

Legal Mechanisms for Evaluating and Classifying the Effectiveness of Handling Appeals of Individuals and Legal Entities in Public Administration

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Abstract: This article examines the legal mechanisms for evaluating and classifying the effectiveness of activities related to handling appeals from individuals and legal entities within the system of public administration. The study analyzes the institutional and legal significance of appeals as an important mechanism for ensuring communication between citizens and state authorities, strengthening public oversight, and improving the quality of governance. Special attention is paid to the normative and legal framework of the Republic of Uzbekistan regulating activities in this sphere, including constitutional provisions, sector-specific legislation, presidential decrees, and resolutions of the Cabinet of Ministers. The article particularly analyzes the evaluation and classification mechanism established by Resolution No. 341 of May 7, 2018, and examines the role of digital technologies in improving transparency and efficiency in handling appeals. Based on theoretical and legal analysis, the study substantiates the importance of evaluation and classification systems as instruments for increasing the effectiveness, accountability, and responsiveness of public administration institutions.

Keywords: Public administration, citizens' appeals, legal entities' appeals, evaluation mechanisms, classification system, legal regulation, digitalization, public oversight, effectiveness assessment, administrative reform.

Introduction: At the present stage, the effectiveness of public administration is determined, first and foremost, by the degree to which open and effective communication with citizens is ensured. From this perspective, appeals submitted by individuals and legal entities are becoming an important source of information for assessing the activities of state bodies, identifying the needs and problems of the population, and improving public policy.

In recent years, particular attention has been paid in the Republic of Uzbekistan to the fundamental reform of the system for handling appeals. In particular, the establishment of the People's Receptions and Virtual Receptions of the President of the Republic of Uzbekistan created a new institutional mechanism for communication between state bodies and the population. At the same time, this contributed not only to ensuring the promptness and transparency of the consideration of appeals, but also to increasing the

significance of public opinion within the system of public administration.

At the same time, practice demonstrates that, in the sphere of handling appeals, it is insufficient to limit activities merely to receiving and reviewing appeals. Rather, evaluating the effectiveness of this process, scientifically classifying appeals, and conducting their in-depth analysis for use in public administration decision-making have become pressing tasks.

In this regard, the videoconference meeting chaired by President Shavkat Mirziyoyev on March 13, 2026, dedicated to improving the system for handling public appeals, is of particular importance. During the meeting, important tasks were identified, including elevating the system for handling appeals to a new stage, strengthening the activities of the People's Receptions, systematically analyzing appeals, and evaluating the performance of state bodies on the basis of rankings. It was also specifically emphasized that

appeals constitute one of the primary sources for identifying public sentiment and social problems for state bodies.

In particular, as emphasized by the Head of State during the videoconference meeting, the country's population has exceeded 38 million, while the working-age population amounts to more than 20 million. In addition, it was noted that, in recent years, citizens' engagement in submitting appeals to state bodies has been steadily increasing. This situation indicates that the workload on the system for handling appeals is growing, while simultaneously increasing the necessity of effectively organizing this system, analyzing appeals, and adopting management decisions on their basis.

Specifically, it was criticized that certain ministries and agencies were limiting themselves to superficial responses instead of resolving appeals in practice. In particular, it was noted that the Ministry of Higher Education, Science and Innovation failed to provide effective solutions for 64 percent of appeals, the Inspection for Supervision in the Sphere of Construction and Housing and Communal Services for 61 percent, and the Ministry of Transport for 58 percent. Such cases demonstrate that, when evaluating the effectiveness of handling appeals, relying solely on formal indicators is insufficient; rather, it is also necessary to take into account their substantive effectiveness and practical outcomes.

This approach demonstrates the necessity of viewing appeals not merely as an ordinary administrative process within public administration, but as an important instrument for evaluating effectiveness and making strategic decisions.

METHODOLOGY

In this study, both general scientific and specialized legal research methods were employed to examine the legal mechanisms for evaluating and classifying the effectiveness of handling appeals from individuals and legal entities in state bodies. In analyzing the theoretical foundations of the research, the formal-legal method was applied, through which the content of the Constitution, the Law "On Appeals of Individuals and Legal Entities," the Regulation approved by Resolution No. 341 of the Cabinet of Ministers dated May 7, 2018, as well as other normative legal acts regulating this sphere, were comprehensively examined.

