AN EVALUATION OF THE EFFECT OF CITIZEN CHARTERS ON SERVICE DELIVERY IN STATE CORPORATIONS IN KENYA: THE CASE OF THE KENYA CIVIL AVIATION AUTHORITY

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A RESEARCH PROJECT SUBMITTED TO THE SCHOOL OF HUMANITIES AND SOCIAL SCIENCES IN PARTIAL FULFILLMENT OF THE REQUIREMENTS FOR THE AWARD OF THE DEGREE OF MASTER OF PUBLIC POLICY AND ADMINISTRATION KENYATTA UNIVERSITY

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DECLARATION

This research project is my original work and has not been presented to any other university for the award of a degree

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This Research Project is dedicated to my wife Caroline, and my children Joshua, Aaron and Elizabeth, for their unfailing support and faith in my ability to do it.

To my parents Mr. & Mrs. John Jela, for all that I am today.
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Citizen Charters were introduced by the Government of Kenya in 2004 as part of reforms aimed at improving service delivery in public sector institutions. The purpose of this study was to evaluate the extent to which implementation of Citizen Charters has affected service delivery in state corporations with the Kenya Civil Aviation Authority as a case study. The study examined elements of Citizen Charters that have a bearing on service delivery namely; public involvement in their design, organizational commitment to set standards and existence of mechanisms for grievance redress. The Kenya Civil Aviation Authority (KCAA) is a state corporation that was created in 2002 through an Act of Parliament with the mandate of regulating the civil aviation industry in Kenya; providing air navigation services; and training of aviation personnel. The study adopted a qualitative research design. Primary data was collected through in-depth interviews. The sample for the study was drawn from 20 heads of departments at the KCAA. Data source triangulation was also adopted to ensure validity and reliability of the findings. Accordingly, two focus group discussions were organized each comprising 12 participants drawn from two key stakeholder groups namely customers and staff members. The study established that there was little stakeholder involvement in the development of the charter. There is no policy to support or guide such involvement and past engagements with stakeholders have been ad hoc. Organizational commitment to the implementation the charter is not supported by empirical evidence. There are no guidelines for standard setting or performance management; mechanisms for performance monitoring and evaluation are largely lacking; and there are no incentive schemes to reward or sanction staff and departments. Furthermore, there are no mechanisms for grievance redress and complaints handling. The study also discounted lack of resources as a constraint in the implementation of the charter. Through focus group discussions, the study established that some issues that stakeholders considered important are not captured in the charter. Furthermore, there is an implementation gap between the standards as reflected in the charter and what obtains on a daily basis. That notwithstanding, the study established that the implementation of Citizen Charters has affected service delivery in public institutions positively by making them more citizen-centric in their orientation. The Constitution of Kenya 2010 has also raised accountability threshold by creating the constitutional Commission on Administrative Justice that acts as an independent and impartial guarantor of service delivery, accountability and due process. This study provides useful insight into how citizen charters have been developed and implemented in public corporations. Hopefully, the research finding shall benefit a number of institutions including the Government of Kenya, KCAA, other state corporations, civil society, intergovernmental agencies such the United Nations, development partners and the general public.
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ABBREVIATIONS AND ACRONYMS

CSDC  Citizen Service Delivery Charters
ERS  Economic Recovery Strategy for Wealth and Employment Creation
GPRA  Government Public Results Act
IMF  International Monetary Fund
KCAA  Kenya Civil Aviation Authority
MDA  Ministries, Departments and Government Agencies
NPM  New Public Management
RBM  Results Based Management
SAPs  Structural Adjustment Programmes
SOE  State Owned Enterprises
UNDP  United Nations Development Programme
UNECA  United Nations Economic Commission for Africa
WB  World Bank
CHAPTER ONE: INTRODUCTION

1.1. Background to the Study

In 2004, the Government of Kenya launched the Economic Recovery Strategy for Wealth and Employment Creation (ERS) whose main focus was: creating competitive market conditions for private sector led growth; directing resources towards wealth and employment creation; and, supporting both efficient and effective public sector performance and service delivery. It sought to institutionalize Results Based Management (RBM) and to bring about a national transformation in the public sector. Performance contracting was introduced in Government Ministries, Departments and Agencies (MDAs) including State Corporations. Rapid Results Initiatives and Citizen Service Charters were introduced within the framework of RBM. The running thread in these reform efforts was the need to improve service delivery and accountability in the management of public affairs with emphasis on effectiveness, efficiency, economy and value for money. These reforms have parallels in the public administrative reforms of developed countries. Indeed public sector reforms in the global arena have provided the ideological basis for similar efforts in Kenya. Through these reforms, the Government of Kenya sought to establish governance structures that are inclusive, efficient and accountable.

1.1.1. Kenya Civil Aviation Authority

The Kenya Civil Aviation (KCAA) was created through an Act of Parliament (the Civil Aviation (Amendment) Act 2002 that was later repealed and re-enacted as the Civil Act 2013. The principal mandate of KCAA is reflected in its three key functions which are, to regulate the civil aviation industry in Kenya, provide air navigation services to aircraft in flight within the Kenyan
airspace and train aviation personnel. To accomplish this mandate, KCAA has a functional organizational structure with three business divisions (known as directorates) handling the regulatory, service provision and training functions as reflected in its mandate. Accordingly, KCAA has the Directorates of Aviation Safety Security and Regulation (ASSR), Air Navigation Services (ANS) and the East African School of Aviation (EASA). Additionally, there is a Corporate Directorate that handles administrative and support functions such as Human Resource Management, Procurement, Corporate Communication and Finance. Each business directorate is headed by a Director. Within the Directorates are a total of twenty functional departments based on varied specializations, each headed by managers. The departments are the focal point for service delivery. Each manager is responsible for the design and implementation of citizen charters within their departments.

1.1.2. Citizen Service Charters

This study evaluated the implementation of citizen service charters as public sector reform measure for improved service delivery. A citizen charter has been defined as a written statement prepared by a public institution which outlines the nature, quality and quantity of service that citizens should expect from the institution and how to make complaints or suggestions for improvement (Loeffler, 2007). A number of benefits have been associated with the successful implementation of Citizen Charters. Firstly, Citizen Charters help public institutions to manage user expectations about public services and to provide a framework for public participation. Secondly, they encourage public bodies to measure and assess performances by committing themselves to standards of service that the public expects and evaluating how they measure
against those standards. Thirdly, Citizen Charters provide the public with recourse to file complaints and seek redress where the standards have not been met.

