter is the presence of a legislated policy that mandates its review and updating every after local election or assumption of new administration and a national law that mandates its establishment and sets penal provisions for violations of therein stated stipulations. This is further strengthened by the presence of functional feedback and complaints and redress mechanism.

### **Perception of the Quality of Services Rendered by the City Government**

Perception of the clients and office department heads more or less jive with each other and their differences are not significant. The numerical ratings and adjectival ratings from both reinforce each other but the supervisors have some qualifications to these. While both perceive the service information is generally accessible, especially that citizen's charter is available in the internet anytime anywhere there is still a concern to completely reach all household as envisioned. The estimated reach of citizen's charter distribution is just fifty percent and the other half is presumably unaware of the charter and therefore excluded from the potential benefits the charter offers. In terms of accuracy, department heads believe this is still imperfect noting the human error as a reality factor. Nonetheless, the city is open to rectification. Clients and heads perceive the city hall employees as generally pleasant (courteous, friendly and accommodating) but office heads qualify there might still be instances where it would not be the same all the time attributing it to personal circumstances. What is interesting to note is that despite the high rating of clients as to area comfortability, supervisors think this is an area of improvement for the city hall. Comparing self with other city government offices, some obvious physical barriers in transaction windows need to be removed and waiting areas need to be improved. Treatment is perceived to be same for all clients as claimed by supervisors/department heads. Timeliness which is deemed very important is the least rated among the dimensions looked at.

Among the pre-identified choices of personal expectations of the clients, the research reveals that citizen's prefer "fair treatment to clients" (equality) as the most, closely followed by "friendliness/greetings/courtesy to clients (pleasantness)". While among the open-ended responses from the clients 'speed or fast transaction' tops the rank. This means that if the city government wants to satisfy the expectations of the public and prioritize the actualization of quality standards, these three should not left behind as among the prime considerations.

Given overall and detailed positive perception of quality parameters covered by the study, it confirms that the rating on quality affects the overall satisfaction/approval rating of the public services as far as effectiveness of public service delivery in Naga City is concerned.

## **5.2 Recommendations**

The summaries and conclusions lay down above yield important implications for practical action and considerations. The results of desk review and field assessment clearly point to a need to explore additional innovative applications to sustain the gains of the institutionalization of the citizen's charter especially that it is embarking on its ninth year of implementation. The recommendations below are anchored on what Osborne and Plastrik (1997) call as "customer strategy for accountability to their customers".

### **5.2.1 City Government Process Transparency**

- Considering that client's primary source of critical information would be resources within the city hall primarily frontline staff/window staff: explore alternative means by which the transacting public within the city hall can access, read or browse through the Citizen's Charter publication. 1) Set up internet kiosk in the lobby hall or any place suited within the Main Building, which can be manned by one or two staff detailed in Information or Complaints Desk to monitor and assist clients who want browse through information about the city services; 2) Invigorate the functionality of the Naga City Citizen's Board by updating the information therein posted while ensuring that information posted can be actually touched and browsed through by the public. The internet kiosk, information desk and citizen's board can be placed in one conspicuous area preferably at the lobby where people normally enter; a new name may be thought of to perk up this info dissemination strategy; 3) Place a copy of the charter in all offices that can be read and browsed by transacting public; 4) Consider producing office charters in the form of folded brochures/booklet that can be handed over to every transacting public right before the start of the first step/or whenever a prospective client appears in the office to ask for information; such a copy need not be fancy as long as information contained are accurate, updated, and visibly written; 5) Simultaneously, the city can post the "How to Avail of the Service" including applicable charges and fees to guide transacting public either in notice boards or tarpaulins where it can be visibly read; and 6) Ensure that all frontliners including those manning the proposed info dissemination strategy above are more than well versed of the Naga City Citizen's Charter in general and specifically their office charter in particular, for they represent not just their respective offices but the whole city government.

### **5.2.2 City Government Output Accountability**

- Rethink the matching of function of identification card and that of salary dispensing card. Identification of responsible staff is basic information that transacting public needs to know hence, the city can invest on staff readable identification tags which should be worn all the time everywhere within the city hall premises and during official working hours. Names and their designations are recommended information the public will appreciate. Department heads and chiefs of offices may set the example for staff to follow.
- Consider devising ways to be able to track and monitor all complaints, suggestions and recommendations including actions and responses. Integrating all inputs from Text to Mayor, TEXT Naga, Community Forum, Feedback Form and

other conventional means to come up one “Naga City citizen’s charter feedback and action” repository is very ideal. Such an integration will produce one report that will allow the management committee to properly monitor its progress, and compliance to Ordinance 2002-063 and RA 9485 (ARTA) and decide on matters appropriately. Such can also be a basis for an external assessment of the charter. Running on the tenth year, ‘a decade of citizen’s charter implementation’ may be a good theme to evaluate its effectiveness as a program.

- Consider ways how the redress mechanism can be enhanced. The rewards and punishment system can have a little flavour if a compensation clause can be added to the charter and inform clients that there shall be due payment if the city office is not able to fulfil its promise of delivery at an appointed/declared time. Such mode is being practised in the municipalities in Andhra Pradesh in India where a compensation of Rs 50 per day of delay in service is provided for in the citizen’s charter. Such compensation is recovered from the salary of employee and properly implemented in over 100 local governments in the state of Andhra Pradesh (PAC, 2005). This approach sends a serious signal to both providers and clients that the city government is serious in its service delivery functions. One idea is to charge the compensation to the computed productivity incentive bonus of staff or to the office MOOE. Redress should be viewed as more than listening to client’s complaints or apologizing and correcting the mistake of the government.