In order to conduct a comprehensive study of the processes involved in handling appeals, the system analysis method was applied, allowing the identification of functional interrelations among these processes. Furthermore, in studying the experience of foreign countries, the comparative-legal method was

used, and scientific conclusions were formulated through comparisons with national legal mechanisms.

The study also utilized statistical analysis and content analysis methods to examine the indicators used in evaluating the effectiveness of handling appeals. In addition, through the application of logical analysis, induction, and deduction methods, the existing legal norms and practical mechanisms were analyzed, and scientifically grounded conclusions and proposals aimed at improving the system for handling appeals were developed.

DISCUSSION AND RESULTS

The institution of handling appeals in state bodies is regarded as one of the important forms of interaction between citizens and the state within the modern system of public administration. In academic literature, appeals are interpreted as a practical mechanism for citizens' participation in public administration, as well as a means of exercising public oversight over the activities of state bodies.

In particular, the foreign scholar Georg Wilhelm Friedrich Hegel evaluates the right to express opinions and submit appeals within the relationship between the state and citizens as an inseparable element of civil society. In his view, the state can function effectively only when it takes into account the needs of its citizens. From this perspective, appeals serve as a "feedback" mechanism in public administration.

Representatives of modern public administration theory, David Osborne and Ted Gaebler, within the framework of the "reinventing government" concept, emphasize that citizens' appeals constitute an important source of information for improving the effectiveness of state bodies. According to their views, state bodies should not merely function as service providers, but rather as systems capable of adapting to the demands and needs of citizens.

Furthermore, according to Jürgen Habermas's theory of communicative action, effective communication between the state and society should be based on openness and exchange of opinions, while appeals represent the institutional form of such communication.

In the Republic of Uzbekistan, the legal foundations for handling appeals are regulated by the Law "On Appeals of Individuals and Legal Entities." According to this Law, an appeal is defined as an application, proposal, or complaint submitted by an individual or legal entity to state bodies, organizations, or officials.

Article 28 of this Law establishes specific timeframes for the consideration of appeals. In particular, appeals must generally be reviewed within 15 days, while in

cases requiring additional examination, the review period may be extended up to one month. This norm serves as one of the important criteria for evaluating the effectiveness of state bodies.

Furthermore, Article 4 of the Law establishes such principles for the consideration of appeals as legality, timely and comprehensive review of appeals, and uniformity of requirements in handling appeals. These principles create the legal basis for assessing the quality of activities related to handling appeals. However, practice demonstrates that these principles are often applied only formally, while insufficient attention is paid to the substantive resolution of appeals.

National researchers also pay particular attention to this issue. In particular, according to Academician A.Kh. Saidov, the primary focus within the system for handling appeals should be directed not merely toward statistical indicators, but rather toward their social effectiveness and practical outcomes.

At the same time, certain studies consider the institution of appeals as an independent indicator for evaluating the performance of state bodies. For example, the foreign scholar Mark Bevir emphasizes that the effectiveness of public administration decisions can be improved through a “public feedback” system.

The analysis of the above-mentioned theoretical approaches and legal norms demonstrates that the institution of handling appeals constitutes not only a mechanism for ensuring citizens’ rights, but also an important instrument for evaluating and improving the effectiveness of public administration.

In the Republic of Uzbekistan, activities related to handling appeals from individuals and legal entities are regulated by a multi-level and systematic normative-legal framework. The legal foundations of this institution begin with constitutional provisions and are further strengthened through sector-specific laws, presidential decrees and resolutions, as well as the norms of legal liability established in relevant codes.

First and foremost, the right to submit appeals is recognized as one of the fundamental rights guaranteed by the Constitution of the Republic of Uzbekistan. In particular, according to Article 40 of the Constitution, every person has the right to address state bodies, institutions, and officials individually or collectively. This provision establishes the constitutional foundation of the institution of appeals and imposes upon state bodies the obligation to review such appeals.

The principal normative act regulating the sphere of handling appeals is the Law “On Appeals of Individuals

and Legal Entities”. This Law defines the types of appeals, the procedures for their submission and consideration, as well as the obligations of state bodies in this regard.

The institutional and organizational development of the system for handling appeals was significantly stimulated by Presidential Decree No. PF–4904 dated December 28, 2016, “On Measures for the Fundamental Improvement of the System for Handling Appeals of Individuals and Legal Entities”, adopted at the initiative of President Sh.M. Mirziyoyev . In particular, the establishment of the People’s Receptions and the President’s Virtual Reception introduced entirely new mechanisms for receiving and reviewing citizens’ appeals.