Citizen Charters were first introduced in the United Kingdom in 1991 during the premiership of John Major with the aim of ensuring that public services were responsive to the citizens they served (House of Commons, 2008; Hood, 1995). Variants of citizen charters have since been embraced in diverse countries thereafter including India, Mauritius, Uganda and Kenya (UNECA, 2003). In Kenya, Citizen Charters were introduced in 2004 within the framework of Results Based Management with the aim of directing government efforts towards the achievement of pre-determined outcomes and re-orientating goals and objectives towards cost effectiveness and responsiveness to customer demands. Properly implemented, Citizen Charters can result in improved service delivery through a more responsive attitude from officials towards the public and greater public satisfaction with services. They typically embody a number of characteristics including stakeholder participation in their design; establishment of clear, realistic and measurable service standards; openness and information about service delivery; choice for the citizen and consultation with users about service levels and quality; courtesy and helpfulness in service delivery; and provision of redress when services are not delivered to the published standards. They also provide yardsticks through which stakeholders can monitor and evaluate the performance of public institutions. For purposes of this study, a Citizen Service Charter was conceptualized as a public statement that defines what an organization is, its mandate, the services it provides, and the standards of services to be expected by its customers. It also includes mechanisms about how consumers may seek redress if they are dissatisfied with the service(s). This study proceeded from the premise that a typical policy cycle usually involves a time span of a decade or more, from emergence of a problem through sufficient experience with
implementation to render a reasonably fair evaluation of the policy’s impact (Sabatier 2007). Citizen Service Charters have been in implementation for the last decade or so; now seems like an appropriate time to evaluate the effect of this reform effort on service delivery.

1.2. Statement of the Problem

Citizen Service charters have been implemented in a number of countries (including Kenya), as a reform measure for improved service delivery and accountability. Accordingly, the Government of Kenya, has defined Citizen Charters as public agreements between citizens and a public organization that define what the organization is, its core mandate, the services the organization provides, details of any user charges, what standards of services are to be expected by the consumers and how the consumers of the service may seek redress if they are dissatisfied with the service(s) provided (Republic of Kenya, 2005). Citizen charters could potentially revolutionize service delivery in the public sector by institutionalizing quality management systems and providing a framework for continuous performance monitoring and evaluation.

While the noble intentions of government are not in doubt, implementation of citizen charters in most public institutions has been done in piecemeal fashion that scholars are now expressing doubt whether the intended policy objectives have been achieved (Mang’era & Bichanga, 2013). Poor service delivery and lack of accountability is still pervasive in most public institutions. To cite a few examples, the Kenyan media has reported cases of patients being assaulted in public hospitals; the Kenya Police Service still tops most corruption surveys; the County Government of Nairobi has failed to supply clean water to most city estates. This state of affairs is replicated in many public institutions. Even state corporations that enjoy significant operational and financial autonomy such as the Kenya Civil Aviation Authority are not immune to these
administrative pathologies and customer satisfaction surveys have consistently reported low scores (KCAA, 2013). Implementation of citizen charters is still plagued by apathy and suspicion because they are viewed as an imposition from the central government. It is in the light of the foregoing, that the purpose of this study was to investigate the extent to which service delivery in state corporations in Kenya has been affected by the implementation of citizen service charter with the KCAA as a case study. The KCAA has a statutory mandate as a regulator of the aviation industry in Kenya as well as a provider of air navigation services within the Kenyan airspace. Because of its dual mandate as a state regulator as well as a service provider, it provided ideal conditions for a study such as this one.

1.3. Objectives of the Study

The general objective of this study was to assess the extent to which service delivery in state corporations in Kenya has been affected by the implementation of citizen charters. The specific objectives of the study were to:

i. Investigate the extent of stakeholder participation in the development of citizen charters and how this has affected service delivery at Kenya Civil Aviation Authority;

ii. Assess the extent of organizational commitment to the implementation of agreed service standards and how this has affected service delivery at the Kenya Civil Aviation Authority.

iii. Find out the extent to which mechanisms for grievance redress have affected service delivery at the Kenya Civil Aviation Authority.
1.4. Research Questions

The study sought to answer the following questions:

i. What is the extent of stakeholder participation in the development of citizen charters and how has this affected service delivery in Kenya Civil Aviation Authority?

ii. To what extent has organizational commitment to the implementation of agreed standards affected service delivery at Kenya Civil Aviation?

iii. To what extent have mechanisms for grievance redress affected service delivery at the Kenya Civil Aviation Authority

1.5. Justification and Significance of the Study

The study shall benefit a number of institutions including the Government of Kenya, and KCAA alongside other implementing agencies that will gain useful insight into the effectiveness of current reform initiatives. The findings of this study shed light on the extent to which actions of implementing agencies are consistent with the policy objectives of the central government and whether policies may need to be reformulated over time on the basis of experience and empirical evidence. Arising out of this study, implementing agencies shall also be encouraged to develop service standards that address underlying societal problems as identified by citizens; and ensure organizational commitment to achieving those standards.

1.6. Scope and Limitation of the Study

Implementation of public policy is affected to some extent by circumstances beyond the control of implementing agencies such as lack of adequate resources and assumptions by policy makers that valid cause and effect relationships exist between the policy and the expected outcomes
(Hill, Hupe, 2008). While this study limited itself to investigating the effect of the three elements of citizen service charter i.e. stakeholder participation in its development, organizational commitment to its implementation, and the presence of grievance redress mechanisms in support of the charter, the effect of other extraneous variables could not be completely eliminated. The study also adopted case study method which has attendant limitations. That notwithstanding, there are significant similarities in governance systems in public sector institutions such that the findings of this study though indicative will have application in other public sector institutions.
CHAPTER TWO: LITERATURE REVIEW

2.1. Introduction to Literature Review

This chapter reviews related literature and establishes the theoretical basis for the study. Under theoretical literature review, the concepts of citizen service charters and service delivery are defined and operationalised. Since the development and implementation of citizen service charters flows from centrally developed public policies, policy implementation theories have also been discussed at length. Indeed, the polarized debate between the top-down and bottom-up approaches in public policy implementation theory has provided the theoretical underpinning for this study. Empirical literature on the variables under study is presented through a careful review of past studies noting findings, conclusions and recommendations from past research which identify the gaps that have necessitated this study.

2.2. Theoretical Literature Review

Government activities are usually carried out in the public interest, funded out of state resources generated through taxes. Therefore, there is an obligation on public institutions to be accountable to citizens who fund state activities through taxes. Efficient and effective provision of public goods and services should be a key service delivery imperative for all public sector institutions. It follows from the foregoing that citizens should be entitled as a matter of right to an expectation that public institutions will be accountable for the provision of public goods and services that meet or exceed acceptable levels of quality and performance. In the following discussion some of the key concepts in public administration that have impacted service delivery and accountability in the public sector institution are reviewed.
2.2.1. New Public Management