### **5.2.3 City Government Service Quality**

- Explore means by which the city could alternatively deliver products to the clients: home delivery, office delivery of documents not secured on the first hour of transaction. While the findings only show about 37% willing to pay additional charges in order for their products to be delivered directly at their residences or offices, it is worth considering for services that would entail processing more than a day. This way the client has the option to either go back and wait for the product to be finished or have it received conveniently at home or office.
- Consider re-engineering the spaces of offices for ease of movement of transacting public. This, while the city is not yet contemplating on single window transaction. Window labels should be ensured following the process flow/steps in the citizen’s charter. The meantime, palliative measures can be instituted to make the areas of transaction especially outside offices be more comfortable for transacting public.
- In order to cultivate more the spirit of excellent public service the city government may consider ways of internally motivating offices to render their best services by recognizing offices that have more than adequately met standards set forth in the Naga City Citizen’s Charter. This is similar to the ‘charter mark’ stamped on well-performing central department/ agencies in the UK which may help prop up the institutionalization of the program.
- A long term recommendation is to harness more the opportunities of information technology (IT). The text message relay, community forum, downloadable forms in the city website are good starting points. As shared by some interviewees, the city can explore partnership with a qualified cellular phone provider and upload charter so that transacting public can access and receive salient provisions of the charter directly to their mobile phones. The idea to copy furnish the NCPC of all

complaints/suggestions being received by texts to Mayor or Txt Naga is also promising approach for a more accountable government. Electronic transactions such as those introduced in some central agencies may serve as local benchmarks for city service continuous improvement. The possibilities of a fully e-government approach may be just around the corner and not very far.

One final underscoring boils to the nature of citizen's charter as a 'contract' between two parties – the government and the public. The success of any undertaking lies in the concerted effort of two parties desiring to obtain a common goal. For the citizen's charter to work best, there is an underscoring that the city government should also emphasize that while citizens have every right to receive quality services as expressly granted in the Philippine Constitution such as "right to information on matter of public concern; right to access official records, papers and documents pertaining to government actions and decisions; right to petition the government for redress of grievances", citizens have the equal duty and responsibility to its government and its country. Citizens in most cases are also expected to exemplify behaviours supportive of the society's rules and norms: paying correct taxes, voting conscientiously, obeying rules and regulations, rendering voluntary services and the like. For citizen's charter to succeed, citizens shall also need to: study and understand the contents of the charter; transact with complete requirements in hand; pay appropriate fees and charges; treat service providers as equal; report suspicious and malicious government undertaking; provide feedback and suggestions with service improvement in mind; and demand action and redress whenever the situation calls for.

In the City of Naga, the Citizen's Charter has proven itself as an instrument to propagate and instil the values of accountability, transparency, quality and effectiveness in running the affairs of the local government and in implementing a public service reform program. As a purposeful initiative it consisted of deliberate changes to the processes of a public sector organization to reform and "get them to run better" (Pollitt and Bouckaert 2004). This is a major step towards a continuous improvement direction. It is not perfect public service improvement program but what is so notable about is not only the recognitions and citations it has received that gives pride to the local bureaucracy and its people but also the growing involvement of the citizen's in working together with the city to make this initiative sustainable. Citizen's Charter implementation may indeed be exemplifying city governance in action.

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## Annexes

KII Number: \_\_\_\_\_

Category: \_\_\_\_\_

### Annex A: Interview Guide for the Head of LCR and BPLD and Head of the CC Task Force and other Officials

I would like to thank you for your willingness to spare time and your valuable insights to this interview. It aims to obtain information about the formulation and implementation of citizen's charter in your city. This research is part of the requirements to finish my MSc in Urban Management and Development at the Institute of Housing and Urban Development Studies at the Erasmus University Rotterdam, The Netherlands. Please be assured that your responses will be used only for academic purposes and shall form part of the case study for Naga City. *Muli po, maraming salamat.*

Alvin P. Principe (Student-Researcher)

#### Respondent's Profile

Name:	Sex: 1.) Male _____ 2.) Female _____
Position/Designation:	
Length of service in current position:	
Length of service in City Hall:	
Length of stay in the city/barangay:	City: ____ Barangay: ____ Not resident of the city _____

#### Policy Formulation and Institutionalization of Citizen's Charter

1. Are there specific standards set for the delivery of services within your office? Could you share these specific standards?
2. How did this come about? What were the processes you went through in coming up with it?
3. Who were involved in the formulation? How long did it take to formulate the office charter?
4. What were the facilitating factors that led to its formulation?
5. What were the challenges/obstacles encountered?

Input Variables Questions	Legislation/Policy <i>Obtain copy of the Executive Order/Ordinance (if any)</i>
<ol style="list-style-type: none"> <li>1. Was there any issuance from the Mayor about the formulation of office citizen's charter?</li> <li>2. When issued and what does this contain?</li> <li>3. What is the objective behind it?</li> <li>4. Was there any ordinance issued the City Council to institutionalize the gains brought about by Naga City Citizen's Charter?</li> <li>5. When was this issued and what does this contain?</li> <li>6. What was the vision behind it?</li> </ol>	
Input Variables Questions	Structure <i>Obtain a copy of the task force structure and members (if any)</i>
<ol style="list-style-type: none"> <li>1. Was there any group/committee formed to spearhead a citywide formulation of citizen's charter?</li> </ol>	



2. Who composed the members of the group/committee/task force? 3. What were their tasks and functions?	
Input Variables Questions	Top Leadership Support <i>Obtain possible documents/pics of activities of CC (if any)</i>
1. Was there verbal or written pronouncements from the Mayor/ Vice Mayor that motivated task force/committee? 2. Was there conscious effort on the part of the Mayor/Vice Mayor to be part or be physically present during the activities of the Citizen's Charter?	
Input Variables Questions	Resource Allocation <i>Obtain a copy of financial allocation/budget/or any proof of financial undertaking (if any)</i>
1. How were the activities of the task force/committee sustained? 2. Were there financial allocations set by the city government and funded by the Budget Office? 3. Were there resources from outside? From the private sector? From the civil society?	
Input Variables Questions	Management Approaches <i>Obtain any document on ME Approach/ Evaluation Report (if any)</i>
1. Were there Monitoring and Evaluation mechanisms installed for the Citizen's Charter Program? (eg. tools/instruments developed) 2. How functional were these mechanisms? (regularity of mechanisms) 3. How were the results used during the institutionalization of citizen's charter? 4. Is the evaluation results interrelated (dovetailed) with Performance Appraisal of the HR?	
Input Variables Questions	Complementary systems instituted <i>Obtain any document as proof of systems instituted (if any)</i>
1. Were there feedback mechanism/system instituted to facilitate exchange of communication between and among stakeholders? 2. How many feedbacks were received? 3. Was there a complaints mechanism/system instituted for clients to file complaints? 4. How many complaints were answered and responded? 5. Was there a redress mechanism/system instituted for clients to expect as a result of complaints or own system correction in order to obtain correction/remedy as may be required? 6. How many have been given redress?	

