DEVELOPING AND SUSTAINING EFFECTIVE GOVERNANCE

OF UNIVERSITIES IN UGANDA

by

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ABSTRACT

The study critically examines developing and sustaining effective governance of universities in Uganda and the extent to which effective governance has contributed to university management. The specific objectives of the study were to; identify obstacles met in implementing measures of effective governance, identify and describe the steps taken in developing and sustaining effective governance in Ugandan universities, and to develop a governance model suitable for Ugandan universities.

A mixed research methodology utilising both quantitative and qualitative research paradigms was employed to gather data for this study. The study covered five purposely selected universities in Uganda. Survey questionnaires were administered to vice-chancellors, board members, registrar, deans, heads of department, academic staff and students. Semi-structured interviews also were conducted. The quantitative data was analysed using SPSS while qualitative data was organised into different categories.

The following salient findings emerged from the study; the findings presuppose that the universities are governed by boards that are competent and the governance environment was conducive. The governance structures indicate good university governance and the response showed that there were good structures of management in university governance Other findings indicated that Ugandan universities are faced with many obstacles which are limiting the effective governance. It was also indicated that the quality of risk management and internal controls in universities were high.

The conclusion indicated that universities were continuously given more pressure by the government, public employers, politicians, and interested organisations. As a benchmark, university performance was seen as an important factor to justify the relevant functions performed by both public and private universities. It was recommended that Ugandan higher education needs improvement in the governance of universities to reduce the challenges faced. This could be initiated not through incremental change but more importantly through the governance renaissance where by the universities can be provided with a greater leeway in their functions to sustain effective governance.

LIST OF ABBREVIATIONS

CHEPA: Centre for Higher Education Policy Analysis
NCHE: National Council for Higher Education
MUK: Makerere University Kampala
UCU: Uganda Christian University
KU: Kampala University
IUIU: Islamic University in Uganda
ITEK: Institute of Teacher Education Kyambogo
UNISE: Uganda National Institute of Special Education
KYU: Kyambogo University
AGBU: Association of Governing Boards of Universities
UPE: Universal Primary Education
USE: Universal Secondary Education
MDGs: Millennium Development Goals
UASU: University Academic Staff Union

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CHAPTER ONE
ORIENTATION OF THE STUDY

1.1 INTRODUCTION

There have been dramatic changes in the environment in which universities operate and in the academic enterprise in general. There is call for stronger corporate management of universities, greater instrumentalism in curricula for workforce skilling of graduates, growth in student enrolment, and the changing nature of academic work itself (Gallagher, 2001:2). Many challenges have been presented on the way universities are governed, managed and held accountable (Coaldrake, Stedman & Little, 2005:8). Cases such as universities losing their international rankings, stiff competition for funding opportunities, and limited capacity to invest in new educational technologies have been cited.

The above challenges can be reduced by enhancing each staff member's ability to sustain and strengthen the essential nature of the university and facilitate responsiveness to the needs of the people. Universities should implement governance that follows the rule of law, that is participatory, consensus-oriented, accountable, transparent, responsive, effective and efficient, equitable and inclusive, in order to support university management in its efforts to increase efficiency and effectiveness (Edwards, 2000:10).

To develop and sustain effective governance of these universities, the environment in which the universities operate needs to be clearly understood and members of the university community need to understand the university's mission and the part each member plays in the achievement of the university objectives. Members need to understand how formal authority is shared, the scope and form of their involvement in governance, and the need for those in authority to achieve the balance between codification and direction (Edwards, 2000: 11-16).

In order to develop and sustain effective governance in universities, universities require the academic staff, professional and support staff, students and external constituents, to be represented on budgetary, policy and decision making bodies. Appropriate representation of these groups is normally obtained through the university council, elected committees and appointed representatives. In order to

achieve the desired objectives, the appointed members of the university should be selected specifically for the roles in which they will serve.

As noted by Allport (2001:15), each governance pattern in the world reflects the unique history of the sector and the needs of those specific institutional types. Allport (2001:17) contends that to have effective governance in universities, there should be centralised authority for education, strong public and private interests, a lay citizen governing board and responsibilities that departments among universities and institutions should perform.

Since the 1990's, several studies have been done on university governance across the world. Centre for Higher Education Policy Analysis in California, United States of America (2003:1), identifies the assumption of shared governance and decision making, while Gornitzka and Olsen (2006:3), consider university organisation and performance, freedom of individual faculty members, collegial and disciplinary organisation as being central to university governance. Sporn (2003:32) argues for efficiency, downsizing and decentralisation, excellence and public service in running universities. Altbach (2005:19) analyses the different models of university governance structures throughout the world. Unfortunately, there is little empirical or theoretical work on governance systems to support the above statements.

Coaldrake, Stedman and Little (2003:5) discuss the shared traditions and history of university education worldwide, arguing that in order for universities to have effective governance, they should have streamlined structures and shared governance. Coaldrake et al (2003:5-6) contend that in developing and sustaining effective governance, there should be open consultation, effective communication, and participation in decision making bodies. Effectiveness is sustained when there is understanding of the responsibilities and limitations of authority by all members of the university community.

Kezer and Eckel (2004:371) note that throughout the world, many federal, state and local governments have began establishing coordinating and governing boards to coordinate effective governance and institutional management. Kezer and Eckel (2004:372) urge universities to create a governance process that allows all campus stakeholders an opportunity to have a voice and influence.

This should be in an environment of trust, honest communication and collegiality. It should allow each campus constituency to have autonomy and independence, and it should also provide structures that enable them to work collaboratively with other campus groups when appropriate.

Kezer and Eckel (2004:282) argue that the success of a university governance structure depends on collegial relationships and mutual respect among the faculty, professional, support staff, students, administrative officers and representatives of external entities. All members of the university must be accountable for their roles and responsibilities. Policies and procedures to measure performance in these roles are paramount. Clarifying responsibilities is essential to achieving the mission and goals of the university.

Allport (2001:18) observes that European universities have maintained and sustained effective governance by creating new models of management. Corporate and shared governance have been considered new paradigms in university governance that should not be ignored. This observation has been further supported by Sporn (2003:32) who observes that European universities have maintained effective governance by restructuring higher education and implementing notions of new public management. New managerial systems involve different trends such as:

(i) Efficiency in finances with stronger managerial controls and deregulation of the labour markets.

(ii) Downsizing and decentralising activities such as research.

(iii) Designing a model of excellence which focuses on a human resource approach to institutional change with a mix of top-down and bottom-up organisation. The above arrangement appears to lead to better decision making because there is more participation of staff and each member of the university performs a given role.

Baird (2007:101-115) observes that corporate governance was proposed for adoption by universities in the European Union by various higher education reform reports as the most appropriate governance model. Corporate governance enables effectiveness and helps the institutions to cope with pressures imposed on them by a globalised world. According to Baird (2007:115), universities need to have a board which is responsible for managing the university, regulating and approving the university plan and annual reports.

Allport (2001:6) reinforces Baird's observation that the board should appoint the Rector (Vice Chancellor) and cited an example of the Technical University of Defft in The Netherlands where the supervising board consists of members appointed by the Ministry of Education, Culture and Science. For effective university governance, the board had the following roles to play (Allport, 2001:20):

(i) Appointing the executive that was responsible for managing the university.

(ii) Approving the governing and management regulations, approving the university plan and annual reports. Also, students and staff participation was sought on major issues; for instance, they were participated in the process of appointing the top executive.

The above argument is further supported by Gumport (2000:2); Buke (2002:2); Lombardi (2002; 10) and Centre for Higher Education Policy Analysis (2004:5-6) in their analysis of the broad range of governance models that exist within the United States. They suggest a comprehensive summary of the structures for sustaining effective university governance which includes the following:

(i) A single governing board for multiple universities, each with a local board (16 universities).

(ii) A single governance board for a single university (64 universities).

(iii) A single governing board for multiple universities but with no local board.

The above arrangement of management indicates that there is a governing body that can have responsibility for the good governance of the university.

Good governance of university staff has been found to be essential in guaranteeing intellectual freedom, transparency and accountability (Edwards, 2000:25). While reviewing governance in Western Australia, Bradley (2003:1) found out that the governing body exists to oversee the development and adoption of institutional strategic plans and polices, to monitor and renew the institutions' overall performance and to bear ultimate accountability for the institutions. The activities of the board are principally for guiding and reviewing rather than executive management. In addition, its members recognise their overriding responsibility to bring diverse new points together for the advancement of the institution. Bradley (2003:4-6) further observed that the governing body had maintained democracy, board accountability and responsibility, transparency and openness in

decision making and it had enhanced operational effectiveness, all of which are key principles of good governance.

One of the areas of debate in university governance is the role and responsibility of governing bodies. Central to this debate is the relationship between the Vice-Chancellor, the management team and the governing body. Most people would argue that it is the task of a governing body to be engaged in day-to-day management of the university rather than sticking to its broad strategic oversight. Such oversight involves monitoring the performance of the university with respect to its broad academic mission, including at times the activities of the Vice-Chancellor (Allport, 2001:6-8). To maintain good governance, universities should introduce a system of shared governance which helps the bodies to participate in decision making and to gain positions through legitimate means. Legitimacy reduces the confusion of roles and conflict between council and executive management.

In his study, Allport (2001:10) observed that Hong Kong University had committed to the principles of good governance so as to ensure that the university was fit for the purpose as an institution of teaching, research, consultancy and other professional services to the community. These principles emphasise academic freedom and autonomy in performance in terms of added value to student association and academic advancement, public accountability, social responsibility, transparency, ethics and professionalism.

Centre for Higher Education Policy Analysis (2004:12) encouraged university staff members to participate in effective governance in Australian universities. Through exercising their rights and responsibilities, staff would engage in debates concerning the effective operation of their institution and ultimately lead to collective responsibility for the effective performance. In most African countries, however, heads of public universities are approved by government and in some countries it is also the government which appoints Deans and Departmental heads (Chacha, 2001:5). This external influence by government has created a lot of chaos in effective governance of universities because the university body tends to bend to the rules and regulations of the government which may at times have no concern for quality. Chacha (2001:7) argues that the experience witnessed in African universities during the recent past has underscored the need for better governance of universities in terms of efficiency, accountability, transparency, effectiveness and flexibility. This would enable

universities to respond more effectively to the diverse and continuously changing needs of the learners. Reform of educational management in universities is urgently needed to move from highly centralised to participatory decision making, implementation and monitoring.