Recent reforms in the public sector have been influenced to a large extent by the evolution of New Public Management (NPM) in the 1980s as a new framework paradigm through which governments could re-engineer the public sector to strengthen relationships between government and citizens (Hope, 2011). NPM seeks to apply private sector management practices in public administration and to address pathologies of the traditional public administration model. NPM is characterized by a number of elements including; adoption of private sector management practices in the public sector; emphasis on efficiency; movement away from input controls, rules, and procedures toward output measurement and performance targets; preference for private ownership, contestable provision, and contracting out of public services; and, the devolution of management control with improved reporting and monitoring mechanisms (Hope ibid). It also involves the breaking down of huge bureaucracies by disaggregating separable functions into separate agencies thus replacing traditional tall functional structures with flatter more flexible structures built around processes rather than functions; and, separation of policy making from service provisions (Pfiffner, 2004; UNECA, 2003, Hope, ibid). NPM is a culmination of a revolution in public administration that emerged out of the need to reform public institutions in order to make them more competitive and efficient in resource use and service delivery. To achieve the objectives of NPM, governments have implemented a number of measures including creation of autonomous government agencies; marketization; introduction of competition in service provision; adoption of explicit standards and measures of performance (e.g. performance contracting); greater transparency; pay reform; and emphasis on outputs and outcomes over inputs. Citizen Service Delivery Charters (CSDC) have been developed as a reform measure within the framework of New Public Management with the aim of improving service delivery.
and accountability in public sector institutions. Manning, as cited by Hope (2011), aptly describes NPM as a management culture that emphasizes the centrality of the citizen or customer, as well as accountability for results.

### 2.2.2. Policy Implementation Theories

Policy implementation encompasses those actions by public and private individuals or groups that are directed at the achievement of objectives set forth in policy decisions (Paudel, 2009). Policy implementation is concerned with efforts to transform policy decisions into operational terms and continuing efforts to achieve the policy changes or objectives and how governments and public bodies put the policy objectives into effect. Literature on policy implementation suggests four prerequisites for effective policy implementation i.e. clearly specified tasks and objectives that accurately reflect the intent of policy; a management plan that allocates tasks and performance standards to subunits; an objective means of measuring performance; and a system of management controls and sanctions to hold subordinates accountable for their performance (Paudel *ibid*, Pulzl, 2006). Two opposing theoretical approaches have evolved with regards to policy implementation: the top-down and the bottom-up approaches. The top-down approach conceptualizes implementation as the hierarchical execution of centrally-defined policy intentions. This theory develops from the assumption that policy implementation starts with a decision made by central government. Top-down models put their main emphasis on the ability of decision makers to produce unequivocal policy objectives and on controlling their implementation. Pressman and Wildawsky are celebrated as the founding fathers of policy implementation studies and proponents of the top-down approach (Hill and Hupe 2009).
The bottom-up approach emerged as a critical response to the top-down school of thought. It rejects the idea that policies are defined at the top and that implementers need to stick to these objectives as neatly as possible. (Hill and Hupe 2009) credit Michael Lipsky as the father of the bottom-up approach. Lipsky posits that “the decisions of street level bureaucrats, the routines they establish and the devices they invent to cope with the uncertainties and work pressures, effectively become the public policies they carry out”. The bottom-up approach therefore emphasizes that implementation consists of the “everyday problem-solving strategies of street-level bureaucrats”. Bottom-up proponents view local bureaucrats as the main actors in policy delivery.

A third strand, the hybrid approach has tried to overcome the conceptual weaknesses of the polarized debate between bottom-up and top-down scholars. The hybrid approach focuses on the proper conceptualization of the implementation processes and pragmatically blends the extreme arguments of both sides into models that embrace both central steering and local autonomy. This study was carried out on the premise that the hybrid approach is a more realistic reflection of the policy implementation process in practice.

### 2.2.3. Stakeholder Involvement in Citizen Charters

A stakeholder has been defined as any person, group, or organization that can place a legitimate claim on or influence your resources or services; is affected by your activities or services; or has an interest in or expectation of you (Hill, 1992; World Vision, 2011). This legitimacy is established through the existence of exchange relationships. Public institutions have various stakeholders including employees, financiers, customers (consumers of the goods and services), special interest groups, legislators, and regulators. Service design therefore should take into
account expectation and preferences of a range of stakeholders who have an interest in and influence on the organization (Flynn, 2011). Organizations need to take deliberate measures to ensure that stakeholders participate in formulation and implementation of their strategies (World Vision ibid). As Suggett (2012) postulates, “citizen engagement taps into the collective intelligence of the community, promotes social innovation, and ensures ongoing collaboration across private, not-for-profit and public sectors or ‘co-production’ of public goods”. Similarly, Pollit (1994) identifies regular and systematic consultation with users as one of the principles of an effective citizen charter.

2.2.4. Organizational Commitment to Citizen Charters

According to Loffler et al (2007) the successful implementation of a citizen charter requires commitment by senior management, front line and back office staff and team work by all staff involved in the services provided in the charter. Similarly, Bacal (2011) states that people work best when they have clear goals; believe they can achieve those goals; and know what they will receive when they achieve those goals. Performance incentives should therefore be an integral part of the charter implementation process. Odhiambo-Mbai (2003) identifies lack of incentives for good performance as one of the contributing factors to the deteriorating levels of accountability among civil servants in Kenya. Armstrong (2006) defines performance management to include processes for establishing a shared understanding about what is to be achieved, and for managing and developing people in a way that increases the probability that it will be achieved. It is a planned process with the following elements namely agreement, measurement, feedback, positive reinforcement and dialogue. It is concerned with setting standards, measuring outputs and comparing performance with targets. Performance
management improves service delivery because clear and explicit managerial targets, combined with managerial autonomy and incentives to perform, make it easier to establish the basis for managerial accountability and to achieve outputs (UNECA, 2003) and as Loffler (2007) states, “a service charter without a performance management system will always remain a paper tiger”. This study investigated inclusion of elements of a typical performance management system such as standard setting, resource allocation, performance monitoring and evaluation, the extent to which the charter has been cascaded to functional and operational levels, with incentives to staff and departments for good performance.

2.2.5. Grievance Redress Mechanisms

According to World Vision (2011), quality service delivery should include an easily accessible and transparent complaint handling mechanism to which customers can have recourse in case they are dissatisfied with the services received. Complaint handling mechanisms should be transparent and accessible. An effective grievance should have the following six elements namely: established channels through which users can log grievances; assignment of grievance redress responsibilities within the organization outlining internal steps in the grievance process; defined timelines for grievance redress; and clearly defined steps where there is a violation. The grievance redress processes should also have an inbuilt monitoring and evaluation mechanism to monitor trends in grievance data. Citizens will be disinclined to complain if they didn’t think that it would make a difference. An effective redress mechanism may take several forms. For simple mistakes, an apology may be all that is needed whereas in extreme cases compensation may be appropriate. Where a complaint relates to a situation that can be corrected, this should be done without delay.
2.3. Empirical Literature Review