6. What were the gains/impacts of institutionalizing citizen's charter in Naga City?

Dependent Variables	Questions
Transparency  <i>Is there any proof of improved transparency</i>	<ol style="list-style-type: none"> <li>1. Were all the requirements for the service clearly defined?</li> <li>2. Were the procedures/ process flow (or steps) posted or advertised?</li> <li>3. Were all fees and charges clearly displayed or specified in the Charter?</li> </ol> <ul style="list-style-type: none"> <li>▪ If you are to rate the services/products delivery by Naga City Government in terms of TRANSPARENCY <u>before 2001</u> in a scale of 1-5 where 1 is the lowest</li> </ul>

<p><i>in public service delivery from before 2001 and now?</i></p>	<p>and 5 the highest, what would be your rating?</p> <table border="0" style="width: 100%; text-align: center;"> <tr> <td>1</td> <td>2</td> <td>3</td> <td>4</td> <td>5</td> </tr> <tr> <td>Very Disappointing</td> <td>Disappointing</td> <td>Average</td> <td>Good</td> <td>Very Good</td> </tr> <tr> <td>Very Un-transparent</td> <td>Un-transparent</td> <td>Average</td> <td>Transparent</td> <td>Very Transparent</td> </tr> </table> <ul style="list-style-type: none"> <li>▪ <u>At present</u>, if you are to rate the services/products delivery by Naga City Government in terms of TRANSPARENCY in a scale of 1-5 where 1 is the lowest and 5 the highest, what would be your rating?</li> </ul> <table border="0" style="width: 100%; text-align: center;"> <tr> <td>1</td> <td>2</td> <td>3</td> <td>4</td> <td>5</td> </tr> <tr> <td>Very Disappointing</td> <td>Disappointing</td> <td>Average</td> <td>Good</td> <td>Very Good</td> </tr> <tr> <td>Very Un-transparent</td> <td>Un-transparent</td> <td>Average</td> <td>Transparent</td> <td>Very Transparent</td> </tr> </table>	1	2	3	4	5	Very Disappointing	Disappointing	Average	Good	Very Good	Very Un-transparent	Un-transparent	Average	Transparent	Very Transparent	1	2	3	4	5	Very Disappointing	Disappointing	Average	Good	Very Good	Very Un-transparent	Un-transparent	Average	Transparent	Very Transparent
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Very Disappointing	Disappointing	Average	Good	Very Good																											
Very Low Quality	Low Quality	Average	High Quality	Very High Quality																											

	would be your rating?				
	1	2	3	4	5
	Very Disappointing Very Low Quality	Disappointing Low Quality	Average Average	Good High Quality	Very Good Very High Quality

7. How else do you think your office can better deliver/accomplish its products or services?

Recalling the services of your office before the formulation of Naga Citizen's Charter (2001), what would be your rating of the effectiveness of public services then (where 1 is the lowest and 5 the highest)?

1	2	3	4	5
Very Disappointing Very Ineffective	Disappointing Ineffective	Average Average	Good Effective	Very Good Very Effective

At present, if you are to rate the EFFECTIVENESS of services/products of your office in a scale of 1-5 where 1 is the lowest and 5 the highest, what would be your rating?

1	2	3	4	5
Very Disappointing Very Ineffective	Disappointing Ineffective	Average Average	Good Effective	Very Good Very Effective

8. Do you think that Citizen's Charter in Naga was effective? Why?

Recalling the services of the City Hall before the formulation of Naga Citizen's Charter (2001), what would be your rating of the EFFECTIVENESS of public services then (where 1 is the lowest and 5 the highest)?

1	2	3	4	5
Very Disappointing Very Ineffective	Disappointing Ineffective	Average Average	Good Effective	Very Good Very Effective

At present, if you are to rate the EFFECTIVENESS of services/products of the City Hall in a scale of 1-5 where 1 is the lowest and 5 the highest, what would be your rating?

1	2	3	4	5
Very Disappointing Very Ineffective	Disappointing Ineffective	Average Average	Good Effective	Very Good Very Effective

9. What do you personally think can still be done to improve the service delivery in entire Naga City?
10. Do you agree of maintaining a citizen's charter for Naga City? Why?
11. Is there anything more you would like to add/say?

Thank you very much for your valuable time.
---

Date: \_\_\_\_\_  
 Time: \_\_\_\_\_

KII Number: \_\_\_\_\_  
 Category: \_\_\_\_\_

### **Annex B: Interview Guide for the Mayor**

I would like to thank you for your willingness to spare time and your valuable insights to this Interview. It aims to obtain information about the formulation and institutionalization of citizen's charter in your city. This research is part of the requirements to finish my MSc in Urban Management and Development at the Institute of Housing and Urban Development Studies at the Erasmus University in Rotterdam, The Netherlands. Please be assured that your responses will be used only for academic purposes and shall form part of the case study for Naga City.  
*Muli po, maraming salamat.*

**Alvin P. Principe**  
 (Student-Researcher)

#### **Policy Generation and Formulation and Institutionalization of Citizen's Charter**

1. What is the vision/objective (inspiration) behind the Naga City Citizen's Charter?
2. How important to you is Naga City Citizen's Charter? How do you treat this type of tool for public service delivery?
3. What do you perceive as the gains or impact of citizen's charter for the city?
4. Is there any proof of improved transparency in public service delivery?
5. Is there confirmation of enhanced accountability among frontliners and office heads/supervisors in public service delivery?
6. Is there evidence of quality in public service delivery?
7. Do you think that Citizen's Charter in Naga City was effective? Why?
8. Recalling the services of the City Hall before the formulation of Naga City Citizen's Charter (2001), what would be your rating of the EFFECTIVENESS of public services then (where 1 is the lowest and 5 the highest)?