At independence in 1962, Uganda had one of the best higher education systems in Africa, attracting many students from neighbouring countries. However, the economic and political crises that occurred in the subsequent years damaged the higher education system and created problems of financing, quality and educational relevance (Musisi, 2003:10). The political instability in Uganda has led to decline of education quality, effectiveness and the art of monitoring has reduced. In the 1990's a number of reforms were undertaken to reverse this decline including liberalisation of the education sector, adoption of alternative financing strategies, offering demand driven courses and administrative changes (Musisi, 2003: 10-16).

1.2 UNIVERSITY GOVERNANCE IN UGANDA

Presently, Uganda has over six public universities and 23 private universities besides other tertiary institutions of higher learning offering diplomas and certificates (NCHE, 2010). Of recent, funding of public institutions by government has been declining due to the introduction of universal secondary education. This reduction of finance has also reduced the universities' expenditure on research and governance issues. Inadequate funding has been identified as one of the causes of difficulties in developing and sustaining effective governance at universities. In Uganda, how universities are governed is defined by their charters and the guidelines provided by the National Council for Higher Education (NCHE) which was established in March 2001. The Universities and Other Tertiary Institutions Act 2001 was to provide for the establishment of the National Council for Higher Education, its functions and administration and to streamline the establishment, administration and standards of universities and to provide for other related matters (National Council for Higher Education Act, 2001:7). More details on the National Council for Higher Education Act will be discussed in the following chapters.

Since 2004, a number of Ugandan universities have faced challenges, including failure to pay lecturers on time, under funding of research, high turnover of experienced professors, crumbling physical infrastructure, lecturers and students' strikes, poor international rating and lack of teaching

materials (Kasozi, 2005:5; Ocwich, 2005:7 & Tabeja, 2008:10). Several arguments have been put forward to explain this situation and they include issues of poor governance, under funding, business pressure and profit motivation in the private universities, some universities being temporarily closed down while others have been de-registered.

1.2.1 University governance structures in Uganda

University management in Uganda is guided by structures which provide the legal and organisational framework within which administrative decisions are made. These structures set the extent and limits of power of various players in the administration of the university institution. Without these structures, the personal views of the various position holders could impede institutional development (Kasozi, 2003:101). According to the National Council for Higher Education Act (2001:26) and Kasozi (2003:103), the following are the university management structures that each university should have in Ugandan university governance.

1.2.1.1 The University Chancellor

The Chancellor is the titular and ceremonial Head of a university in most Ugandan universities. The Chancellor confers degrees, endorses awards and in some institutions signs certificates. In public universities, the Chancellor is chosen by the President in power and in private universities, a private person can be chosen (NCHE Act, 2001:26-27).

1.2.1.2 The University Council

In Uganda, the Council is the policy making body of most universities. It consists of representatives appointed by the founding body and other stakeholders. In case of public universities, the government appoints the majority of members including the ex-officio members.

1.2.1.3 The Vice Chancellor

The Vice Chancellor is the chief executive of the university and he is the head of administration, the policy implementing organ of any university.

1.2.1.4 The Senate

The Senate is mandated to design and regulate academic policy including research dissemination, admissions, rules pertaining to academic standards, library and document preservation.

1.2.1.5 The Faculty/School/College

The Faculty/School is an organised grouping of academically related departments and several Schools/Faculties then form Colleges. In big universities such as Makerere, Islamic University in Uganda, Kyambogo and Uganda Christian University, Faculties/Schools are fully involved in the recruitment of staff, the designing of research projects, approval of academic and administrative regulations as well as administering examinations.

1.2.1.6 The Academic Department

The Academic Department is the cell of any university. It focuses on the study and teaching of a single discipline. The Department is the most important initiator of academic policy in any university.

According to Kasozi (2003:103), other structures include the academic staff, non-academic staff and the Student Guild Union. More details on university structures will be discussed in following chapters. Basing on the above background, the study attempts to investigate empirically the ways in which universities can develop and sustain effective governance in Uganda.

1.3 STATEMENT OF THE PROBLEM

Effective governance of universities involves the authority to make decisions about fundamental policies and practices in several critical areas concerning universities. These areas stretch from their number and location, their mission, their enrolment size, access of students to their instructional programmes and access by the public to their auxiliary services on offer. Other issues of concern include degree requirements; standards expected in student performance, the quality of research and public service activities, the freedom available to individual faculty members in their instructional and research efforts, the appointment of staff, internal organisational structure, and the allocation of available resources to operating and support programmes (Obondoh, 2000:10).

The dilemma has been the location of authority to resolve, manage, control, develop and sustain effective governance of the universities. There has been lack of order in these universities leading to poor governance, political interference in university autonomy and academic freedom more especially in public universities, hence compounding the problem of governance. The study therefore, investigates the key research question: How can Ugandan universities develop and sustain effective governance by adhering to the requirements of the National Council for Higher Education?

From the main research question, the following sub-questions emerge:
(i) What obstacles can Ugandan universities meet when implementing effective governance?
(ii) What steps can be taken to develop and sustain effective governance in Ugandan universities?
(iii) What governance model can improve governance in Ugandan universities?

University governance in Uganda has not been given much scholarly attention and little if any is known about how effective the universities are being governed. Since the 1990s, developments that may have an impact on governance, such as liberalisation of the education sector and globalisation, have been witnessed. However, there isn't enough evidence to show that universities have done much to respond to these developments.

1.4 THEORETICAL FRAMEWORK

This study builds on university governance models and organisational management theories as they relate to practical governance of universities. Different governance models used in universities will be reviewed and related to the current practices in Uganda. In principle, governance models are grounded in conception of legitimate authority (Asimiran, 2009:15). Asimiran (2009:15) citing Rhoades (1992) adds that three variations need to be addressed in discussing governance models. First, there are cross-national differences in models. Second, governance arrangements are flux and change over time. Third, governance models are generally manifested in mixed forms. The variations identified by Rhoades suggest that governance differs greatly from country to country.

Trakman (2008:66) and Asimiran (2009:16) suggest models that many universities have implemented and these include governance by the academic (staff collegial governance), corporate governance, trustee governance, stakeholder governance, bureaucratic, political and amalgam governance. These are models are dealt with in 1.4.1.

1.4.1 Brief description of key governance models

This study will rely on the following university governance models.

1.4.1.1 Shared model

Shared governance is based on the core values of informal and inclusive decision making, transparency and clarity of operations and decision making, open lines of communication between and among all components and members of the university, accountability and mutual respect and trust (Coaldrake, Stedman, & Little, 2003:56). Shared governance incorporates four representative bodies: the university council, the faculty senate, the staff senate and the student governance association.

The inclusion and shared participation of members of each body with in the discussions of the others is intended to foster this respectful environment as well as to expand the expertise and awareness of any one group (Baird, 2007:115)). Shared governance is at the heart of any great university in that it

reflects a general commitment on the part of faculty, staff, students and the administrators to work together to strengthen the university's governance system. Shared governance also reflects and enhances mutual respect and trust in the university community for the contribution that all of its members bring to the educational enterprise (Kezer and Eckel, 2004:371-375).

According to Baird (2007:115-116), the variety and complexity of tasks involved in shared governance produce an interdependence among the board, the administrators, faculty, staff and students. The relationship necessitates ongoing communication among these components, as well as full opportunity for appropriate joint planning structured and timely evaluation and shared decision making. More details will be given in the literature review.

1.4.1.2 Collegial model

Trakman (2008:66-70) considers collegium as the most reasonable instrument for the university. This model looks at consensus, decision making, professional authority of academics and human education. The model rests on the assumption that the university is a collegium or a community of scholars and is to be governed according to the collegiality principles and freedoms given to university members (Ansari, 2004:9). According to Kezer and Eckel (2004:282) effective success of university governance depends on collegial relationships and mutual respect among the faculty, professional, support staff, students, administrators and representatives of external entities.

1.4.1.3 Political Model

The political model is based on three theoretical sources: conflict theory, community power theory and interest group theory. This model suggests that in analysing governance, the focus should be on organisational social structure, on interest articulation dynamics, on the legislative process and on the execution of policy. There are political activities operating, especially in the policy making processes within the university (Altbach, 2005:19-20 & Asimiran, 2009:16-17).

1.4.1.4 Corporate model

This model looks at a university from a perspective to the world because a university is established according to the concept of market oriented objectives. According to Baird (2007:115), a university is established by a corporation and university education is regarded as a business in which the offered programmes are related to the industrial demands and market needs. The profit making objective guides a university's functions and academics are usually not instructors to widen intellectual expositions of the students.

These models were derived by scholars to portray governance as exercised and comparatively perceived (Allport 2001:6-10). Each model has its arguments based on researches that were conducted by other researchers. These models need further studies to justify their practical applications. It is, therefore, important to identify and see which model or models could describe the Ugandan way of university governance.

Advantages and disadvantages of these models will be considered, and explanations provided for their variations with the existing literature on organisational management in universities. The study will be guided by a framework of three relevant management theories; that is, the structural theory, the political theory, and the open systems theory (Ansari, 2004:1-8 & Asimiran, 2009:17-19).

According to Asimiran (2009:17) citing Bolman and Deal, structure is the main component of the structural perspective, derived from the work of classical theorists Frederick Taylor and Marx Weber. The existence of the organisation in structural perspective is to serve certain functions specified in the legal authority that established that organisation. In universities, there are several structural elements that facilitate performance of work to achieve the set objectives such as the boards, councils, senates, faculties, institutes, department and sections. These structural elements operate within a set of rules that determine how the elements relate to one another to accomplish the common goal. Structural theory contends that goals and policies for their achievement are set at the top and help in guiding organisational functioning (Asimiran, 2009:17).