Insofar as performance management in the public sector is concerned, most research has focused on performance contracting with little research being carried out on the related concept of citizen service charters. That notwithstanding, Mang’era and Bichanga (2013) have carried out a study on the challenges of implementing citizen charters in public hospitals whose objectives were to evaluate the disposition of the implementers, competence of hospital staff, and management structures in support of implementation of the charter. The study identified inadequate training, poor staffing and conflict between charter objectives and organizational rules and regulations as some of the hindrances to the implementation of Citizen Charters. The study was carried out at a facility that is fully owned and operated by the central government and funded through allocations from the exchequer. Similarly, World Vision (2011) has carried out research on the impact of public sector reforms on service delivery and noted that service delivery in the public sector is constrained by lack of resources, lack of skilled manpower, inadequate or delayed funding, and lack of facilities and infrastructure. It recommends that public sector reform efforts should incorporate stakeholder participation, awareness-creation, complaints redress mechanisms and elimination of redundant and duplicated roles. State corporations such as KCAA enjoy significant operational and financial autonomy. They are unencumbered to a large extent from the financial and bureaucratic constraints of a typical government hospital such as the one cited above. An objective of the study was to assess whether the challenges identified in past research have affected implementation of citizen charter in KCAA examine the extent to which some of these gaps have been bridged.
2.4. Summary of Literature Review and Gaps

From the foregoing, it is evident that research on performance management in the public sector has concentrated on performance contracting at the expense of the related and equally important area of citizen charters yet conceptually the latter is just as effective in institutionalizing performance management in public sector institutions. Past research has identified lack of adequate training, poor staffing and conflict between charter objectives and organizational rules and regulations as some of the hindrances to the successful implementation of Citizen Charters. This study proceeded from this premise and sought to bridge the gap between the normative and empirical by investigating how citizen charters have been implemented in practice and to assess the extent to which service delivery has been affected by their implementation.
2.5. Conceptual Framework

Source: Researcher, 2014

Figure 2.1: Conceptual Framework showing the relationship between Elements of Citizen Charters and Service Delivery.
CHAPTER THREE: RESEARCH METHODOLOGY

3.1. Research Design

The study adopted a qualitative research design. Qualitative inquiry seeks to understand processes, experiences and meanings that people assign to things (Kalof 2008) and explain why things are as they are (Babbie, 2004).

3.2. Variables Analysis

The study evaluated the implementation of citizen charters and their effect on service delivery in state corporations. Accordingly, the independent variables comprised three elements of citizen service charters that have a bearing on service delivery i.e. stakeholder involvement, organizational commitment, and grievance redress mechanism. The dependent variable is service delivery and the study evaluated the extent to which this has been affected by the elements of the citizen service charters as outlined above.

A common research problem in public services is that most variables have no independent measurable value (Flynn, 2011). To overcome this challenge, the Researcher, to the extent possible, conceptualized and operationalized measures that acted as proxies for the variables under study. Stakeholder engagement was indicated by the number and type of forums that have been organized to afford stakeholders an opportunity to participate in the development of the charter. Similarly, organizational commitment to the charter was evidenced by several proxies. Firstly the study inquired about the presence of a system of performance management with guidelines on standards setting, performance measurement, monitoring and evaluation. Secondly, the Researcher inquired from respondents whether they received resources necessary to support
implementation of the charter and assessed the extent to which implementation of the charter has been affected by the presence (or lack) of resources. Yet another indicator of organizational commitment is the presence (or absence) of an incentive scheme to reward departments and staff who consistently achieve the objectives of the charter. A corollary to this is a mechanism to sanction departments and staff who do not achieve the objectives. Another indicator of organizational commitment, for purposes of this study, is a framework for periodical review and the extent to which this has been institutionalized.

Government policy guidelines on the implementation of citizen service charters have a requirement that the charter should have a clear mechanism for resolving and redressing complaints by citizens and clients. This study investigated the extent to which this has been institutionalized at KCAA. This variable was evidenced by a framework for receiving, documenting and handling complaints. The overarching objective of the study was to find out whether service has been affected by the implementation of the service charter. The study sought to answer a key public policy question namely, has service delivery in public sector institutions changed as a result of the implementation of the charter? Respondents were requested to offer a self-assessment on the impact of the charter on service delivery and provide demonstrable evidence in this regard. To the extent that services are intangible and therefore quality standards can only be measured through the user’s perspective (Flynn, 2011), data from in-depth interviews was validated through data source triangulation by obtaining corroborating data from two key stakeholder groups namely customers and staff. Two focus group discussion sessions were organized (one each for staff and customers). The objective of the focus group sessions was threefold namely, to obtain users’ perspective about the extent of their involvement in the design of the charter; to assess the extent to which the final charter reflects their expectations about
quality, cost and timeliness of the range of services offered by the KCAA; and to get a stakeholder perspective on the extent to which service delivery and accountability have been affected by implementation of the charter.

3.3. Site of the Study

The study was carried out at the Kenya Civil Aviation Authority (KCAA). KCAA is a state corporation that was created in 2002 through an Act of Parliament with three core mandates namely; to regulate the civil aviation industry in Kenya, provide air navigation service; and train and license aviation personnel. KCAA has a functional organizational structure with 20 functional units each headed by a manager. The target population comprised the 20 heads of the functional units.

3.4. Sampling procedure

This study was designed as a census survey targeting all the 20 heads of departments. To corroborate responses from the Heads of Department, the Researcher purposively identified key informants from the Departments of Planning and Consumer Protection which are the liaison departments with the Central Government.

3.5. Research Instruments

The study adopted a qualitative study approach. Primary data was collected through in-depth interviews administered by the Researcher. Data from in-depth interviews was corroborated through data source triangulation by way focus group discussions involving two key stakeholder groups i.e. staff and customers.
3.6. Data Collection and Analysis

Primary data was collected through in-depth interviews administered by the Researcher. In the instances where it was not possible to get audience with a target manager for whatever reason, the Researcher purposively sought audience with the next senior most persons within the department knowledgeable about the departmental charter. To the extent possible, questions were standardized to eliminate interview bias. As soon as possible after each interview, the responses were transcribed by the Researcher and filed for analysis. Data from the study has been documented, coded and analysed thematically. To anchor the findings in sound theory, the Researcher carried out a careful review of secondary data. This enabled the Researcher to establish relationships and identify trends among the variables under study (Kombo, 2011).

3.7. Data Management and Ethical Considerations

Cooper and Schindler (2008) have defined ethics as “norms or standards of behaviour that guide moral choices about our behaviour and our relationship with others”. The goal of ethics in research should be to ensure voluntary participation, no harm to participations, anonymity and confidentiality (Cooper & Schindler ibid, Mugenda & Mugenda, 2003). Ethical considerations were taken into account during the study. Permission was sought from the relevant authorities including management of the KCAA. Respondents were assured of the confidentiality of their responses; all raw data was kept and handled in a secure manner. Furthermore, the findings of this study have not be used in any manner that is prejudicial to the KCAA and/or the respondents.
CHAPTER FOUR: DATA ANALYSIS PRESENTATION & INTERPRETATION

4.1. Introduction

This study set out to evaluate the extent to which service delivery in state corporations has been affected by the implementation of citizen service. Accordingly, the independent variables were the three elements of a typical citizen’s charter that have a bearing on service delivery. These are stakeholder involvement in the design and development of the charter, organizational commitment to its implementation; and the establishment of grievance redress mechanism. The dependent variable is service delivery and the study evaluated the extent to which this has been affected by the implementation of citizen service charters in public sector institutions. To the extent possible, the variables under study were operationalized through the adoption of measurable proxies.