1	2	3	4	5
Very Disappointing Very Ineffective	Disappointing Ineffective	Average Average	Good Effective	Very Good Very Effective

9. At present, if you are to rate the EFFECTIVENESS of services/products of the City Hall in a scale
10. of 1-5 where 1 is the lowest and 5 the highest, what would be your rating?

1	2	3	4	5
Very Disappointing Very Ineffective	Disappointing Ineffective	Average Average	Good Effective	Very Good Very Effective

11. What are the plans of the city to further improve public service delivery in entire Naga City? How else can Naga City Citizen's Charter be enhanced?
12. Years before the enactment of Republic Act 9485 in 2007, "An Act to Improve Efficiency in the Delivery of Government Service to The Public by Reducing Bureaucratic Red Tape, Preventing Graft and Corruption, and Providing Penalties Therefor" (that

mandates all government offices and local government units providing frontline services to develop their respective service standards to be known as Citizen's Charter) Naga City has already formulated and instituted its own citizen's charter, what do you think of this law and its importance to the country? Is this effort replicable?

Do you consider the Citizen's Charter as one of your legacies?

Thank you very much for your valuable time.

Date: \_\_\_\_\_

Time: \_\_\_\_\_

KII Number: \_\_\_\_\_

Category: \_\_\_\_\_

### Annex C: Interview Guide for MNNCI and NCPC

I would like to thank you for your willingness to spare time and your valuable insights to this interview. It aims to obtain information about the formulation and institutionalization of citizen's charter in your city. This research is part of the requirements to finish my MSc in Urban Management and Development at the Institute of Housing and Urban Development Studies at the Erasmus University in Rotterdam, The Netherlands. There are no incorrect answers to personal insights and perceptions. Please be assured that your responses will be used for academic purposes only and shall form part of the case study for Naga City. *Muli po, maraming salamat.*

Alvin P. Principe  
(Student-Researcher)

#### Respondent's Profile

Name:	Sex: 1.) Male _____ 2.) Female _____
Age:	
Current Position:	
Institution:	
Length of service in the institution:	
Length of stay in the city/barangay:	City: _____ Barangay: _____

#### Formulation and Institutionalization of Naga City Citizen's Charter

1. Are you aware of the Naga City Citizen's Charter?
2. Have you received a copy and read the material?
3. How did you obtain/learn about it? (probe source of information access)
4. What do you think about the Naga City Citizen's Charter? What do you think are its objective/s?
5. Have you or your organization/institution been requested to participate in the formulation of the charter, more particularly in setting standards? (If yes, probe the role played, support provided, level of interest and participation)
6. Have you or your organization been invited to attend a forum or orientation about citizen's charter? (If yes, probe the content, impressions, comments, level of interest and participation)
7. Would you know of any city government activity conducted (esp. those pertaining to citizen's charter) that was meant to share or inform what the city is doing for the improvement of service delivery?
8. Do you think that your institution/organization should have been informed/ consulted/ involved in the formulation of Naga City Citizen's Charter? Why?
9. What do you think were the gains/impact of institutionalizing citizen's charter in Naga City?

Transparency

*Is there any*

- Were all the requirements for the service clearly defined?
- Were the procedures/ process flow (or steps) posted or advertised? Were all fees and charges clearly displayed or specified in the Charter?