As a result of these reforms, the institutional foundations for communication with the population were formed, while the levels of transparency and accountability in the sphere of handling appeals increased significantly. At the same time, opportunities for digitizing the processes of receiving and reviewing appeals, analyzing them, and identifying systemic problems were substantially expanded.

In this regard, reforms aimed at further improving the system for handling appeals and strengthening its digital and institutional mechanisms have continued consistently in subsequent years. Particular attention has been paid to increasing oversight efficiency and automating the process of reviewing appeals through the introduction of modern information technologies.

As a logical continuation of these reforms, Presidential Decree No. PD–51 dated April 1, 2026, “On Additional Measures for the Effective Organization of the Public Communication System” , was adopted. This Decree is of particular importance as a significant legal act aimed at elevating the system for handling appeals to a new stage, further developing its digital infrastructure, and strengthening oversight mechanisms.

In particular, pursuant to the Decree, beginning from May 1, 2026, a real-time monitoring system was introduced for appeals submitted through the information system of the Virtual Reception of the President of the Republic of Uzbekistan. Under this mechanism, appeals exceeding the established review period are automatically forwarded to a higher state authority. This plays an important role in ensuring compliance with appeal review deadlines and strengthening executive discipline.

At the same time, within the information system of the Virtual Reception, the practice of categorizing appeals as “urgent,” “ordinary,” and “requiring consultation” was introduced during the process of receiving appeals. The establishment of a procedure requiring higher

authorities to re-examine appeals returned for oversight within three working days serves to ensure promptness and efficiency in the process of reviewing appeals.

The Decree also introduced new mechanisms aimed at strengthening the accountability of heads of state bodies and organizations in the sphere of handling public appeals. In particular, it established a procedure whereby reports of heads of state bodies and organizations are to be heard in the Legislative Chamber and the Senate, while reports of khokims and heads of territorial state bodies are to be heard at least once every quarter in the Senate or relevant local councils. This serves to strengthen parliamentary and local representative oversight in the sphere of handling appeals.

In addition, the Decree provides that the information services of state bodies and organizations, in cooperation with the People's Receptions, shall widely cover the state of handling appeals in the regions through mass media and social networks, as well as examine objections related to the appeal review process. These measures contribute to enhancing transparency and public oversight in the process of handling appeals.

According to the Decree, the establishment of the People's Reception of the President of the Republic of Uzbekistan under the President of the Republic of Uzbekistan was envisaged. This institution is intended to ensure centralized management in the sphere of handling appeals, facilitate the prompt resolution of public problems, and further expand opportunities for systematic analysis.

Furthermore, the Chairman of the Council of Ministers of the Republic of Karakalpakstan, regional and Tashkent city khokims, as well as district and city khokims, were assigned the responsibility of supervising the relevant People's Receptions on a public basis and regularly conducting personal receptions of citizens. This measure is significant in that it contributes to resolving public problems locally and reducing the recurrence of appeals.

Another important direction established by the Decree was the complete digitization of the system of personal and mobile receptions conducted by state bodies and organizations. This created the opportunity to establish continuous oversight over the reception process and to develop a unified electronic system for recording appeals.

Furthermore, the introduction of a procedure for examining collective appeals with the participation of community representatives and the "mahalla seven," as well as removing such appeals from oversight based

on their consent, serves to expand public participation in the process of reviewing appeals.

Overall, this Decree may be regarded as an important legal step aimed at ensuring effective communication with the population through the digitization of the system for handling appeals, strengthening its institutional foundations, and enhancing public and parliamentary oversight over the activities of state bodies.

At the same time, issues of liability for violations of legal requirements in the sphere of handling appeals are provided for in the Code of Administrative Responsibility of the Republic of Uzbekistan. In particular, Article 43 of this Code establishes administrative liability for untimely consideration of appeals, unreasonable refusal to review them, or violations of the procedure for their consideration.

In certain cases, relations connected with appeals are also regulated by the norms of the Criminal Code of the Republic of Uzbekistan. For example, Article 144 of the Code provides that intentional violations committed by officials during the consideration of appeals, including abuse of authority, may give rise to criminal liability.