4.2. Response Rate

The study adopted a qualitative approach in data collection, presentation and analysis. Data was collected through a combination of in-depth interviews and focus group discussions. The target sample for the in-depth interviews was 20 heads of functional units at the KCAA who constituted the sampling frame. The Researcher was able to reach and obtain responses from all the target respondents.

Two focus group discussion sessions were organized at the East African School of Aviation (a training directorate of the Kenya Civil Aviation Authority, located along the Airport North Road in Embakasi Nairobi). The discussion sessions were held on the successive days of 27th and 28th February 2015. Participants in the target group discussions were drawn from two key stakeholders groups namely staff and customers. Through data source triangulation, information from these focus group discussions was used to corroborate data from in-depth interviews, which in the Researcher’s assessment was a necessary caveat to ensure validity and reliability.
4.3. General Information

The Researcher sought out general information about the current legal and policy framework that guides implementation of citizen service charters in public institutions. The purpose of these questions was twofold. Firstly, the questions were intended to assess the level of respondent awareness about the legal and regulatory framework that governs citizen service charters in the public service. Secondly, they were a tactical move to ease the respondents into the interview by creating an atmosphere of trust and confidence (Kothari 2004), while gathering important preliminary data.

When asked whether KCAA has a corporate citizen charter, all respondents answered in the affirmative. Respondents were asked to describe how the current charter was developed. Majority of the respondents indicated that the charter is initially developed at the departmental level, consolidated by a select taskforce and presented to management for consideration and adoption.

Interviewer: “Please describe how the current charter was developed”.

Respondent R20: “basically it was a resolution at a management meeting. Departments were asked to prepare departmental charter as per their services. A select taskforce was constituted to collate these departmental charters into one corporate charter which was tabled for adoption by management.”

Once adopted, it is cascaded back to departments for implementation. The study also sought to find out whether each unit had a departmental charter to which question, all respondents answered in the affirmative. The Researcher obtained copies of departmental charters from each of the target respondents.

4.4. Stakeholder Involvement

One of the research objectives was to assess the extent of stakeholder involvement in the design of the citizen’s charter. Respondents were asked to identify key internal and external stakeholders. For purposes of the study, the term stakeholder was operationalized to mean
“individuals, groups or organizations that affect or are affected by things organizations do or fail to do”. This question was meant to assess the level of stakeholder awareness among the respondents. All respondents were able to accurately map out both internal and external stakeholders. Internal stakeholders were identified to include rank-and-file staff, peers in other departments, top management (clarified by the respondents to mean the KCAA Board of Directors). External stakeholders included the central government, customers, suppliers, specialized government agencies and the general public. Intergovernmental organizations such as the United Nations (UN) and International Civil Aviation Organization (ICAO) were also identified among key external stakeholders.

The study sought to determine the nature and extent of stakeholder involvement in the development of the service charter. Respondents were asked whether the identified stakeholders are involved in the development of departmental charters and to describe the nature of such involvement if any. Insofar as internal stakeholders are concerned, all respondents indicated that, apart from receiving input from their peers in other departments there was little stakeholder involvement in the development of departmental service charters citing the infeasibility of such an engagement as the primary hindrance. However, respondents clarified that at the corporate level, KCAA organized one stakeholder forum in August 2013 at which the draft charter was presented for review by stakeholders. Feedback from stakeholders was taken into account in the preparation of the final draft. Respondents were also asked whether stakeholder engagement has been institutionalized as a policy requirement to which the response was in the negative. There is no policy to support or guide such an engagement in which case the form of engagement has been ad hoc.

4.5. Organizational Commitment

The study assessed the extent to which KCAA is committed to the implementation of the citizen charter once adopted and to evaluate institutional mechanisms in support thereof. Accordingly the Researcher conceptualized a number of parameters that demonstrate organizational commitment. These include the setting of measurable performance standards of performance incorporating mechanisms for performance monitoring and evaluation; resource allocation; and an incentive scheme for departments and staff.
Respondents were asked to explain the basis for the standards and the extent to which they reflected stakeholder expectation about the quality, cost and timeliness of the services being provided. There is controversy in literature over the definition and use of the word “standard” and what it should represent. Standards could variously represent an acceptable average within an industry; minimum requirements that meet regulatory or legal requirements; or, aspirational ideals that represent best practice or some other parameter determined by management. There is arbitrariness in how standards are set at the KCAA. While each respondent was responsible for the setting of standards within their departments, there was no overarching philosophy or policy to guide the process. Some respondents indicated that departmental standards were developed after brainstorming session with staff, while others indicated that they were compiled from existing organizational documents. There is ambiguity as to what the standards represent in the absence of some guiding framework in which case quality standards are likely to be based on manager’s ideas about what is important.

Insofar as performance measurement, monitoring and evaluation is concerned, all respondents indicated that performance is measured, monitored and evaluated although none demonstrated how this is done in practice or availed any records to that effect.

“That is the thing. Managers are not supportive of the idea and view the charter as an intrusion in the affairs of their departments. The biggest challenge to our implementation effort is lack of mechanisms for performance measurement and monitoring.” (Key informant)

There is no record of actual performance, service logs are not maintained in any of the departments and there is a general lack of awareness about the need to measure, record, monitor and evaluate performance.

A key constraint to the implementation of the charter is the availability of the resources necessary to support the process. Accordingly, the study sought to find out whether respondents got the resources required for implementing the charter. A proxy for availability (or lack) of resources was whether some charter objectives had not been achieved due to lack of resources.
With the exception of one respondent who indicated lack of skilled staff as a constraint, all the other respondents discounted lack of resources as a constraint and indicated that where charter objectives have not been met, more often than not, it is due to factors other than lack of resources.

*Interviewer:* “Are there charter objectives that you have not been able to achieve due to lack of resources?”

*Respondent R13:* “I don’t believe KCAA is constrained by lack of resources. Even when the charter objectives are not met, it is not because we lack resources. May be other factors but definitely not lack of resources.” (Respondent 13)

Organizational commitment to a goal is also demonstrated by the presence of incentive schemes in support of the attainment of stated objectives. The study sought to find out if there is a system to reward departments that consistently deliver on their departmental charter. The response was in the negative: there is no reward system for good performance on the charter. Conversely the study sought to find out whether departments that consistently failed to deliver on the charter standards were sanctioned. Again, the response was in the negative.

*Interviewer:* “Does the organization have a system of rewarding departments that consistently achieve service standards?”

*Key informant:* “No, there is nothing like that. May be if we had something like that departments would support the implementation of the charter”.