<p><i>proof of improved transparency in public service delivery from before 2001 and now?</i></p>	<ul style="list-style-type: none"> <li>If you are to rate the services/products delivery by Naga City Government in terms of TRANSPARENCY <u>before 2001</u> in a scale of 1-5 where 1 is the lowest and 5 the highest, what would be your rating?</li> </ul> <table style="width: 100%; text-align: center;"> <tr> <td>1</td> <td>2</td> <td>3</td> <td>4</td> <td>5</td> </tr> <tr> <td>Very Disappointing</td> <td>Disappointing</td> <td>Average</td> <td>Good</td> <td>Very Good</td> </tr> <tr> <td>Very Un-transparent</td> <td>Un-transparent</td> <td>Average</td> <td>Transparent</td> <td>Very Transparent</td> </tr> </table> <ul style="list-style-type: none"> <li><u>At present</u>, if you are to rate the services/products delivery by Naga City Government in terms of TRANSPARENCY in a scale of 1-5 where 1 is the lowest and 5 the highest, what would be your rating?</li> </ul> <table style="width: 100%; text-align: center;"> <tr> <td>1</td> <td>2</td> <td>3</td> <td>4</td> <td>5</td> </tr> <tr> <td>Very Disappointing</td> <td>Disappointing</td> <td>Average</td> <td>Good</td> <td>Very Good</td> </tr> <tr> <td>Very Un-transparent</td> <td>Un-transparent</td> <td>Average</td> <td>Transparent</td> <td>Very Transparent</td> </tr> </table>	1	2	3	4	5	Very Disappointing	Disappointing	Average	Good	Very Good	Very Un-transparent	Un-transparent	Average	Transparent	Very Transparent	1	2	3	4	5	Very Disappointing	Disappointing	Average	Good	Very Good	Very Un-transparent	Un-transparent	Average	Transparent	Very Transparent
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<p><b>Accountability</b></p> <p><i>Is there confirmation of enhanced accountability among frontliners and office heads/supervisors in public service delivery from before 2003 and now?</i></p>	<ul style="list-style-type: none"> <li>Do personnel wear identification card?</li> <li>Was there a complaint mechanism for unsatisfactory services/products?</li> <li>Was there a feedback mechanism to express appreciation/commendation for satisfactory delivery of services and products?</li> <li>Were there tools or mechanisms to monitor and evaluate the CC initiative?</li> <li>If you are to rate the services/products delivery by Naga City Government in terms of ACCOUNTABILITY <u>before 2001</u> in a scale of 1-5 where 1 is the lowest and 5 the highest, what would be your rating?</li> </ul> <table style="width: 100%; text-align: center;"> <tr> <td>1</td> <td>2</td> <td>3</td> <td>4</td> <td>5</td> </tr> <tr> <td>Very Disappointing</td> <td>Disappointing</td> <td>Average</td> <td>Good</td> <td>Very Good</td> </tr> <tr> <td>Very Un-accountable</td> <td>Un-accountable</td> <td>Average</td> <td>Accountable</td> <td>Very Accountable</td> </tr> </table> <ul style="list-style-type: none"> <li><u>At present</u>, if you are to rate the services/products delivery by Naga City Government in terms of ACCOUNTABILITY in a scale of 1-5 where 1 is the lowest and 5 the highest, what would be your rating?</li> </ul> <table style="width: 100%; text-align: center;"> <tr> <td>1</td> <td>2</td> <td>3</td> <td>4</td> <td>5</td> </tr> <tr> <td>Very Disappointing</td> <td>Disappointing</td> <td>Average</td> <td>Good</td> <td>Very Good</td> </tr> <tr> <td>Very Un-accountable</td> <td>Un-accountable</td> <td>Average</td> <td>Accountable</td> <td>Very Accountable</td> </tr> </table>	1	2	3	4	5	Very Disappointing	Disappointing	Average	Good	Very Good	Very Un-accountable	Un-accountable	Average	Accountable	Very Accountable	1	2	3	4	5	Very Disappointing	Disappointing	Average	Good	Very Good	Very Un-accountable	Un-accountable	Average	Accountable	Very Accountable
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<p><b>Quality</b></p> <p><i>Is there evidence of increased quality in public service delivery from before 2001 and now?</i></p>	<ul style="list-style-type: none"> <li>Accessibility: Was information to access the service readily available?</li> <li>Accuracy: Were the outputs of services correct and accurate?</li> <li>Pleasantness: Is the public servant courteous, friendly and accommodating?</li> <li>Area Comfortability: Was there a decent and comfortable waiting area?</li> <li>Equality: Was the treatment the same for all types of clients?</li> <li>Timeliness: Was the standard processing time for the service followed?</li> <li>If you are to rate the services/products of Naga City Government <u>before 2001</u> in terms of QUALITY in a scale of 1-5 where 1 is the lowest and 5 the highest, what would be your rating?</li> </ul> <table style="width: 100%; text-align: center;"> <tr> <td>1</td> <td>2</td> <td>3</td> <td>4</td> <td>5</td> </tr> <tr> <td>Very Disappointing</td> <td>Disappointing</td> <td>Average</td> <td>Good</td> <td>Very Good</td> </tr> <tr> <td>Very Low Quality</td> <td>Low Quality</td> <td>Average</td> <td>High Quality</td> <td>Very High Quality</td> </tr> </table>	1	2	3	4	5	Very Disappointing	Disappointing	Average	Good	Very Good	Very Low Quality	Low Quality	Average	High Quality	Very High Quality															
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1	2	3	4	5							
Very Disappointing Very Low Quality	Disappointing Low Quality	Average Average	Good High Quality	Very Good Very High Quality							

10. Do you think that Citizen's Charter in Naga was effective? Why?

11. If you are to rate the EFFECTIVENESS of services/products of Naga City Government before 2001 in a scale of 1-5 where 1 is the lowest and 5 is the highest, what would be your rating?

1	2	3	4	5
Very Disappointing Very Ineffective	Disappointing Ineffective	Average Average	Good Effective	Very Good Very Effective

12. At present, if you are to rate the EFFECTIVENESS of services/products of Naga City Government in a scale of 1-5 where 1 is the lowest and 5 is the highest, what would be your rating?

1	2	3	4	5
Very Disappointing Very Ineffective	Disappointing Ineffective	Average Average	Good Effective	Very Good Very Effective

13. What do you personally think can still be done to improve the public service delivery of the City Hall in Naga City?

14. Do you agree of maintaining a citizen's charter for Naga City? Why?

15. Is there anything more you would like to add/say?

Thank you very much for your valuable time.



Date: \_\_\_\_\_

Time: \_\_\_\_\_

OSQ Number \_\_\_\_\_

Remarks \_\_\_\_\_

### Annex D: Frontline Office Survey Questionnaire

I would like to thank you for your willingness to spare time and answer this questionnaire that is specially meant for your office. This aims to obtain information about the implementation of citizen's charter in your city. This research is part of the requirements to finish my MSc in Urban Management and Development at the Institute of Housing and Urban Development Studies at the Erasmus University in Rotterdam, The Netherlands. Please be assured that your responses will be used only for academic purposes and shall form part of the case study for Naga City. *Muli po, maraming salamat.*

**Alvin P. Principe**  
(Student-Researcher)

**Instructions:** Please put check mark on blank spaces and write legibly on the spaces provided. Do not leave any item unanswered. You may use the side spaces if it's needed. Kindly hand-over accomplished questionnaire to \_\_\_\_\_ and please accept my simple token. Should you have comment/s please send at [alvin\\_principe@yahoo.com](mailto:alvin_principe@yahoo.com). Thank you very much for your valuable time.