In addition, the process of handling appeals is closely connected with the provisions of the Law "On Administrative Procedures". This Law establishes the procedures for decision-making by state bodies, the participation of interested persons, the substantiation of decisions, and the principles of transparency, all of which directly influence the quality of the consideration of appeals.

Thus, the normative-legal framework regulating activities related to handling appeals in Uzbekistan possesses a comprehensive character, being formed through constitutional norms, specialized laws, presidential acts, and codes establishing legal liability.

The Regulation approved as Appendix 11 to Resolution No. 341 of the Cabinet of Ministers dated May 7, 2018, "On Approving Certain Normative Legal Acts in the Sphere of Handling Appeals of Individuals and Legal Entities in State Bodies, State Institutions, and Organizations with State Participation," comprehensively establishes the procedure for evaluating and classifying the activities of state bodies, state institutions, organizations with state participation, and their officials in handling appeals from individuals and legal entities.

According to Paragraph 1 of the Regulation, this process includes the receipt, registration, consideration, and lawful resolution of appeals, as well as the analysis of the results of such activities and the provision of a legal assessment thereof. At the same

time, Paragraph 3 of the Regulation defines the concept of evaluation and classification as the assessment of the activities of state bodies and officials based on the analysis of the results of handling appeals, as well as their assignment to the relevant categories.

Pursuant to Paragraph 6 of the Regulation, the evaluation of the effectiveness of handling appeals is carried out on the basis of data accumulated within the information system. In this process, indicators such as the satisfaction or rejection of appeals, compliance with review deadlines, and the proportion of repeated appeals are taken into account. Furthermore, Paragraph 4 of the Regulation establishes that the evaluation process is based on such principles as effectiveness, accountability, digitization, prioritization of the interests of applicants, and systematic analysis.

Paragraph 5 of the Regulation establishes classification as a separate mechanism, which предусматривает the categorization of state bodies and their officials according to their level of effectiveness on the basis of evaluation results. Classification is carried out automatically within the information system, and according to Paragraph 9 of the Regulation, the activities of state bodies are divided into three main categories – green, yellow, and red categories. These categories correspond respectively to high, medium, and low levels of effectiveness.

Strict requirements have been established for inclusion in the green category. In particular, according to Paragraph 10 of the Regulation, the rate of satisfied appeals must constitute at least 80 percent, the deadlines for reviewing appeals must be fully complied with, and the proportion of repeated appeals must not exceed 5 percent. In addition, it is required that at least three mobile receptions be conducted each quarter and that at least 80 percent of the appeals raised during such receptions be resolved positively. These criteria require a high level of organizational capacity and effective communication with the population.

The requirements for the yellow category are set at a relatively moderate level. Pursuant to Paragraph 11, the rate of satisfied appeals must range between 50 and 80 percent, violations of review deadlines must not exceed 1 percent, and the proportion of repeated appeals must not exceed 10 percent. At the same time, at least two mobile receptions must be organized each quarter, and at least half of the appeals considered during such receptions must be resolved positively. This category reflects an average level of effectiveness.

The red category, in turn, signifies low effectiveness. As established in Paragraph 12, a state body is classified under this category if the rate of satisfied appeals is below 50 percent, the violation of review deadlines

exceeds 1 percent, and repeated appeals account for more than 10 percent. Furthermore, the insufficient organization of mobile receptions or the complete absence thereof may also serve as grounds for placement in this category.

Paragraph 13 of the Regulation systematizes these criteria in the form of a table, specifying clear indicators for each category, namely the rate of satisfaction of appeals, violations of deadlines, the proportion of repeated appeals, and the number of mobile receptions conducted. This contributes to making the evaluation process more precise and transparent.

Moreover, according to Paragraph 14, the evaluation is carried out automatically through the information system at the end of each quarter. Such digitization serves to minimize the human factor and ensure objectivity. Paragraph 15 further provides that the classification results shall be used as KPI indicators in evaluating the effectiveness of officials' activities. In particular, the KPI score is determined as 100 percent for the green category, 50 percent for the yellow category, and 10 percent for the red category.

According to Paragraph 16 of the Regulation, if a state body is assigned to the "red" category, disciplinary measures may be imposed on its leaders. If such a situation is repeated two or more times within one year, the matter is subject to consideration at the level of the Cabinet of Ministers.