Evidently, there are no consequences whether positive or negative in the charter implementation process. A corollary to this is an incentive scheme to reward (or sanction) staff who deliver on the charter. Again, all the respondents indicated that there is no such scheme in place. Staff are not evaluated and rewarded or sanctioned for their performance in the implementation process.

Another proxy for organizational commitment to a cause is the presence of a training scheme to diffuse the charter objectives and requirements to rank and file staff. Respondents were asked, “Does the charter form part of the training programme for your personnel?” to which question all responses were in the negative. In the absence of an institutional framework for disseminating
the charter to staff, heads of department had adopted arbitrary mechanisms for passing on the charter to staff and obtaining ownership in their departments.

The final question under organizational commitment was whether there is a framework for periodical review of the charter. All responses were in the affirmative with respondents indicating that the charter is reviewed after every three years. The last such review was done in 2013.

Interviewer: “Is there an arrangement for periodic review of the charter?”
Respondent 15: “yes in fact the current charter was reviewed in 2013”

4.6. Grievance Redress Mechanism

Government policy guidelines on citizen service charters have a requirement that the charter should have a clear mechanism for resolving and redressing complaints by citizens and clients who are aggrieved by the services being offered. This study sought to find out the extent to which this has been institutionalized at KCAA. Respondents were asked whether they maintained departmental complaints registers. All respondents indicated that only one register is maintained in the Consumer Protection Department. To assess the efficacy of the grievance redress mechanism, respondents were asked whether the system is robust enough to comprehensively resolve consumer complaints. A proxy indicator for an effective complaints handling system is the number of filed complaints that have been resolved without recourse to litigation or intervention by other arms of government. Without quantifying, a key informant, simply said that “many” complaints eventually end up in court because consumers are not satisfied with internal complaints handling mechanisms.

To the question; “Does your organization compensate consumers who suffer loss as a result of your failure to achieve set service standards?” all responses were negative.

“No we don’t have a policy to support that” (key informant)
There is no policy on compensation and consumers who are not satisfied with internal grievance redress mechanisms are free to seek redress through litigation or remedial action from other regulatory arms of government.

4.7. Results from Focus Group Discussions

Two focus group discussion sessions were organized on 27\textsuperscript{th} and 28\textsuperscript{th} February 2015 at KCAA’s training directorate, the East African School of Aviation. The purpose of these sessions was to assess the validity and reliability of data from the in-depth interviews through data source triangulation. Both sessions were moderated by the Researcher and guided to tease out information on the research objectives. The focus group discussion sessions addressed three key research issues. Firstly, they evaluated the extent of stakeholder awareness about the existence of the Charter. They also assessed stakeholder participation in its development and the extent to which the Charter reflects their expectations about service standards in terms of quality, cost and timeliness. Finally they sought stakeholder assessment about the effect of the Charter on service delivery generally.

During the first session, a sample of twelve respondents from KCAA’s clients participated in the discussion. Out of the twelve, only one respondent was aware about the existence of the charter. None of the respondents knew that they were entitled as a matter of right to participate in its development. As to whether the Charter reflected their expectations about service standards, respondents indicated that some of the issues they considered important were not reflected in the final charter. They cited lack of affordable restaurants and hostel facilities for students as key issues not covered in the Charter. It seems on the whole that there was little on or no stakeholder involvement in the development of the Charter. Insofar as its effect on service delivery is
concerned, respondents indicated that the quality and timelines indicated in the charter have not been achieved in practice. An example cited by the respondents was issuance of Identity Cards to students which according to the Charter should be done within seven days after admission. Respondents indicated that although they had been in the training institution for three months, none had been issued with Identity Cards.

“Now like IDs. We were supposed to get them when we reported but as yet we don’t have them (Student participant in Focus Group Discussion No.1)

No explanation was proffered by the offices responsible for the issuance of Identity Cards. Since the cards were required at the School’s library before students could borrow books, none of the respondents has been able to access this service. According to respondents the charter has had little or no effect on service delivery. In the words of one respondent;

“There is a big difference between what is indicated in that Charter and what obtains on a daily basis” (Student participant in Focus Group Discussion No.1)

The second discussion session was held at the same venue on Friday 28th February 2015. Participants were drawn from a key internal stakeholder group namely KCAA’s rank and file staff. A target twelve respondents participated in the discussions. Unlike their counterparts in the first group, all participants in the second session were aware about the existence of the Charter. This confirms the existence of an effective system of awareness creation among internal stakeholders. That notwithstanding, none of the respondents was involved in the development of
the Charter. Indeed, none of the respondents was aware that they were entitled to participate in its development.

*Interviewer:* “Describe how members of staff are involved in the development of the charter

*Respondent:* “Charters are prepared by management. Ours is to implement (Staff participant at Focus Group Discussion No. 2)

Insofar as its effect on service delivery is concerned, respondents opined that the Charter has had little or no effect on service delivery. There are no incentives to obtain ownership among staff and respondent viewed its implementation as the responsibility of their departmental managers

**4.8. Overall Impact on Service Delivery**

The overarching objective of the study was to find out whether service delivery in public sector institutions has been affected by the implementation of the service charter. The study sought to answer a key public policy issue that is, have public sector institutions become more citizen-focused in their service delivery orientation as a result of the implementation of citizen charters? Respondents in the in-depth interviews were asked to comment on the impact of the charter on service delivery. All respondents indicated that the charter has made them more accountable and this has impacted positively on service delivery. As one respondent put it;

“As I see it, the mere fact that customers and tax payers have been made aware that they are entitled as a matter of right to quality goods and services from public institutions is a big step in the right direction”. (Respondents 16)

Customer satisfaction surveys have been carried out regularly by KCAA, to assess the extent to which stakeholder expectations have been met. At the national level, the threshold of accountability and service delivery in the public sector has also been raised through the creation of a constitutional Commission on Administrative Justice in the Constitution of Kenya 2010 that acts as an independent guarantor of service delivery, accountability and due process. According
to a key informant, KCAA is obligated to file quarterly reports with the Commission on Administrative Justice on all complaints received with explanatory notes on how each complaint has been handled and resolved.
Table 4.1 Summary of responses from in-depth interviews