Political theory views the organisation as a political arena where diverse groups are all striving for power, recognition and resources, and satisfaction of other interests are at play. Bolman and Deal (as cited by Asimiran, 2009:18-19) argue that political theories rest on the assumption that in the event of persisting differences and inadequate resources, conflicts are inevitable and power is a key source.

It is a general fact that organisations involve people and people are central to any political framework. People influence both formal and informal policy formulation frameworks and have a great effect on how well organisations perform (Kezar & Eckel, 2004: 380-384). From the foregoing, it is evident that organisations are coalitions of individuals and interest groups. Therefore, in examining university governance, one has to examine the political process that characterises activities of different elements of the organisation in trying to achieve the objectives of such an organisation.

The systems theory of management views an organisation as a whole made up of interdependent parts working together collectively to achieve a common objective. In a university, such interdependent parts include faculties, departments, sections, staff and the student body (Kezar, 2004:371-388). This approach provides a relevant perspective of a university as a system that could be controlled to achieve the expected outcomes. My observation of a university is that it is a system that is open; it receives inputs like staff, students, and other requirements such as funds, materials and machines from the environment, processes them and gives its outputs to the environment. As noted by Kezar (2004:389) and Kezar and Eckel (2004:284), universities respond to their environment. Therefore, it makes sense to examine the university as a system.

This theoretical foundation gives the researcher a bearing of how universities in Uganda are currently governed in relation to meeting the requirements of the National Council for Higher Education. On the basis of this inquiry, the researcher will be able to ascertain how university governance can be developed and sustained, identify obstacles met in implementing measures of effective university governance, and develop a governance model suitable for university governance in Uganda.

1.5   AIMS OF THE STUDY

The overall aim of the study is to investigate how universities can develop and sustain effective governance by adhering to the requirements of the National Council for Higher Education. In order to achieve this over all aim, the research will be guided by the following objectives:

  (i) To identify obstacles met in implementing measures of effective governance.
  (ii) To identify and describe the steps taken in developing and sustaining effective governance in Ugandan universities.
  (iii) To develop a governance model suitable for Ugandan universities.

1.6   RESEARCH METHODOLOGY

The study will be formulated as an investigation in developing and sustaining effective governance of universities in Uganda. The study will draw lessons from other universities in the United States of America, Europe, Australia and Africa. The researcher will use both quantitative and qualitative design strategies to be able to explore numerical and non numerical data.

1.6.1 Literature study

In order to provide a theoretical background to the study, various literature sources will be studied. A literature study will involve a systematic identification and analysis of documents containing information that I consider related to the research problems. The documents I will consider include abstracts, reviews, books and academic journals.

A literature review on the aspects of effective governance of some selected universities internationally acclaimed as well managed from the United States of America, Europe, Australia, and Africa will be comprehensively conducted. Information about both public and private universities, their overall structures, organising principles and procedures, their legal documents like by-laws, charters and rules will be identified to investigate how effective governance is done. Sources of literature such as the Government White Paper, National Council for Higher Education booklets, national reports, internet data, websites, and interviews with university lecturers, will be used.

1.6.2 Research design

A research design indicates the structure and procedures used to answer the research questions. Basing on this premise, the research will be conducted in a sequential process following two phases. Phase one will be quantitative and it will involve collecting numerical data on developing and sustaining university governance in Uganda (Amin, 2005: 546). The second phase will be qualitative through which, in-depth information that is critical in developing and sustaining effective governance of universities in Uganda will be collected (Bryan, 2007: 542).

I have chosen a mixed method design (often called triangulation) in order to provide a comprehensive analysis of the research problem. According to Teddlie and Tashakkori (2003:21) a mixed method design embodies strengths of both quantitative and qualitative methodologies and results in outstanding outcomes. Both forms of data are collected at the same time and then integrated in the overall results.

The advantage of using the mixed methods is that the researcher is able to collect two types of data simultaneously. According to Creswell (2003:16) and Creswell (2005:39-50), the advantage of combining qualitative and quantitative methods is that the biases inherent in one method are overcome by the use of the other method. There is also a chance of producing more complete knowledge when answering research questions.

In this study, quantitative data collection precedes qualitative approach in order to explore and test variables. The purpose of qualitative research is to describe and show the relationships between the events and meanings in order to increase the reader's understanding of the phenomena. Therefore, a qualitative approach will be given the dominant status in the whole data collection process.

The emphasis on the qualitative phase will be determined by considerations of research questions. Most of the research questions in this study are concerned with the way in which universities would provide more relevant data for ascertaining effectiveness of governance. A quantitative approach (phase one) might demonstrate causality or be limited in realism. Therefore, a qualitative approach (phase two) will facilitate the exploration of phenomena in a natural setting because of the concern

for context, and to maintain openness about what will be observed and collected in order to avoid missing something important.

From the phenomenological point of view, the situation could be understood from the meaning participants attach to it in order to define their own reality. The purpose of the study is to investigate how universities can develop and sustain effective governance by adhering to the requirements of the National Council for Higher Education. The participants will be the most important informants in the study. Therefore, the qualitative approach will be the best method to capture their perceptions in order to obtain an accurate measure of reality.

This sequence of (phase one and two) will be done to move the inquiry beyond exploration and description to an in depth investigation that helps in understanding the critical issues in the study. An in-depth inquiry is one of the aims of qualitative research (Creswell, 2003:208). Therefore, phase one results will be used to develop factors that will inform phase two.

Table 1.1. The study design and the key steps reflecting the research process

Quantitative data collection	Quantitative data Analysis	Quantitative data Interpretation	Qualitative data Collection	Qualitative data Analysis	Qualitative data Interpretation	Interpretation of entire Analysis

(Table adapted from Creswell et al. 2003)

As a quantitative instrument, a five-point Lickert Scale questionnaire will be administered in the sampled universities. The study will focus on universities in Uganda's central region which are older and have full structures that will provide more relevant data for ascertaining the effectiveness of governance. The target for this study is five universities out of sixteen universities picked at random. These are Makerere University, Kyambogo University, Islamic University in Uganda, Uganda Christian University and Kampala University.

The population target from each of these universities will depend on the size of the university. The sample of the questionnaire will comprise 125 respondents drawn from the five universities who have served these universities for at least two years. Other criteria will be according to rank, categorised as administrative or academic. The reason for this number is to get more representative information.

The questionnaire will be administered to the Chancellors, Vice-chancellors, Council members, Deans, Heads of Department and students from the sampled universities. The respondents will provide holistic information on university governance. The variables of the study will need to be measured, predicted and related to other aspects of the study in order for conclusions and recommendations to be made. The qualitative instrument will be conducted with different groups of participants at the universities and at their convenient time. There will be exploration and detailed understanding through in-depth interviews that will look at governance, decision making, power and authority in university governance through systematic interviews.

Field observations will be done where the researcher will observe different administrators, students and other staff members in these universities. This will be done by studying participant behaviour, work flow, interaction, and motivation without asking them questions. A Lickert scale as a quantitative instrument will be developed to record these administrators' methods of work for a period of time. Observation will be used because it reduces subjective bias and provides information that gives a picture of what is currently happening. The method is independent of participants' willingness to respond and as such is relatively less demanding. Weinrich (2006:6-7) argues that integrating the two phases leads to better coverage of research issues and clarity of results. The mixing of the two phases will maximise the probability of validity and reliability in the findings. (More details will be provided in chapter 4).

1.6.3 Data analysis

Both quantitative and qualitative data was collected and used in this study. The data from the two methods was mixed during the analysis phase of the research by incorporating the quantitative data with the qualitative data analysis. This was done so that the researcher could gain a broader perspective by using different methods to collect information (Creswell, 2003: 218).

After collecting data, it was prepared for data entry. The coding of information on the questionnaire was done by assigning numbers to answers indicated in all sections of the questionnaire. After getting responses on the questionnaire, the data was coded using SPSS. It was then checked for errors to

avoid the distortion of the results during statistical analysis. Errors were cross checked by inspection of the frequencies for each of the variables.

The correction of errors in the data file was done by going back to the questionnaire and checking what value was entered. A thorough attempt was made to start the analysis process with a clean, error-free data set. According to Amin (2005:309), the success of the research depends on this process. The descriptive statistics, including tallying of frequencies in the calculations of percentages and central tendency summaries were used for data analysis. More details on data analysis will be presented in chapter four.

1.6.4 Data quality control

To ensure that the research produces accurate results and to measure what is supposed to be measured, empirical validation (that is, checking against empirical evidence and theoretical validation and conceptual constructs) were done. I consulted expert researchers to provide an opinion on the validity of the content, concept relationship and criteria. Issues of trustworthiness and credibility will be discussed in chapter four of the study.

1.6.5 Ethical considerations

It is prudent for the researcher to remain within the confines of acceptable ways of doing things (Amin, 2005:119). In this regard therefore, I will seek consent of participants and ensure privacy and confidentiality of their identity. The questions will be framed very carefully in order to elicit authentic information. Ethical issues will be discussed in detail in chapter four.

1.7 BACKGROUND OF SAMPLED UNIVERSITIES

Uganda is divided into five regions: Central, Northern, Eastern, Southern and Western. Each region has at least a public and a private university. However, this study will focus on five universities in the central region which has the highest concentration of universities that are easily accessible to the researcher.

1.7.1 Makerere University

This is the oldest university in Uganda. The university was established in 1922 as a technical school with 14 students studying carpentry, building and mechanics. In 1937, it became an institute and in 1949 it became a university and a college for the whole of Eastern Africa with a special relationship with the University of London. On 1st July 1970, Makerere became an independent national university of the Republic of Uganda offering undergraduate and graduate programmes leading to its own award. Today, Makerere University has around nine Colleges, one school and several affiliated institutions offering day, evening, weekend and external study programmes. It has a student population of around 22,000 offering undergraduate programmes and 3,000 on graduate programmes (Makerere University Prospectus, 2009:2-10).