#### 1. Respondent's Profile

Sex:	1.) Male _____ 2.) Female _____
Age:	_____
Official Designation in Office:	_____
Length of Service in the Office:	Years _____ Months _____
Highest Educational Attainment:	a.) High School Graduate _____ b.) College undergraduate _____ c.) College Graduate (Bachelors' Degree) _____ d.) Post College (Masters) _____ e.) Others _____

#### B. Knowledge/Awareness of Staff on Office Citizen's Charter

1. What are the office services or products you provide/deliver to your clients/customers?	_____ _____ _____
2. Are you involved in the delivery of ALL services you mentioned in Q1?	No, only for selected services/products _____ Yes, I am involved in ALL services _____
3. Are there official procedures (steps) that you refer to/follow in accomplishing your part to the products/services you mentioned?	No, there are no official procedures (steps) _____ Yes, there are official procedures (steps) _____
4. Are you the only one accountable to accomplish the particular step/part in the service?	No, there is another one in the office who is also assigned to fulfill that particular step/task _____ Yes, I am the only one in charge of accomplishing that particular step/task _____

	Please indicate your part/task to at least one office product/service:
5. What standards (time, work quality, etc.) are expected of you in accomplishing your part/task in the service?  <i>(Check and identify as many as appropriate)</i>	1) Time to accomplish my part _____ 2) Accuracy/No mistake/ No repeat work _____ 3) Fair treatment to all clients _____ 4) Friendliness/ greeting/ courtesy to clients _____ 5) On time reporting to duty _____ 6) On time departure after duty _____ 7) Extra help/assistance _____ 8) Extended service hours _____ 9) Wearing of own ID _____ 10) Others (please specify)
6. Are there requirements that clients/customers need to submit before or during the steps in accomplishing the products/services?	No, there is/ are no requirement/s  Yes, there is/are _____  Cite one requirement for at least one office product/service:
7. Are there fees/charges that clients need to pay first? And how much?	No, there is no fee required _____  Yes, there is a fee/charge _____ How much?  Give an example: Product 1: _____ Fee: _____
8. Who in particular receives payment for the services/products accomplished?	
9. Are you aware of "Naga City Citizen's Charter"?	No, I have not heard about it (ever) _____  Yes, I know that our office is part of it _____
10. How long does it take for the client/customer to receive/obtain the products/services you mentioned in Q1?	Please specify:  Product 1 _____ Time: _____  Product2 _____ Time: _____

**C. Attitude of Staff (please read carefully)**

11. <i>"I believe that my service to our clients is a valuable contribution to the overall city public service".</i>
Strongly Disagree___ Disagree___ Agree ___ Strongly Agree___ Neither Agree nor Disagree___
12. <i>"I don't care if I am not able to finish/accomplish my part of the office work".</i>
Strongly Disagree___ Disagree___ Agree ___ Strongly Agree___ Neither Agree nor Disagree___

13. "I am generally enthusiastic to come to office and do my part of the work".
Strongly Disagree___ Disagree___ Agree ___ Strongly Agree___ Neither Agree nor Disagree ___
14. "I simply have no choice, I report to office and fulfill my part because I am obliged to".
Strongly Disagree___ Disagree___ Agree ___ Strongly Agree___ Neither Agree nor Disagree ___
15. "I am motivated to work if I see my officemates conscientiously working".
Strongly Disagree___ Disagree___ Agree ___ Strongly Agree___ Neither Agree nor Disagree ___

**D. Capacity Building**

16. Have you attended any orientation or training on citizen's charter?	No, never _____ (please proceed to Q18) Yes, I have attended _____
17. Have you gained knowledge or skills in attending the said orientation or training that you practice now?	No, (ineffective orientation/training) _____ Yes, (effective orientation training) _____
18. Relevant to your office works, particularly to your task, what kind of training/ orientation do you think you would attend and learn from?	Please specify:

**E. Systems Employed**

19. If you commit mistake in your part of the work (based on standards mentioned in Q5), do you get punished/sanctioned from office?	No _____ Yes _____ (please specify what you consider as punishment eg. reprimand, salary/bonus deduction, etc. )
20. If you have done your work well within or above the standards (mentioned in Q5), do you get rewarded from office?	No _____ Yes _____(please specify what you consider as reward. eg performance bonus, letter of commendation, etc.) _____
21. Is there an official procedure you follow when dissatisfied customers/clients complain about the office service/product?	No, there is none _____ Yes, there is official procedure _____ Please specify procedure:
22. What types of complaints have you or your office received from your clients? <i>Please share as many as you can.</i>	_____ _____ _____

**F. Accessibility**

23. What are the means by which your office disseminates information about the	a) Brochure/leaflet _____ b) Part of the Naga City Citizen's Charter/publication ____ c) Tarpaulin/Notice Board/Poster placed outside the office_____
--	---

services/products you have? <i>Check or identify as many as you know</i>	d) Posted in Naga City Website _____ e) Advertised in radio/tv/journal _____ f) Others (pls. specify) _____
24. How else do you personally think how your office services/ products can be disseminated to the public?	_____ _____ _____

**G. Resource Availability**

25. Personally, what do you think are the reasons why you would not be able to meet the standards (mentioned in Q5) set in your office procedures?	_____ _____ _____
26. Are your office supplies and equipment (resources) sufficient for you to deliver/ accomplish your part/task of the office product or service as per required standard?	Yes, all the time _____  No. We/I need _____

**H. Leadership Style**

26. "I believe our <u>office</u> can deliver/accomplish better products/services if our Department/Office Head/Supervisor is <b>more</b> output/performance oriented".	
Strongly Disagree___ Disagree___ Agree ___ Strongly Agree___ Neither Agree nor Disagree___	
27. "I believe our <u>city government</u> can deliver/accomplish better products/services if our Mayor is <b>less</b> output/performance oriented".	
Strongly Disagree___ Disagree___ Agree ___ Strongly Agree___ Neither Agree nor Disagree___	

**I. Personal Opinion**

29. How else do you think your <u>personal</u> performance can improve?	_____ _____
30. How else do you think your <u>office</u> can better deliver/accomplish its products or services?	_____ _____
31. Do you agree of maintaining an office citizen's charter? Why?	_____ _____

Thank you very much for your valuable time.

Date: \_\_\_\_\_  
 Time: \_\_\_\_\_

CQ Number \_\_\_\_\_  
 Remarks \_\_\_\_\_

**Annex E: Client Questionnaire**

I would like to thank you for your willingness to spare time and answer this questionnaire. This aims to obtain information about the implementation of citizen's charter in your city. This research is part of the requirements to finish my MSc in Urban Management and Development at the Institute of Housing and Urban Development Studies at the Erasmus University in Rotterdam, The Netherlands. There is no right or wrong answer as this pertains to your insights and opinions. Please be assured that your responses will be used only for academic purposes and shall form part of the case study for Naga City.