<table>
<thead>
<tr>
<th>Research Issue</th>
<th>Responses</th>
</tr>
</thead>
<tbody>
<tr>
<td>Does the Organization have a Charter?</td>
<td>Yes, all respondents indicated that KCAA has a charter</td>
</tr>
<tr>
<td>Describe the process of formulation</td>
<td>Majority of the respondents indicated that the charter is developed by</td>
</tr>
<tr>
<td></td>
<td>departments and consolidated by a select taskforce for adoption by</td>
</tr>
<tr>
<td></td>
<td>management</td>
</tr>
<tr>
<td>Do departments have charters</td>
<td>Yes, each department has a departmental charter</td>
</tr>
<tr>
<td>Key internal stakeholders</td>
<td>Identified to include staff, other departments, management,</td>
</tr>
<tr>
<td>Key external stakeholders</td>
<td>Government of Kenya, Customers, Suppliers, Intergovernmental agencies</td>
</tr>
<tr>
<td>Extent of stakeholder involvement in departmental</td>
<td>Stakeholders are not involved in the development of departmental charters</td>
</tr>
<tr>
<td>charters</td>
<td></td>
</tr>
<tr>
<td>Extent of stakeholder involvement in the corporate</td>
<td>One stakeholder conference in August 2013</td>
</tr>
<tr>
<td>charter</td>
<td></td>
</tr>
<tr>
<td>Standards reflect stakeholder expectations?</td>
<td>Standards are derived from the KCAA mandate</td>
</tr>
<tr>
<td>Performance monitoring and evaluation</td>
<td>There are no mechanisms for performance monitoring and evaluation</td>
</tr>
<tr>
<td>Do departments get adequate resources?</td>
<td>All respondents indicated that departments are adequately resourced.</td>
</tr>
<tr>
<td>Incentive scheme for staff and departments</td>
<td>There is no scheme to reward or compensate staff or departments</td>
</tr>
<tr>
<td>Awareness creation among stakeholders</td>
<td>No policy on awareness creation among staff and citizens</td>
</tr>
<tr>
<td>Redress mechanisms</td>
<td>There are no mechanisms for redress and complaints handling</td>
</tr>
<tr>
<td>compensation scheme</td>
<td>There is policy on compensating aggrieved customers</td>
</tr>
<tr>
<td>Impact on service delivery</td>
<td>Public institutions have become more citizen centred,</td>
</tr>
</tbody>
</table>
CHAPTER FIVE: SUMMARY OF FINDINGS, CONCLUSIONS AND RECOMMENDATION

5.1. Introduction
This section reviews key findings of this research study and draws conclusions arising from these findings. It recommends measures and interventions that the actions of the implementing agencies will achieve the intended policy objectives as envisioned by the policy makers. Identified gaps between the normative ideals of the policy makers and the empirical everyday strategies of the implementing agencies are discussed at length. The chapter concludes by identifying unresolved gaps that provide frontiers for further research.

5.2. Development of the Charter
A key objective of the study was to carry out an exploratory inquiry into how citizen service charters have been developed and implemented at the KCAA. The study established that the KCAA charter has been developed through a hybrid process that borrows from elements of both the top down and bottom up policy making processes. Heads of functional units bear primary responsibility for initiating development of departmental charters. Departmental charters are then consolidated into one draft corporate charter that is presented to management for consideration and adoption. Management sets the tone and provides leadership in the implementation process by providing a forum for stakeholder engagement, creating internal mechanisms that increase the likelihood of its successful implementation, and availing the necessary resources. Management also puts in place mechanisms for receiving and resolving complaints when they arise. The study has established that these policy intentions have been achieved with varying degrees of success.
5.3. Stakeholder Involvement

Development of the charter has had little stakeholder engagement. In the absence of an overarching policy, management has a dim view of the need for such an engagement. KCAA seems to have an inward orientation that precludes meaningful stakeholder engagement. The only evidence of active stakeholder engagement is one stakeholder forum that was organized on 25th August 2013 at the East African School of Aviation. Stakeholder input was received and documented but it is not possible to determine the extent to which the current charter reflects stakeholder expectation about the quality, cost, and timeliness of the standards set in the charter. Through focus group discussions with key stakeholder groups, the study established that some issues they considered as key have not been included in the charter.

5.4. Organization Commitment

The study sought to assess the extent of organizational commitment to the successful implementation of the KCAA Charter. A number of proxies were conceptualized by the Researcher to measure the extent of this commitment. The study established that there is no guiding philosophy on the setting of performance standards which has resulted in arbitrariness in the setting of standards. There is ambiguity as to what the standards in the charter represent. Furthermore, there are no mechanisms for measuring, monitoring and evaluating performance against the set standards. While departments are not constrained in the allocation of the resources necessary for the implementation of the charter, there is no incentive scheme to reward and/or sanction them for their performance on the charter and this has resulted in apathy and lack of ownership. There are no structured systems for awareness creation and the objectives of the charter have not been disseminated to rank and file staff resulting in low diffusion among both internal and external stakeholders. Furthermore, the objectives of the charter have not been incorporated in the staff training programmes.

5.5. Grievance Redress Mechanisms

While KCAA has established structures to deal with consumer complaints and grievance handling, the study established that the current structures have not been
effective. A Consumer Protection Department has been established to specifically deal with consumer complaints. It also acts as the liaison department with other arms of Government. The department receives and records consumer complaints and prepares a preliminary assessment before forwarding them to the responsible line managers for remedial action. A register of all complaints and grievances is maintained by the same Department. At the end of each quarter, the Department prepares a report on all complaints received and how each has been handled and/or resolved and submits the report to the Constitutional Commission on Administrative Justice. However grievance redress mechanisms have been hampered by a number of limitations. For example, the structures lack mechanisms for compensating clients who suffer financial loss and some complaints have ended up in the courts of law. Secondly, the Consumer Protection Department is viewed with suspicion by line managers who see its activities as an intrusion in their departmental affairs.

5.6. Conclusion

The study established that the implementation of citizen charter at KCAA has had little effect on service delivery. Management views the charter as an imposition from the central government. While efforts have been made to comply with the policy requirement, the implementation process lacks enthusiasm and managers have frustrated efforts to create accountability mechanisms. Respondents had a good grasp of the both external and internal stakeholders. However, stakeholder engagement is passive, intended to create an impression that the policy requirements have been met. Apart from the one stakeholder forum during which the draft charter was presented, little effort has been made at awareness creation and establishing an active feedback loop for stakeholders. There are no structured mechanisms for awareness creation which has resulted in a low diffusion rate and lack of ownership. Furthermore, mechanisms for performance measurement, monitoring and evaluating are lacking and there are no incentive schemes to reward and/or sanction departments and staff. This has resulted in lack of accountability with the attendant negative impact on service delivery. Grievances redress mechanism are not applied effective and
consistent which has exposed KCAA to the real and potential risk of litigation by dissatisfied customers.

5.7. Recommendations

Arising from the foregoing KCAA needs to put in place a number of interventions to guarantee the successful implementation of the charter. Firstly, the charter development process requires some policy framework that will guide standard setting and put in place systems for performance measurement monitoring and evaluation. Secondly, KCAA should proactively embrace stakeholder involvement. There is a lot of benefit in tapping into the collective intelligence of stakeholders. Thirdly KCAA should develop an awareness creation and training scheme that will cascade the objectives of the charter throughout the organization and provide an assurance for its successful implementation. It should build on current successes in the areas of resource allocation and strengthen the framework for periodical review so that the charter supports and institutionalizes quality management in its business processes. Finally there is need to establish a credible, transparent and accessible mechanism for complaints handling and resolution with clear channels through which citizens can log grievances. KCAA should also put in place effective internal processes for redress with inbuilt mechanisms for monitoring and evaluating trends in grievance data.