1.7.2 Uganda Christian University

This is a private university, chartered and fully accredited by the National Council for Higher Education. Uganda Christian University is owned by the Province of the Church of Uganda and has campuses in Eastern, Western and Northern Uganda. The university was born out of Bishop Tucker Theological College which was founded in 1913 in response to a growing need for pastors in the Church. It turned into a university in 1997 and was granted a charter in 2004. Uganda Christian University is the first African affiliate member of the Council of Christian Colleges and Universities in the United States, and a member of the Colleges and Universities of the Anglican Communion. The university has a student population of 2,000 students. It offers a range of courses in humanities and natural sciences (UCU Prospectus, 2008:1-6).

1.7.3 Kampala University

Kampala University is a private university licensed by the Ministry of Education and Sports but it has not yet received a government charter. It was established in 1999 as an alternative to state dominated tertiary education providers. It operates four study centres and it largely offers courses in humanities with sciences limited only to nursing. It has a population of 4,000 students spread across the four learning centres (KU Prospectus, 2009:4).

1.7.4   Islamic University in Uganda

It was established in 1988 by the Organisation of Islamic Conference to serve the English speaking African Muslim community in Eastern and Southern Africa. It was the first government-approved private university in Uganda and it provides education within the broad sphere of Islamic and Arabic Studies, Law, Business Studies, Information Technology, Food Science, Botany, Zoology, and Management Studies. It has a population of 5,000 students and operates a total of 14 campuses within Uganda (IUIU Prospectus, 2009:5).

1.7.5 Kyambogo University

The history of Kyambogo University starts way back in 1928 and 1945 when the former Uganda Polytechnic Kyambogo (UPK) and the Institute of Teacher Education Kyambogo (ITEK) respectively were established, and later, the Uganda National Institute of Special Education (UNISE) in 1988. Kyambogo University was established by an Act of Parliament in 2003 after a merger of these three institutions on Kyambogo hill. Today, Kyambogo University is the second largest public university in Uganda with a population of about 10,000 students in 10 faculties and offering courses in humanities and natural sciences (KYU Prospectus, 2009:6).

1.8   DEFINITION OF TERMS

1.8.1 Management

Chandan (2005:4) defines management as the organisational process that involves strategic planning, setting objectives, managing resources, and deploying the human and financial assets required to achieve the given objectives. Management deals with efficient and effective utilisation of resources. Van Fleet and Peterson as cited in Chandan (2005:6) looks at management as a set of activities directed at the efficient and effective utilisation of resources in the pursuit of one or more goals. Van Fleet and Peterson emphasise effective and efficient utilisation of organisational resources through managerial activities to attain the designed goals as illustrated in figure 1.1.

| Human resource | | | | Physical resources |

| Managerial activities | → | Effective and efficient utilisation | → | Goals |

| Financial resources | | | | Information resources |
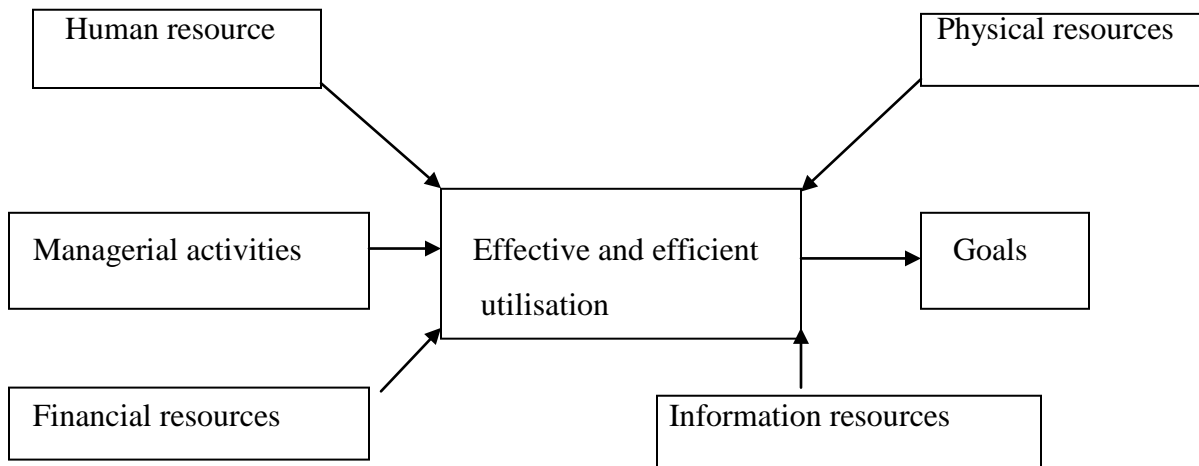
Figure 1.1. Schematic representation of organisational resources in relation to their management and attainment of goals

Megginson, Mosley & Pietri as quoted by Chandan (2006: 5-6) look at management as working with human, financial and physical resources to achieve organisational objectives by performing the planning, organising, leading and controlling functions. This is shown in Fig. 1.2.

| **Management** | → | **Planning Organizing Leading Controlling** | → | **Human Financial and Physical resources** | → | **Goals** |
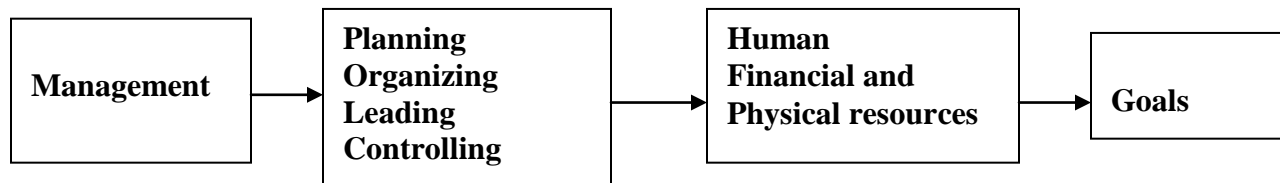
Figure 1.2. Diagrammatic representation of the functions of management Megginson as cited in Chandan (2005:6)

According to Gallagher (2001:1), management is achieving intended outcomes through the allocation of responsibilities and resources and monitoring their efficiency and effectiveness. Management, therefore, involves the organisational process that includes strategic planning, setting objectives, managing resources, and deploying the human and financial assets needed to achieve and measuring objectives.

1.8.2 Effectiveness

According to Okumbe (1999:9) effectiveness refers to the ability of an educational organisation to provide and efficiently use the available resources in order to adhere to the goals for which it was established. Effectiveness in an educational organisation is judged by the extent to which the organisation achieves its goals, acquires the necessary material and human resources, provides a congenial organisational climate, and meets the expectations of the society within which it is established. Therefore, effectiveness is doing the right things and having resources deployed in the best way possible.

1.8.3 Governance

Governance means the process of decision making and the process by which decisions are implemented (or not implemented). Governance can be used in several contexts such as corporate governance, international governance, national governance and local governance. Since governance is the process of decision making and the process by which decisions are implemented, an analysis of governance focuses on the formal and informal actors involved in decision making and implementing the decisions made, and the formal and informal structures that have been set in place to arrive at and implement those decision (Kezer & Eckel 2004:182-184).

Governance in the context of higher education refers to the means by which Higher Educational Institutions are formally organised and managed. University governance is the way in which universities are operated. Governance structures of higher education are highly differentiated throughout the world. According to Altiback (2005:16-18), the different models for higher education throughout the world nevertheless do share the common heritage. According to Kezar and Eckel (2004:180), governance is the micro-level of policy decision making. It is a multi-level concept including several different bodies and processes with different decision making situations. Governance in education is the term given to the structures and processes that academic institutions invent to achieve an effective balance between the claims of two original controls and influence (Bavim, 2003:5).

1.8.4 University in Uganda

According to Uganda's Universities and Other Tertiary Institutions Act (2001:9), a university means any institution, school, institute or centre for higher education. The work of the university is the provision of the post-secondary courses of study leading to the award of certificates, diplomas and degrees and conducting research and publishing.

1.8.5   University board in Uganda

Higher Education Policy Analysis (2004:16) describes the Board as the principal policy making and advisory body on all matters relating to and affecting university teaching, research and educational programmes. It is also responsible for ensuring academic quality including academic freedom, academic integrity, assessment, admissions and research conduct.

1.8.6   University council

The council is the primary governing body of the university and is responsible for approving the mission of the university and ensuring that it meets the interests of groups who can affect or who are affected by the achievement of the mission. The council helps in stimulating, challenging, evaluating and endorsing strategies to deliver the university's objectives on a going concern and financial viability basis; ensuring that there are appropriate arrangements for the management of the university, particularly through the appointment of the Vice Chancellor and the members of the senior Management team (Dooley, 2003:7).

1.8.7   University senate

Association of Governing Boards of Universities and Colleges (2003:7) describes the Senate as the governing body of the university. It is accountable for the delivery of teaching, learning and research outcomes which extend the knowledge base of the wider community taking into account the resources available to the university.

1.9 CHAPTER DIVISION

1.9.1 Chapter one

This chapter includes an introduction to the study, Uganda's university governance, theoretical framework, the problem statement, the aims of the study, definition of concepts, research design background to the sampled universities and chapter division.

1.9.2 Chapter two

This chapter focuses on the review of related literature. It looks at the investigation of governance structures in both public and private higher education institutions and analyses the functions of these structures in Uganda. It also looks at obstacles met in implementing governance and how to mitigate effects of these obstacles; and the steps taken in implementing effective governance using the requirements from the National Council for Higher Education in Uganda.

1.9.3 Chapter three

This chapter discusses several governance models used in different countries. The focus is on the general university governance models and how they influence governance practices.

1.9.4 Chapter four

This chapter discusses the sample population, research methods, methods and steps used to collect data from different universities in Uganda. It looks at universities such as Makerere, Kyambogo, Kampala University, Uganda Christian University and Islamic University in Uganda.

1.9.5 Chapter five

This chapter includes the presentation of findings, analysis of results and a discussion of the findings. This chapter looks at an alternative model for university governance in Uganda.

1.9.6 Chapter six

This chapter looks at the overview, recommendations for further research and conclusions.