**Alvin P. Principe**  
 (Student-Researcher)

**Instructions:** Please put check mark ( ) on blank spaces and write legibly on the spaces provided. Do not leave any item unanswered. You may use the side spaces if it's needed. Should you have comment/s please send at email address: *alvin\_principe@yahoo.com*. *Thank you very much.*

Have you or any member of your household applied/availed product or service from any of the City Hall offices in the last eight years?	No _____ Yes _____ Kindly specify: Product/Service _____ Office: _____
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**Respondent's Profile**

Sex:	1.) Male _____ 2.) Female _____
Age:	_____
Employment/Livelihood:	_____
Length of stay in the city/barangay:	City: _____ Barangay: _____
Highest Educational Attainment:	a.) Elementary Graduate _____ d.) College Undergraduate _____ b.) High School Graduate _____ e.) College Graduate _____ c.) High School Undergraduate _____ e.) Post College (Masters) _____ f.) Others _____

**Knowledge/Awareness on Naga Citizen's Charter**

1. <i>Where did you get the information how to avail of the services/products of the City Hall?</i>  <i>(Check or identify as many as applicable)</i>	1) <i>From the frontline staff/ At the service window</i> _____ 2) <i>Brochure/leaflet/flyer</i> _____ 3) <i>In the Naga Citizen's Charter publication</i> _____ 4) <i>Tarpaulin/Notice Board/Poster placed outside the office</i> _____ 5) <i>In the Marikina City Website</i> _____ 6) <i>Advertisement in radio/tv/journal</i> _____ 7) <i>Others (pls. specify)</i> _____
2. <i>How much time did it take for you to receive/obtain the products/services you applied for?</i>	<i>Please specify:</i> Product/service 1 _____ Time: _____ Product/service 2 _____ Time: _____
3. <i>Is there a payment/fee for the service you availed?</i>	Yes _____ No _____ <i>(proceed to Q6)</i>

4. <i>Who/What office in particular received payment of fees/charges?</i>	_____ _____
5. <i>Did you receive a receipt?</i>	Yes___ No___
6. <i>Are you aware of "Naga City Citizen's Charter"?</i>	No, I have not heard about it (ever) _____ Yes, I am aware_____
7. <i>Is your household or anyone of you given a copy?</i>	No, we have not received _____ Yes, we have been given a copy_____
8. <i>Are you aware that there are certain standards that are supposed to be followed based on the Naga Citizen's Charter?</i>	No, I am not aware of the standards set_____ Yes, I am aware of the standards set_____
	<i>Please state at least one standard you know is declared in Naga City Citizen's Charter:</i> _____
9. <i>Did you ever try to give extra money/favor (grease money) to have your product/ service finished first/ahead than the rest?</i>	Yes, I did _____ No, I didn't _____
10. <i>In order to receive the products/services directly in your residence/office would you be willing to pay additional?</i>	No, I'm not. I will just pick it up/wait in the city hall. _____ Yes, I am willing pay additional to have the product delivered directly at my residence/office _____
11. <i>Have you experienced receiving products/services that are unacceptable/ unsatisfactory?</i>  <i>Did you ever complain? Why?</i>	Yes _____ No _____ Specify details: _____

**Participation**

12. <i>In the last eight years, have you or any member of your household been invited or requested by the city government to participate in the development of city citizen's charter (standards development for the Naga City Citizen's Charter)?</i>	Yes, I/We was invited/ attended _____ No, there was no invitation that I knew of _____
13. <i>In the last eight years, have you or any member of your household attended any forum/orientation on citizen's charter?</i>	Yes, I/We attended _____ No, there was no forum/orientation that I knew of _____

**Transparency**

14. <i>Did you find the requirements in availing the service clear and</i>	Yes _____ No _____
--	--------------------

<i>understandable?</i>	
15. <i>Were the procedures/ process flow (or steps) posted or advertised?</i>	Yes _____ No _____
16. <i>Were the fees and charges (if any) specified, posted or advertised?</i>	Yes _____ No _____

**Accountability**

17. <i>Were the names of the frontline staff and officers displayed properly for anyone to identify and read?</i>	Yes _____ No _____
18. <i>Were there any specified and posted procedures how to complain if there are unsatisfactory services or products?</i>	Yes _____ No _____
19. <i>Were there specified and posted procedures how to express appreciation/commendation (or opinion) for satisfactory products/services rendered?</i>	Yes _____ No _____
20. <i>Based on your observation, experience, what do frontline staff and officers do if they encounter oral complaints or feedback?</i>	_____ _____ _____

**Quality**

21. <i>What standards do you personally expect from the products/services in the City Hall?</i>  <i>(Check and identify as many as appropriate)</i>	1) <i>Timeliness</i> _____ 2) <i>Accuracy/No mistake/ no repeat work</i> _____ 3) <i>Fair treatment to all clients</i> _____ 4) <i>Friendliness/ greeting/ courtesy to clients</i> _____ 5) <i>Availability on declared time</i> _____ 6) <i>Extra help/assistance</i> _____ 7) <i>Extended service hours</i> _____ 8) <i>Comfortable waiting area</i> _____ 9) <i>Others (please specify)</i> _____
22. <i>Accessibility: Is information to access the service readily available?</i>	Yes _____ No _____
23. <i>Pleasantness: Is the public servant courteous, friendly and accommodating?</i>	Yes _____ No _____
24. <i>Area Comfortability: Is there a decent and comfortable waiting area?</i>	Yes _____ No _____
25. <i>Accuracy: Are the outputs of services correct and accurate?</i>	Yes _____ No _____
26. <i>Equality: Is the treatment the same for all types of clients?</i>	Yes _____ No _____
27. <i>Timeliness: Is the standard processing time for the service followed?</i>	Yes _____ No _____

**Opinion**

28. <i>How did you find the product/service you availed? Or the manner by which the product or service was delivered or accomplished?</i>	
	1                      2                      3                      4                      5 <i>Very Disappointing    Disappointing    Average    Good    Very Good</i>
29. <i>Recalling the services of the City Hall before the formulation of Naga Citizen's Charter (2001), what would be your rating of the effectiveness of public services then (where 1 is the lowest and 5 the highest)?</i>	
	1                      2                      3                      4                      5 <i>Very Disappointing    Disappointing    Average    Good    Very Good</i>

30. <i>At present, if you are to rate the <u>overall effectiveness</u> of public services of City Hall (where 1 is the lowest and 5 the highest) what is your rating?</i>				
1	2	3	4	5
<i>Very Disappointing</i>	<i>Disappointing</i>	<i>Average</i>	<i>Good</i>	<i>Very Good</i>
31. <i>What other ways can you suggest to improve the delivery of services of City Hall?</i>		<hr/> <hr/> <hr/>		

Thank you very much for your valuable time.