5.8. Areas for Future Research

This study encountered methodological issues related to identifying suitable proxies for the variables under study. The study also adopted case study method which has attendant limitations on the generalizability of the findings. The findings of the study are therefore indicative rather than conclusive. The study was also constrained by the limited resources. These challenges provide an opportunity for a more refined replication research targeting all public institutions with samples drawn from government ministries, devolved governments units, state corporations, the judiciary, and other government agencies.
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### AI: SAMPLING FRAME

<table>
<thead>
<tr>
<th>No.</th>
<th>Department</th>
<th>Current Holder</th>
<th>Station</th>
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<tbody>
<tr>
<td>1</td>
<td>Chief Communications Officer</td>
<td>John Waweru</td>
<td>Head Office</td>
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<tr>
<td>2</td>
<td>Manager Air Traffic Services</td>
<td>Erastus Njogu</td>
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<tr>
<td>3</td>
<td>Manager AIS</td>
<td>Joseph Maina</td>
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<td>Manager Engineering Services</td>
<td>Shadrack Wesechere</td>
<td>Head Office</td>
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<td>5</td>
<td>Chief Ground Operations Inspector</td>
<td>Peter Munyao</td>
<td>Head Office</td>
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<tr>
<td>6</td>
<td>Manager Air Transport</td>
<td>Mercy Awori</td>
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<td>7</td>
<td>Manager Airworthiness</td>
<td>Nicholas Muhoya</td>
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<td>8</td>
<td>Manager Aviation Security</td>
<td>Gaeb Ashiono</td>
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<td>9</td>
<td>Manager Flight Operations</td>
<td>Raphael Kingori</td>
<td>Head Office</td>
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<td>10</td>
<td>Manager Personnel Licensing</td>
<td>Naomi Mwangi</td>
<td>Head Office</td>
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<td>Cyril Wayongo</td>
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<td>12</td>
<td>Manager Corporate Communication</td>
<td>Mutia Mwandikwa</td>
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<td>13</td>
<td>Manager Corporate Planning</td>
<td>James Kimuyu</td>
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<td>14</td>
<td>Manager Finance</td>
<td>Gladys Byegon</td>
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<td>Manager HR &amp; Administration</td>
<td>Thomas Bett</td>
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<td>Manager ICT</td>
<td>James Kagwe</td>
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<td>Manager Internal Audit &amp; Review</td>
<td>Gerald Muthee</td>
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<td>William Kitum</td>
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<td>Joseph Yator</td>
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<td>20</td>
<td>Registrar Academics - EASA</td>
<td>Dr. Serah Waitiki</td>
<td>EASA</td>
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</tbody>
</table>
AII: INTERVIEW SCHEDULE

PART A: BACKGROUND INFORMATION

NAME: (Optional)…………………………..Designation……………………………
Directorate……………………………….. Department……………………………..
Station………………………………………………

1. Does your organization have a Citizen Charter?
   (   ) Yes  (   ) No

2. Which of the following statements best describes the process of formulation and implementation of Citizen Charters in your organization (circle appropriate response)
   a. Developed by top management and passed on to functional units for implementation
   b. Developed by functional units and consolidated for adoption by management before implementation
   c. Developed by a select taskforce and submitted for adoption by management before implementation
   d. Developed following a brainstorming section with stakeholders and staff
   e. Compiled from existing documents about the activities of the organization
   f. None of the above (in which case the respondent will be asked to describe the exact process)

3. Does your Department/Station have a Charter?
   (   ) Yes  (   ) No

4. (Please describe briefly how the departmental charter was developed)

PART B: Stakeholder Participation

5. A stakeholder has been defined as someone or organization that can affect or is affected by what you do or fail to do. Please name some of the people or organizations that you consider most likely to affect or be affected by activities in your department

   **Internal Stakeholders**
   a. 
   b. 
   c. 

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**External Stakeholders**

a. _________________________________________________________________

b. _________________________________________________________________

c. _________________________________________________________________

6. Does your department involve any of the above stakeholders in the formulation of the service charter? *(If yes, prompt the respondent to describe the nature of the involvement)*

7. Please describe the nature and extent of stakeholder participation in the design and implementation of the charter

   (   ) **Stakeholder forums** (   ) **Written Memoranda** (   ) **Surveys**

   (   ) **Suggestion boxes** (   ) **Others (specify):** __________________________

PART C: Organizational Commitment

8. Which of the following statements describes how service charter standards are set in your organization?
   a. Developed following a brainstorming session with stakeholders and staff
   b. Compiled from existing documents about the activities of the organization
   c. None of the above *(in which case the respondent should describe the exact process)*

9. The service charter standards are set to reflect *(read out the options and request the respondents to choose)*?

   (   ) Average standards in the industry

   (   ) Best practice
( ) Minimum standards that meet regulatory or legal expectations
( ) Organizational standards set by Management
( ) Standards set by frontline staff responsible for the service

10. Do you monitor performance against set standards?
   ( ) Yes  ( ) No

11. Do you measure of actual performance? Do you receive reports from your subordinates on actual performances *(prompt respondent to describe nature and form of the reports)*
   ( ) Yes  ( ) No

12. Are you required to submit reports on actual performance to your superiors? *(prompt respondent to describe nature and form of the reports)*
   ( ) Yes  ( ) No

13. Does your Department get sufficient resources in support of the service charter?

14. Are there charter objectives that you have not been able to achieve due lack of resources?

15. Does the organization have a system of rewarding departments that consistently achieve service standards? Please describe briefly.

16. Does the organization have a system of sanctioning departments that do not achieve service standards? Please describe briefly.

17. Does the organization have a career development plan for individual employees?

18. Are achievements under the charter built into the staff career development plan

19. Staff who achieve service standards are rewarded/recognized. To what extent do you agree with this statement?

20. Staff who do not achieve standards are sanctioned. To what extent do you agree with this statement?

21. The charter forms part of the training programme for your personnel, do you agree?

22. Is there an arrangement in place for periodic review of the charter?
PART C: Grievance Redress Mechanisms

23. How do you create awareness for the charter among stakeholders? Please describe briefly

24. The service charter includes redress mechanisms for customer complaints, do you agree? Please elaborate

25. Please describe how customers complaints are handled and resolved

26. Does your organization compensate customers who may suffer loss as a result of failure to achieve service standards?

PART D: Impact on Accountability

27. Have citizen charters been successful in improving accountability in your organization?

28. To what extent does the departmental charter reflect the expectations of the various stakeholders?

29. Where stakeholders are not involved in the development of the service charter, how do you ensure that the departmental charter reflects stakeholder expectations

30. In your assessment, is KCAA committed to the successful implementation of citizen charters

31. Has KCAA’s institutional mechanisms been effective in dealing with customer complaints.

Thank you for taking part in this survey