1.10 Summary

Chapter one discusses the background to the study, university governance in Uganda, the statement of the problem, theoretical framework, aims of the study, and problem questions to be answered by the researcher. It also covers methodology including brief descriptions of the methods and techniques used in the study and in data analysis.

CHAPTER TWO
LITERATURE REVIEW

2.1 INTRODUCTION

The chapter reviews related literature and gives a description of the various ways by which universities develop and sustain effective governance. The focus is put on the general university governance structures and how these structures work to develop and sustain effective governance. The study discusses extensively university structures and best practices from other universities in America, Europe, Australia, Asia and Africa. Information on public and private universities will be reviewed. The overall structures, organisation principles and procedures, legal documents like by-laws, charters and rules will be identified to investigate how effective governance is done.

Basing on this background, the study will be able to:
  (i) Ascertain how university governance can be developed and sustained.
  (ii) Identify obstacles met in implementing measures of effective governance.
  (iii) Identify and describe the steps taken in developing and sustaining effective governance in universities.

Effective governance of universities involves the authority to make decisions about fundamental policies and practices in several critical areas concerning universities. Obondoh (2000:1-2) suggests that university managers across the world should put emphasis on the following issues:
  (i)   Degree requirement.
  (ii)   Standards expected in student performance.
  (iii)   Quality of research and public service activities.
  (iv)   Freedom available to individual faculty members in their institutional and research efforts.

According to Obondoh (2000:1) besides the issues above, university managers in the world should consider the following:
  (i)   The appointment of staff.
  (ii)   Internal organisational structure.

(iii)   The allocation of available resources to operate and support programmes for effective governance.

Universities continue to face particular challenges away from the advancement of knowledge. These include the application of information and communication technologies to management and teaching of extremely difficult ethical issues associated with some fields of research. The changing environment raises a range of issues relating to the way in which universities are managed and governed (Musisi, 2003:10-11).

The study investigates governance structures appropriate to meeting the changing nature of university activities in the 21st century. The study also examines how university management can be encouraged and supported to increase efficiency and effectiveness of institutions. University managers across the world have a challenge of setting goals for implementing effective governance. Critical among the challenges of setting goals is identifying steps to develop and sustain effective governance. In the next section, challenges met in implementing measures of effective governance will be discussed in detail.

2.2 OBSTACLES IN IMPLEMENTING MEASURES OF EFFECTIVE GOVERNANCE

Universities across the world are facing new challenges which require reforms in their management and governance styles. The rise of new stakeholders, internal factors together with globalisation and the rapid pace at which new challenges are created and utilised, are among the recent developments which universities face (Gallagher 2001:210). According to Gallagher (2001:212), other challenges are related to programme financing, equity of conditions to access knowledge, staff development, skill-based training, quality of service delivery, research and dissemination, relevance of programmes, employability of graduates, establishment of efficient cooperation agreements and equitable access to the benefits of international cooperation. The above challenges have raised a range of issues relating to the way in which universities are governed and managed (Kasozi, 2003:115). These challenges have become an obstacle to effective governance and university managers should be encouraged and supported in their efforts to increase efficiency in their universities. While these universities in the world have responded slowly in the past to changing

circumstances, there is now an urgent need for them to adjust rapidly in order to fulfil their mission and the needs of other stakeholders (Joel 2003) as cited in Chacha (2004:1).

2.2.1 Politics of participatory decision making in university governance

In university governance, there are at least five important decision making dimensions that have to be made (Murphy 2000:40). These dimensions include academic decisions on core activities; administrative decisions about resource acquisition, allocation and expenditure; accountability to stakeholders; unforeseen challenges and strategic planning.

According to Birnbaum (1992) as cited in (Gayle, 2003:54), the decisions in Australian universities are made by politicians, civil servants and various interest groups. Gayle, Tewarie and White (2003:55) consider this undemocratic and likely to create dependency on government bureaucracy by the universities. Such dependency might kill institutional initiatives, incentives and innovations in governance. On the other hand, Gayle et al (2003: 56) argue that putting powers and resources in the hands of local communities would promote responsibility and informed decision making for effective governance in universities.

In many developing countries such as India, Pakistan and Kenya, university education is a field where politicians play their games of dispute (Kogan, 2000:48). Kogan (2000:48-49) contends that conflicting political parties find it easy to mobilise groups of students or teachers at a university in order to influence political thinking. In playing these political games, politicians interfere with university decision making processes. This political interference has reduced the talents and opinions of university managers in ensuring effective governance.

Political influence in the decision making at the university differs from country to country (Nadam, 2008:19). According to Nadam (2008:20) participation of teaching staff in decision making process in Pakistan universities is ignored. Researchers like Kogan (2000:49); Nadam (2008:23) and Gayle et al (2003:56) agree that the facilitation of greater involvement of teachers in university affairs came out as a serious administrative and leadership problem. The general absence of a culture of dialogue and joint forums in our universities is manifested in rising cases of unrest (Chacha, 2000:2-5).

University problems increase if there is lack of mutual communication between administrative and university staff.

Universities are not only pressured with a period of new social demands and rapid pace of technological and scientific change, but also with an increased number of government regulations and control. Governments steer university decisions and actions using various instruments (Kreysing 2002:60-65). Government influences key university governance issues like appointment of boards, councils and the senate with clear agendas to pursue. Besides, government determines resources to be allocated and sets conditions for application of these resources. Matthai (1992) as cited in Nadam (2008:23) observes that decisions such as programme selection, faculty selection, planning and allocating budgets and formulating the academic policies, should be participatory. Nadam (2008: 23-24) argues that this would involve all members of the statutory bodies. Such an arrangement of the government has reduced the powers of university managers and left everything to be managed by the government in power.

However, the structure of Pakistan universities, for instance, does not offer a great degree of autonomy to members to make decisions. Researchers such as Kezar and Eckel (2004:371); Kreysing (2002:65) and Allport (2001:3) found that the principal decision maker in Pakistan universities is the Vice Chancellor. This suggests that decision making and consensus are done in a black hole. Kezar and Eckel (2004:398) noted that decision making in Pakistan universities is unsatisfactory due to centralisation of powers and exploitation of rules and regulations. From the foregoing, decision making in Pakistan universities is not made on the basis of specific techniques but according to bureaucratic culture and political influence of the ruling party.

Rahim (2002:113) argues that the Malaysian university is losing its autonomy due to the interference from certain government departments and ministries. The power of the senate has become less effective in determining the future changes and direction of public universities. Rao (2001:29) is of the view that higher education institutions must be given autonomy to manage their internal affairs, but this autonomy must be clear and transparent, they must be accountable to the government, parliament, students and the wider society.

In other universities of the world like in Australia, members of academic staff are not involved properly in decision making especially in departments. Matters such as institutional policies, allocating budgets, determining goals and work plans are determined by government (Allport 2001:3). This is normative ideal of the rationalist perspective on decision making which implies that government sets the legal framework, has control over decision making process and the implication of policy. Governance structures are also challenged by changes in educational technology, resources and participation.

Allport (2001:3) argues that members of university academic staff in Australia do not participate in institutional policies, budgetary processes and in departmental work plans. Disparities in structures create different interpretations about governance (Gayle et al, 2003:24). Allport (2001:4-5); Minor (2003:792) and Bradley (2003:6), have pointed out how differences in structures can lead to various expectations and interpretations.

Awaleh (2003:15) identifies similar problems of decision making as common in African universities like Mzuzu University in Somali where staff and student governance has been largely acrimonious. Further, Awaleh (2003:15-16) notes that quality of student leaders strongly shapes opinion and responsibility within campus. This has been a common source of friction between students and the administration and the process of a stable student government has been a difficult dream to attain. Awaleh (2003:10-16) contends that refusal to involve students and staff has resulted into strikes in some African universities.

The ideas of Awaleh (2003:16) are supported by findings of Minor (2003:970) that the reduction of involvement of the faculty in institutional decision making has resulted into many challenges where governance systems cannot respond appropriately. According to the Association of Governing Boards of Universities and Colleges (2001:3), many governing bodies, faculty members and chief executives believe that internal governance arrangements have become so cumbersome, that timely decisions are difficult to make and small factors often are able to impede the decision making process. The Association of Governing Boards (2001:4) recommends that boards reiterate their ultimate responsibility and authority. The boards should make it explicitly clear about who has the right to

make or participate in specific kinds of decisions and clarify ambiguous or over-lapping stakeholders' involvement.

According to Bradley (2003:1), in most universities in Australia, United States of America and Europe, Vice Chancellors take most of the responsibilities like approving and monitoring the performance of the university, oversee and review the management of the university, establish policies and procedures consistent with legal requirements and community expectations, and monitor academic activities of the university. This lack of delegation in decision making processes delays decisions and leads to inefficiency and ineffective university governance. Therefore, participation by staff and students in university governance is very important.

2.2.2   Crisis of governance

In his study about crisis of governance, Obondoh (2000:2) argues that decent rationalisation of leadership, accountability to faculty and associated departments have proved to be the greatest management challenges to campus administration in our times. Obondoh (2000:3) argues that as institutions expand, management of universities continues to be characterised by the following challenges:

    (i) Apparent mismatch between authorities of primary management units.

    (ii) Limited authority at lower units.

    (iii) Entrenched cultures giving rise to slow decision making processes and sluggish response to challenges.

    (iv) Over reliance on the committee system.

    (v) Diminishing institutional and group culture.

The Association of Governing Boards of Universities and Colleges (2001:36) contends that the above characteristics create problems in decision making in university governance which can also affect maintenance of effective governance. This has become a problem in private universities where power is centralised. In decision making and policy formulation, the preferred choices should depend on available opinions and groups involved. The Association of Governing Boards of Universities and

Colleges suggests that decision making and policy formulation should take into account ingredients of participatory management such as the following:

(i) Mechanisms for consultations.

(ii) Consensus building.

(iii) Policy options.

(iv) Open discussions.

(v) Delegation and spread of authority.

(vi) Concessions and implementation process.