## Annex F: Client's Suggestions to Improve Public Service Delivery

Business Permit and Licensing Division	Local Civil Registry
<b>Positive Remarks</b> <ul style="list-style-type: none"> <li>▪ the services are okay</li> <li>▪ Mayor is doing everything to make the process fast</li> <li>▪ contented with the services in the city hall</li> </ul>	<b>Positive Remarks</b> <ul style="list-style-type: none"> <li>▪ nothing more, satisfied with city hall services</li> <li>▪ the services are okay, continue</li> <li>▪ continue the good public service</li> </ul>
<b>Information Related</b> <ul style="list-style-type: none"> <li>▪ post all the necessary information (steps) for clients benefits</li> <li>▪ more information dissemination</li> </ul>	<b>Information Related</b> <ul style="list-style-type: none"> <li>▪ post all the necessary information (steps) for clients benefits</li> <li>▪ install information desk upon entering the city hall specially to new clients</li> <li>▪ designate desk officer at the city hall lobby at all times</li> </ul>
<b>Systems Related</b> <ul style="list-style-type: none"> <li>▪ monitor employees approach with the clients</li> <li>▪ extend the time of renewal of business permit (one stop shop duration is not enough)</li> <li>▪ year-round one stop shop</li> </ul>	<b>Systems Related</b> <ul style="list-style-type: none"> <li>▪ organize the processes</li> <li>▪ minimize / address the long queue</li> </ul>
<b>Physical Enhancement of City hall Offices and Building</b> <ul style="list-style-type: none"> <li>▪ spacious offices in every department</li> <li>▪ orderly</li> <li>▪ more organize office in every department</li> <li>▪ more waiting area for clients comfort</li> <li>▪ more signages</li> </ul>	<b>Physical enhancement</b> <ul style="list-style-type: none"> <li>▪ receiving area should be spacious</li> </ul>
<b>Quality Related</b> <ul style="list-style-type: none"> <li>▪ Fairness/consistency in giving public services</li> <li>▪ Accuracy</li> </ul>	<b>Quality Related</b> <ul style="list-style-type: none"> <li>▪ fair treatment to all types of clients</li> <li>▪ maintain fast service / one day processing or less if possible</li> <li>▪ service with a smile</li> <li>▪ services must always be consistent and orderly</li> <li>▪ give preference to those who are living far from city hall</li> </ul>
<b>General administration</b> <ul style="list-style-type: none"> <li>▪ improve administration</li> <li>▪ lower taxes</li> <li>▪ additional equipment</li> </ul>	<b>General Administration</b> <ul style="list-style-type: none"> <li>▪ the mayor should lead for people to follow</li> <li>▪ employees and clients must coordinate during peak season</li> <li>▪ educate people/residents on CC</li> <li>▪ impose the wearing of right uniform</li> </ul>
<b>Frontline Staff Related</b> <ul style="list-style-type: none"> <li>▪ employees should come on time to finish</li> </ul>	<b>Frontline Staff Related</b> <ul style="list-style-type: none"> <li>▪ ID must be worn</li> </ul>

<p>on time</p> <ul style="list-style-type: none"> <li>▪ frontline staff continue being kind and attentive to customers</li> <li>▪ more understanding</li> <li>▪ more patience</li> <li>▪ continue helping those who needs help</li> <li>▪ should not be lazy</li> <li>▪ employees must know their duties and responsibilities</li> <li>▪ more approachable staff</li> <li>▪ additional staff to deliver the services efficiently</li> <li>▪ CTO should prepare change for fast processing</li> </ul>	<ul style="list-style-type: none"> <li>▪ be approachable</li> <li>▪ respect to clients</li> <li>▪ issue receipts all the time</li> <li>▪ extend assistance to clients</li> <li>▪ devote attention to its clients</li> <li>▪ be at their post at all times</li> <li>▪ be specific in giving time when to return for follow up</li> <li>▪ should not make clients wait</li> <li>▪ strictly follow guidelines in providing service</li> <li>▪ exercise first come first served basis</li> <li>▪ render services during break time / reliever for continuous service</li> <li>▪ must do their job in line to what is stipulated in the charter</li> <li>▪ must know their duties and responsibilities to effectively help clients</li> <li>▪ inform clients of all payables including raffle tickets, explain purpose of ticket and don't force to buy</li> </ul>
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### **Annex G: Staff's Suggestions How the Office Can Better Deliver Services**

Business Permit and Licensing Division	Local Civil Registry
Mobility/ Service Vehicle/motorcycle	More equipment like computer, scanner and other high tech equipment
Upgraded technology	Serve client in good manner
Trainings and seminars	Assist client for procedures in our office
Additional manpower	If our department head is more output/performance oriented
Better working condition	Microfilm our documents to protect and preserve perpetual records of our office (whenever it is handed down from generation to generation)
Computerization	Communicating and monitoring of individual functions and duties
Must have good manner towards clients	If all employees assigned in their respective task shall do their part and work as one and supported by our Head of Office, every office will run better and accomplish its services
By seeking the best value from use of government resources to give client more and efficient services for less resources	
By giving services efficiently	
By rewarding employees of exemplary performance	
Bigger space	