Thus, this Regulation establishes the evaluation and classification of activities related to handling appeals as a digitized and automated system based on clear criteria, thereby creating the possibility for the systematic identification and assessment of the effectiveness of state bodies' activities.

Issues related to the evaluation and classification of activities concerning the handling of appeals in state bodies have emerged as a distinct subject of research within modern public administration. In scholarly literature, this institution is regarded as an important mechanism for assessing the effectiveness of state bodies, ensuring public oversight, and identifying the needs of citizens.

In particular, scholars T. Bovaird and E. Löffler, in their studies devoted to evaluating the quality of public services, emphasize that citizens' appeals perform the function of an important indicator in determining the effectiveness of state bodies. In their view, the quality of public services should be assessed not only through internal indicators but also on the basis of citizens' opinions and appeals.

In studies dedicated to the assessment of performance in public administration, C. Pollitt and G. Bouckaert

note that the “performance measurement” system in the public sector should be developed taking into account appeals, complaints, and citizens’ feedback. According to them, the system of appeals constitutes one of the most effective sources for identifying shortcomings in the activities of state bodies.

Furthermore, another scholar, J. Thomas, analyzing public participation in governance, emphasizes that citizens’ appeals represent an important factor influencing the process of public decision-making. In his opinion, through appeals state bodies identify the needs of the population and formulate policies on that basis.

Among the studies concerning the evaluation of the effectiveness of handling appeals, the “Balanced Scorecard” model developed by R. Kaplan and D. Norton is of particular significance. According to this approach, citizens’ satisfaction constitutes one of the principal indicators in evaluating organizational performance, thereby demonstrating the necessity of incorporating appeal analysis into systems for assessing effectiveness.

At the same time, in studies within the field of administrative law, citizens’ appeals are viewed as a legal form of public oversight over the activities of state bodies. For example, Russian scholar V.E. Chirkin emphasizes that the institution of appeals within the system of public administration represents an important legal mechanism regulating the interaction between citizens and the state.

Modern studies also pay particular attention to the importance of digital technologies. Specifically, foreign scholars M. Janssen and S. van der Voort emphasize that the digitization of appeal-handling processes within the framework of e-government increases the accuracy and transparency of evaluating the activities of state bodies.

In addition, another scholar, D. Van Ryzin, scientifically substantiates that citizens’ satisfaction and the analysis of appeals constitute among the principal empirical indicators in assessing the quality of public services.

The analysis of the above-mentioned scholarly approaches demonstrates that activities related to handling appeals constitute an important institutional mechanism for assessing the effectiveness of public administration, exercising public oversight, and identifying citizens’ needs. Moreover, through systems of evaluation and classification of this institution, opportunities for orienting the activities of state bodies toward greater effectiveness are expanding further.

CONCLUSION

The results of this study demonstrate that the

institution of evaluating and classifying activities related to handling appeals of individuals and legal entities in state bodies constitutes an important component of modern public administration. This institution plays a significant role in ensuring effective communication between citizens and the state, increasing the transparency and accountability of state bodies, and improving the quality of administrative decision-making.

As identified during the research, a solid normative-legal framework regulating the sphere of handling appeals has been established in the Republic of Uzbekistan. This framework is based on constitutional provisions, sector-specific laws, presidential acts, and resolutions of the Cabinet of Ministers. In particular, the Regulation approved as Appendix 11 to Resolution No. 341 of May 7, 2018, is of special importance because it established unified, systematic, and digitized mechanisms for evaluation and classification in this sphere.

According to this Regulation, the effectiveness of handling appeals is assessed on the basis of specific criteria, and state bodies as well as officials are classified according to the results obtained. This creates opportunities for increasing effectiveness in public administration, identifying and eliminating shortcomings in a timely manner, and systematically monitoring institutional activities.

At the same time, the analysis of scholarly sources confirmed that the evaluation and classification of activities related to handling appeals represent not only a legal institution but also an important mechanism for ensuring administrative efficiency, strengthening public oversight, and identifying the needs of citizens. Modern approaches indicate the necessity of utilizing digital technologies in this sphere, improving performance indicators, and recognizing citizens’ satisfaction as a principal criterion.

Overall, the system for evaluating and classifying activities related to handling appeals serves as an important legal and institutional mechanism aimed at increasing the effectiveness of state bodies. Its further improvement should therefore be regarded as one of the priority directions in the modernization of public administration.

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