According to Henkel (2000:28), universities in England and The Netherlands have expression of stakeholder guidance in terms of participation. This has helped these universities to reduce on crisis governance. Political interference as manifested in government involvement in university affairs was found to be inimical to the development of university autonomy and academic freedom (Kasozi 2003:84-86). This compounds the problem of governance. Involvement of national leaders like the president in university governance stifles stakeholder participation and collective engagement in decision making (Musisi 2003:10-20 & Kasozi, 2003:84-86). Part of the problems hindering decentralisation and departmental management have to do with centralised bureaucracy, state interest in university governance, distrust of local level participation and unwillingness to assume management responsibilities of stakeholders.

2.2.3 The problem of stakeholder participation

Facilitation of greater involvement of stakeholders in university affairs came out as a serious administrative and leadership problem. The general absence of culture of regular dialogue and joint forums in universities is manifested in increased cases of student unrest (Chacha, 2003:3 & Chacha, 2004:8). Participatory governance is a term of particular relevance when desired outcomes cannot be achieved by one body or organisation operating alone but where the decision making process and/or outcomes are shared with others. Participatory governance involves establishing a set of structures and processes which enhance effective relationships within and across the public, private and community sectors as collaboration is pursued in decision making on the basis of clearly understood roles and responsibilities (Edwards, 2000:4).

University problems have been on the increase, as mutual communication fails between the administration and students. Without information, there can be no real participation by university staff in decision making. Nor can there be any real accountability of management to staff and other stakeholders (Stewart 1997 in Edwards 2000:15). The recurrent student unrest and staff disenchantments, according to Awaleh (2003:16), are often as a result of demands for their involvement in campus governance. Lack of involvement of students in decision processes leads to negative reactions and hostile reception of university policy positions which compounds the problems of student involvement in implementation of these decisions (Hall & Symes 2005: 205-206 & Awaleh, 2003:1).

The other main problem has been that of interaction and engagement between stakeholders. Due to lack of proper and established mechanisms of consultation, university authorities are not accessible and seem to make appearances to consult during times of crisis. This reactive approach compounds the problem of decision making as most decisions are ostensibly made under duress (Centre for Higher Education Policy Analysis, 2003:40). As a result, these decisions end up not being well informed because of lack of adequate time for consultation and hence the managers of universities by and large remain reactionary. On the other hand, it may also be inferred that some participants' input is in less important areas and this causes disillusionment and withdrawn participation.

In the next section, the university administrative structure and its subsequent effect on management practice, especially on flexibility in decision making, is examined.

2.2.4   Rigidity in management practice

The administrative structure of most universities is largely hierarchical and tends to be inflexible in the face of changing circumstances. Shattock (2003:243) and Scott (2001:141) argued that administrators are unresponsive to students and staff concerns and usually decisions flow from top to bottom. Shattock (2003:244) argues that the main challenge to flexibility is the cultural rigidity between the different governance organs of the university. The managerial threat to university governance stemming from conflicts between managerial and academic cultures are causing tension

and distrust within the administration of an increasing number of universities and colleges (Musisi 2003:10-20 & Baird, 2007: 101-115).

Scott (2001:14) and Shattock (2003:245) are of the view that university senates, staff, management boards and committee structures, if properly constituted should provide real opportunities for staff and student participation in academic governance. On the other hand, however, committee processes contribute to management inefficiency by slowing down decision making. Public and private universities are being encouraged to adopt the values of the corporate world but they are often adopted with little regard for their appropriateness in educational settings. As a result, staff, students and other customers of higher education are finding themselves in rational management (Centre for Higher Education Policy Analysis, 2003:16-20).

From the foregoing, administrative structures cause rigidity in decision making. It is not clear whether theses rigid administrative structures allow democratic principles of governance in universities. In the next section, democratic transition in higher educational institutions is reviewed to establish whether there is democratic principles are practiced.

2.2.5   Higher education and democratic transition

Public universities, despite the vital role they play in providing research, expertise, and human resource development and in the formation of future leaders, have not been adequately targeted in the on-going democratic transition in the world (Allport, 2001:2 & Obondoh, 2007:7). It is ironical that universities which preach democracy and are quite vocal about the need for popular participation in decision making have not been able to establish adequate internal democratic structures. Kezar and Eckel (2004:371-398) contend that most university administrative structures and key policy making bodies are the most undemocratic.

For higher education to remain relevant in this era and for universities to be responsive to socio-political changes of our times, leaders must re-think and redesign governing structures through review of university Acts and Statutes to create democratic decision making processes. Murphy (2000:40) in his study of various European universities discovered that there is no systematisation of

university governance systems among the various countries. Murphy (2000:41-46) argues that there is a general lack of structures that would guarantee democratic governance in universities. This could explain why university decisions have not represented voices of different stakeholders due to absence of stakeholder forums that represent their duly elected voices.

Kogan (2000:481-490) in his study of higher education reforms provides comparison on patterns of changes in the governance of universities between England, Sweden and Norway. From Kogan's study, it seems obvious that different universities administer university governance in different ways in relation to democratic transition.

Pressures as a result of the transition of university education from elite to mass systems of education have been accompanied by demands on universities to redesign curriculum, restructure the organisation, limit expenditure and increase accountability to external groups (Gayle et al 2003:35). However, this transition seems to be too slow and less responsive to unprecedented problems arising from stakeholder demands (Kezar & Eckel, 2004:371). Kezar and Eckel (2004:371-390) suggest that universities need to redesign the governance process by having a more responsive form of governance structure. However, this transition will increase expenditure and is more likely to provide university administrators with an excuse of delaying democratic transition.

Further to the findings of Murphy (2000: 46); Kogan (2000:60) and Kreysing (2000:40) argue that universities are not only pressured with a period of new social demand and a rapid pace of technological and scientific change, but also with an increased number of government regulations and control. The likely implication of this will be that governments will steer universities' decisions and actions in favour of the objectives set by government.

From the arguments of Kreysing, it can be observed that government objectives though not necessarily in the best interest of university stakeholders will always take precedence. This may further complicate the transitional process of democratising university governance. Rahim (2002:113) feels that government strongly and unduly controls and influences universities, leaving them little room for freedom, autonomy and leadership. The influence of government indicates that these

universities are not democratic. The power of the university senate has become less effective in determining the future changes and directions more especially of public universities.

Despite shrinking financial assistance from governments, universities are also expected to offer better programmes using better facilities and come up with research outputs that have better impact on economic development and that are able to remedy social ills. However, meddling in the affairs of universities by governments and lack of governance structures to include voices of other stakeholders affects performance of universities.

The experiences witnessed in African universities during the recent past have underscored the need for better governance of universities in terms of efficiency, accountability, transparency and flexibility. African universities have faced worst forms of undemocratic governance in an environment of undemocratic states. This has made African universities, especially in Sub-Saharan Africa; fail to respond more efficiently to diverse and continuously changing needs of learners (Chacha, 2001:5).

A crucial question here is whether the governments' decisions will help universities become more independent and be able to face changes affecting universities throughout the world (Kasozi 2003:80-100). Obviously, governments' decisions have an impact on the dynamics of university governance. The line between university governance and government has to be drawn. There needs to be a balance between autonomy, accountability and university power with government power. This balance has to be examined in relation to the various laws that regulate universities.

Reform of educational management of universities is urgently needed to move from highly centralised to participatory decision making, implementation and monitoring. This further calls for genuine representation of different stakeholders on decision making forums. This could include regular election of leaders from stakeholders' bodies like academic staff associations, non-academic staff associations, students' guild, professional and employers' associations.

From the above literature, it can be observed that there are calls for reform of university governance. These calls as observed by Waugh (2000:1) have created mixed responses from university

governance practitioners with some agitating for adoption of economic values in university governance. In the proceeding section, a review of adoption of economic values in the environment of traditional university setting is undertaken.

2.2.6   Conflicting values and culture

According to Waugh (2000:1), universities in the United States of America are letting economic values become the foundation of university administration which poses a serious threat to academic interests. The conflicts between management and academic cultures are causing tensions and distrust within the faculties and administration of an increasing number of universities. Universities in developed countries are adopting corporate decision making and planning techniques. For example, in Washington University, economically unproductive programmes have been scrapped reducing academic menu on offer (Kasozi, 2003:39 and Chacha, 2003:5). However, evaluating taught programmes on economic viability alone has created problems of letting managerial or economic values dominate or create an organisational culture that is not hospitable to democratic processes and values such as equity in deciding programmes to offer.

It is also likely that those university executives seeking means of managing human and financial resources, planning and decision making are simply seeking the best tools available and are not being mindful of the influence those tools and their use have on academic programmes, administrators and the lower tiers of university staff (Kogan, 2000: 450). The above background can lead to a great challenge in implementing effective governance in universities.

Public and private universities are being encouraged to adopt the values of the corporate world, but they are often adopted with little regard to their appropriateness in education settings (University Governance Report, 2005:15-20). Consequently, staff members, students and other customers of universities are finding themselves casualties of rational management. The threat to university governance and the interests of university staff, students and other constituents is the focus of this analysis. The greater impact of managerial circumstances is the issue. The next section reviews the concept of decentralisation authority and decision making in university governance.

2.2.6.1 Centralisation of authority and decision making

One of the central themes in the literature is the increasing centralisation of academic and administrative decision making. According to Shattock (2002:243); Kezar and Eckel (2004:376), the process of academic decision making in the university is cumbersome for general reasons. Among these are purposes that are confused and inconsistent and programmes and objectives that are not specific. Therefore, a structure and process of governance must somehow unite these conflicts so that academic service is in fact produced.

Eckel and Kezar (2004:48) argue that decision making processes are becoming more executive-controlled and less collegial, participative and open to scrutiny by many of the university's traditional constituencies. In spite of increased rhetoric about customer-driven mission and coalition building principles, there isn't much to suggest that there has been a reduction in centralisation or that much effort is being devoted to decentralisation of some authority to other power centres. The fundamental issue, however, is the emerging need to centralise authority and closing of decision making processes. This reflects the more business like culture of university finance and administration and may be a logical response to the new roles of chief executive and senior administrators. However, the changes may be understandable in administrative terms; the new managerial culture does not support the traditional values and processes of university governance (Gallagher, 2001:2-10). While there may be persuasive arguments for better university level management, there is a growing problem as managerial values filter down to colleges and departmental levels. There are many reasons for the centralisation of authority at the highest levels of the university and perhaps most notable are the increased constituencies to serve needed resources and political support.

Senior administrative officers in universities are being pressured to reduce costs and to increase productivity (Hirose, 2004: 90-98). Resources are shrinking in many institutions and are being reallocated in many more other things. In some cases, the new emphasis on administration is resulting in the identification of slack resources and re-allocations to support the institutions' goals. Such challenges may create a temptation to control resources at the highest managerial level possible. However, this seems to contradict the changing nature of university governance that calls for more involvement.

The application of managerial technologies is encouraging marginalisation of faculty and other constituencies in the strategic planning processes, the redefinition of the staff as one of the several or many sets of stakeholders, the bureaucratisation and professionalism of university administration and changing reward system for university leaders (Kasozi, 2003:96). As a result, staff members, students and other traditional constituencies are increasingly being excluded from college and department level decision making and the academic interests are being subordinated to the economics of management (Scott, 2001:141-142).

Arising from the above literature review, the different stakeholders are likely to be affected by centralisation of decision making. One of these groups may be the academic staff. In the next section, this effect on staff and other stakeholders is examined.

2.2.6.2   Distrust among the staff and other stakeholders

One of the reasons why staff participation in university governance is vulnerable is the current social, economic and political milieu. In the broadest sense, there is hostility to large public institutions, including perceptions that public employees are less deserving of recognition than their private counterparts and that large organisations are self-surviving and somehow disconnected from the public interest (Shafritz & Ruseel, 2005:472-476). There is a strongly held belief that public entities including universities should be more businesslike, more entrepreneurial and more pragmatic. In some measure, staff and administrators may have contributed to the problem by paying too little attention to the political constituencies.

The interests of staff and students often seem less compelling than those of the governing board, and for public influential state legislators. Unfortunately, the external constituencies often do not understand issues of academic quality and in the case of governing boards they have to consider other institutions competing for the same resources and opportunities. Gayle et al (2003:49-60), for instance, points out the differences posed by the academicians and the board of trustees at the University of Dubuque in the USA. The academicians argue that their voice should be indirectly or directly authoritative in the process of decision making. Ultimate decision making in the university is

its responsibility due to the fact that the board has the academicians' role to manage the learning process rather than the learning environment of the university (Kezar & Eckel, 2004:379).

These observations point into the direction of some sections of the university governing bodies considering their colleagues more especially in non academic areas as passive members of the institution. This creates a tendency of academic staff discounting the suggestions and decisions of the non academic colleagues (Gayle et al, 2003:49-60). The consequence of this mistrust is ineffective governance as democracy and participation are dwarfed by the feelings of academic and non academic staff when jostling for recognition. Besides human and structural problems discussed in this and preceding sections, universities face governance challenges in other areas more especially financing, academic environment, relevance of programmes and employability of graduates. In the next section and its proceeding sub-sections, a review of issues like financing, globalisation, and staff remuneration will be done.

2.2.7   Issues concerning university education

According to Chacha (2004:1), universities are currently faced with great challenges related to financing, equitable conditions for students' academic growth, improved staff development; skills based training, enhancement and preservation of quality teaching, research and services, relevance of programmes, employability of graduates and others. Universities, especially in developing countries, are struggling to emerge from a decade of crisis. A number of challenges like rapid growth, brain drain, frequent labour strife, campus closures, institutional deterioration, waning relevance and declining educational quality have produced a generation of graduates considered to be less capable and qualified than they were ten years ago (Chacha, 2004:2). The question is whether these universities will be able to guide these developments and manage the affairs in the years ahead.

It must, however, be acknowledged that higher education as the principle venue for knowledge creation and dissemination, occupies a very special space in any society's development agenda. Therefore, universities have the function of fostering the capacity of individuals and communities to embrace democratic principles, to uphold human rights and to promote suitable development

(Chacha, 2004: 1-3). In Africa and the rest of the developing world, university education must be poised to create the human capital necessary to keep pace with the knowledge revolution.

Developing countries are generally lagging behind in the important question of guaranteeing adequate higher education opportunities for its inhabitants. Yet, without addressing these challenges adequately, researchers like Chacha (2004:3); Kezar and Eckel (2004:472) may not be able to find a reasonable course of action to ensure that university education will provide adequate solutions to the socio-economic problems facing our society. The major issues in education need to be addressed if university education is to be effective. In the next sub-sections, the issues concerning university education like university financing, globalisation and remuneration of university staff are addressed.

2.2.7.1 Financing higher education

Chacha (2004:7) argues that most public universities have traditionally relied on government funding to carry out their activities. Due to harsh economic situations witnessed by our countries, government support to these universities has seen a steady decline and the universities have been forced to operate under very tight budgets which have affected their effective governance. The situation has not been made any better by the structural adjustment programmes (Kasozi, 2003:29). The universities have been forced to rethink their strategy and possibly look for extra sources of finance including establishing income generating activities (Kasozi, 2003:28). Kasozi (2003:29) indicates that universities are now seeking out financial, human resource and other administrators with experience in large organisations but not necessarily experienced in academic institutions to address the challenges posed by running universities as business entities.

The most disturbing challenge posed to higher education by the rapid expansion of university environments is whether the owners of educational institutions can afford to finance the facilities needed to deliver quality education to increased number of students (Musisi, 2003:20). Many of the funding sources of these universities are weak. The increasing enrolment in government universities is not matched by a corresponding expansion of facilities (Kasozi 2003: 30-33). The cost of higher education especially university education is very high.

In East Africa, government funding for university education has been declining largely due to the financial constraints brought about by the unprecedented growth at the lower levels of education. The introduction of Universal Primary Education in East Africa (UPE) and universal secondary education (USE) as recommended by the Millennium Development Goals (MDGs) has led to tremendous decline in government funding of universities (Musisi, 2003:20-30). Musisi (2003:31) argues that due to high costs of educating students in these universities, there are gaps between what universities need as reflected in their budget proposals and what is approved by their core funders; what is approved and what is actually disbursed or remitted; and the gross unit cost and fees paid by each student. According to Kasozi (2003:28-29), a number of universities, especially in Africa, are tempted to cut expenditure on educational inputs such as library books, space, computers, laboratory equipment, teaching materials and aids as well as remuneration for staff. In turn, these shortages affect the delivery of quality education and effective governance.

From the foregoing, there is little wonder, therefore, that no university in Sub-Saharan Africa and in East Africa for that matter that makes it to the list of best 300 world universities. Their problem is simple. They do not have enough financial muscle to put in place systems and structures that can deliver the quality of education and educational facilities of world class nature.

2.2.7.2   Globalisation

Globalisation has made the process of legislation for national systems of education difficult (Kasozi, 2003:68). University managers seem to be living in a borderless world where whatever happens in one corner of the world affects all the universities. Students in different universities can receive higher education from anywhere they wish without permission from their higher education officials (United Nations Development 2001:30-40).

Powerful overseas on-line colleges and universities have become global suppliers of education which have blurred the boarders that divide nations. For example, Central University of Budapest is chartered by the Board of Regents of the State of New York. The American University of Bulgaria has been chartered by the University of Maine. Sylvan learning systems have a controlling interest in private universities in Mexico, Chile and Spain. The Mornash University of Australia has campuses

in Malaysia, South Africa, Italy and United Kingdom. The British Open University serves 260,000 students in 41 countries and the mighty University of South Africa is an accessible and affordable distance university education provider in Africa (Kasozi, 2003:68-69).

The question then is: where does this effect of a globalised education leave large universities with large and complex university campuses that require many students to financially break even, more public and private funds, and more staff? The above scenarios have without doubt affected governance in some universities because these powerful institutions know no boarders except students. The structural arrangement of the universities has been affected because students are in contact with big universities directly.

Rich nations do not allow unrestricted entrance by third world manufactured goods or people into their countries saying that education in third world countries is of poor quality (Chacha 2003:7-8). These rich counties are getting into bigger economic groupings like the European Community and the North American Trading Group to exclude goods and people from other areas (United Nations Development (2003:44-45). This development has tempted many third world students to look out for accredited education in these developed countries. This has heightened competition between third world universities and academic giants in developed countries (United Nations Development 2003:45).

Consequently, countries in the third world have failed to produce knowledgeable and marketable people with quality because of the influence of the rich countries. Universities in rich countries attract quality lecturers and students from developing country universities denying them quality outputs and heightening competition. This has put universities in third world countries under pressure to reform their governance to suit the global challenges. Almost a decade ago, corporate governance was proposed for adoption by universities in the United Kingdom by various higher education reform reports as the most appropriate governance model. It was postulated that this would enable higher education institutions cope with the pressures imposed by globalised world. Besides, it would cure inefficiencies of the collegial model of governance that dominated European universities (Shattock, 2006:40). It is not clear whether adoption of changes by third world universities similar to those that

are taking place in universities of developed countries will deliver them from agony caused by global competition and inherent governance challenges.

2.2.7.3 Insufficient Remuneration

Public universities have almost exclusively depended on the government for remunerating their staff. Government remuneration in most developing countries is not retentive more especially to such highly skilled staff like professors and other staff with doctorate degrees (Chacha, 2003:8). Chacha (2003:8) contends that universities in developing countries do not generate enough funds internally to bridge the resource gaps. This has exposed their best academic staff to poaching by more resource endowed universities in developed countries. Many professors especially in African countries have relocated to other countries in search of better pay and others are part-timing in many universities. This has threatened university governance more especially in low developed countries. This movement has also affected the teaching needs of those universities. Demand for better governance has often led to standoffs between the governments and the University Academic Staff Union (UASU). According to Kasozi (2003:21) insufficient remuneration of staff has led to loss of motivation and moonlighting brain drain which is a problem to efficient governance of universities in low developed countries.

Insufficient remuneration has led to a problem of quality managers in universities. This is because highly qualified people are less paid and people with less experience are the ones occupying the offices of the highly qualified managers (World Bank 2000:65). According to Kasozi, (2003:23) the staffing situation is compounded by losses of staff that leave the academic system for other sectors. According to Kasozi (2003:24) the causes for departure include the following:

   (i) Poor pay in relation to their training where the government has been reluctant to approve the raising of university staff salaries to the long training and expertise university staff members have.

   (ii) Irregular payments by some universities.

   (iii) Early retirement in most universities that is between 55-60 years.

   (iv) Linkage of university staff salaries to government scale that is low.

(v) Lack of guaranteed security of employment whether based on contract or permanent and pensionable basis.

Universities in most parts of the world are increasingly employing people on contractual terms and this is a danger to management, especially when it comes to continuity. According to Chacha (2003:8-9), government's support to these institutions has witnessed a steady decline, and the universities have been forced to operate under very tight budgets. The situation has not been made any better by the structural adjustment programmes. These universities have therefore been forced to rethink their strategy and possibly look for extra sources of financing including establishing income generating activities. However, these income generating activities have strained the academic infrastructure and exacerbated the problem of poor academic performance. In the next section a review of developing and sustaining effective governance in universities will be discussed.

2.3   DEVELOPING AND SUSTAINING EFFECTIVE GOVERNANCE IN UNIVERSITIES

Models for building better governance differ considerably depending on the agency, size, complexity of structures and legislative background. Agencies for better governance should constantly test and adopt their models to meet prevailing circumstances (Bartos, 2007:40-50). A strong focus on building and sustaining an effective governance framework and on directing signs of poor governance help universities deal with problems before they fall into serious performance issues (Stanton 2007:15; Kasozi, 2003:85 and Karlo 1999:36 as cited in Kasozi, 2003:86).

According to Bartos (2004:90-120) and Santon (2007:5), the following are the building blocks that need to be considered when establishing or reviewing university governance arrangements: strong leadership, culture and communication; appropriate governance committee structures; clear accountability mechanisms; working effectively across organisational boundaries; and strategic planning, performance and evaluation. In the next section, an in depth review of these building blocks to establishing effective university governance is done.

2.3.1 Strong leadership, culture and communication

In university governance strong leadership is critical (Kasozi: 2003:85). Clear direction and support of structures should be put in place. The success of this leadership will depend on the good management of the senior executive as a whole. Senior managers must walk the talk modelling good governance behaviours and demonstrating a commitment to achieving governance objectives through accountability processes (Australian National Audit office 2003:1; Kasozi, 2003:86). An example of strong leadership is in European universities where power has been decentralised to various university governance organs. According to Sporn (2003:33), European universities through decentralisation have created good leadership which has helped them maintain effective governance.

Line managers of the university also need to constantly and regularly send the same messages to reinforce the universities' governance approaches. All the employees of the university must be encouraged to take their governance responsibilities seriously and be active participants in the governance processes. Trakman (2008:64) argues that providing for governance structures and processes, top management should set out guidelines on the selection of members by a nomination committee.

The process for induction of members, procedures for meetings including open hearing and provision for performance standard measured against key performance indicators should be included. Employees in the university are the key players in the organisation. They are on the ground and can see where things need to change. Therefore, having strong leadership in a university means strong governance. In the next sub-sections, the researcher examines how strong leadership may be built.

2.3.1.1 An ethical and value-based culture

An excellent leadership must be supported by a strong university culture. The culture and values of the university should among other things embrace communication and emphasise the importance of communication in achieving organisational goals (Chandan, 2005:351). Clear and on-going communication about the university's governance requirement needs to be coupled with strategies that encourage cultural change where required (Bartos, 2004:85-89).

University managers need to demonstrate to staff how governance systems and structures help improve performance and achieve goals. It is also important that everyone in the university understands the governance system and their responsibilities for contributing to a sound university governance culture. Bartos (2004:59) is supported by Schumacher (2006:2) who encourages effective compliance and careful delegation and due care in hiring and screening employees. For example, a university committed to good governance and principles is the Hong Kong Polytechnic. The Hong Kong Polytechnic established principles that emphasise academic freedom and autonomy, performance in terms of added value to student education and academic advancement, public accountability and social responsibility, transparency, ethics and professionalism.

Schumacher (2006:3) suggests that staff should clearly understand their responsibilities in maintaining effective governance. This indicates that steps in maintaining effective university governance should ensure fairness, transparency, independence and appropriate record keeping. Performance report (2004:4) indicates that ethical and value-based culture spells out areas of participation in specific kinds of decisions, and clarifies ambiguous or overlapping areas of stakeholders' authority. In the next sub-section the researcher discusses the frequent and consistent communication as a tool to effective communication.

2.3.1.2 Frequent and consistent communication

Frequent and consistent communication to all staff about their objectives and responsibilities must be on going, consistent and part of all senior management communication including everyday situations. Information can be made available through speeches, staff meetings, articles in newsletters and on the internet, performance appraisals, discussions and regular discussions about policy and programme development (Stanton, 2007:5-6).

One way to ensure that a constant and consistent message is sent to all staff is to make a specific area or agency responsible for university governance related communication. According to Schumacher (2006:3), it is important to create and maintain an effective line of communication between the compliance officer and all the employees; including a process to receive complaints or questions that

are addressed in a timely and meaningful way and the adoption of procedures to protect the anonymity of complainants to protect whistle blowers from retaliation (Chandan 2005:350).

According to Minor (2003:970) effective governance is sustained by good communication and trust between institutional constituencies. Minor's four-year study of colleges and universities indicates that effective communication remains a strong institutional value among all campus constituents. Minor (2003:973) is supported by Chandan (2005:351) that effective communication is very essential for management to perform its functions. Chandan (2005:352) further argues that a plan is meaningless unless everyone is aware of it and pulling together to achieve its objectives. The framework of communication in the university therefore requires a clear identification and articulation of responsibility as well as a real understanding and appreciation of the various relationships between the university stakeholders and those who are entrusted to manage and deliver required outputs and outcomes. In the next sub-section a review of employees' responsibilities is examined.

2.3.1.3 Employees responsibilities

Good governance requires all employees to think carefully about their decisions and actions, and to be interested and active in management. It is not an 'us and them' situation with only executives and managers responsible for university governance matters and others playing a passive role. The quality of university governance relies on each employee taking individual responsibility (Barton, 2004:90-100). Barton (2004:102), Schumacher (2006:2-3) and Kasozi (2003:91) argue that there should be effective information about the roles and responsibilities of university employees.

Sporn (2003:32) encourages managerialism in European universities. This, according to Sporn (2003:32), would encourage efficiency in financial management with stronger managerial controls and delegation. Bradley (2003:1) encourages entrusting employees with responsibility. Dooley (2003:4) and Bradley (2003:4-5) encourage universities to build a culture of delegation and establishment of good advisory bodies that help in coordination of teaching, research and educational programmes. Dooley (2003:5) gives an example of the University of New South Wales that has a good advisory body that helps the university to run an effective governance system. Dooley's ideas

are shared by Kezar and Eckel (2004:399) who advocate for empowering employees to be more responsible. Kezar and Eckel argue that this is the only way through which effective governance is ensured. Kezar and Eckel (2004:399) cite examples like State University of New York, Stanford University, and Harvard University as having robust systems that enable employees to be more engaged in governance issues.

To have effective university governance, the university employees' body should be responsible for assuring academic quality including academic freedom, academic integrity, assessment, admissions and research conduct. In the next sub-section, a review of how on-going training and support to staff improves university governance is examined.

2.3.1.4 On-going training and support to staff

According to Bartos (2004:10-100), it is essential to provide on-going training and support to staff responsible for decision making and programme implementation. The level of training and support needs to be commensurate with the level of responsibility devolved to staff and the complexity and risk of the decision making context. Training should also cover the values and code of conduct.

Kasozi (2003:91-100) reinforces Bartos' argument about the necessity of training. Kasozi (2003:101) is of the view that training values define the standard of behaviour required by staff and cover issues related to university governance such as recognising conflicts of interest, maintaining confidentiality, complying with the law and university directions and reporting unlawful or unethical behaviours through proper channels. Good governance in universities is enacted through the behaviours and actions of staff at all levels as they contribute to the efficient, effective and ethical delivery of their university goals. This observation is in agreement with the study done by professors in the University of Mississippi in 2000 where training of staff was found to create cooperation, collaboration and consultation among the membership of the entire university community (Centre for Higher Education Policy Analysis, 2004:20-30).

The study further reveals that achieving the mission of training requires an understanding of the university's managerial environment and commitment to the formal and informal decision processes

by which the university conducts its work and maintains its standards (Centre for Higher Education Policy Analysis, 2004:40). The next section amplifies the importance of governance committee structures in ensuring effective governance at universities.

2.3.2   Appropriate governance committee structures

According to Altibach (2005:16-18), governing structures for university education are highly differentiated throughout the world. However, Coaldrake, Steadman and Little (2005:5) are of the view that in spite of their differentiated structures, universities governance structures share the same heritage. Coaldrake, et al (2005:5) argued that appropriate governance committee structures allow easy decision making in universities and therefore effective governance. According to Shattock (2002: 233), governance committees are responsible for planning, coordination, monitoring and evaluation. They emphasise academic freedom and autonomy, enhance performance in terms of added value to student education and academic advancement, and ensure public accountability, social responsibility, transparency, ethics and professionalism.

According to the Centre for Higher Education Policy Analysis (2004:20), the Polytechnic University of Hong Kong recognises the importance of establishing and implementing an effective framework of governance in monitoring its operations and financial performance. Polytechnic University has a good governance system because of organised structures such as council committees, senate management, internal control and human resources.

Sporn (2003:32) concurs with Centre for Higher Education Policy Analysis (CHEPA) on the importance of effective governance structures. Sporn (2003:32) considers European universities as having good governance structures which maintain efficiency in finances with stronger managerial control and deregulation of the labour market. Sporn (2003:32-34) identifies issues like downsizing and decentralisation, breaking up of large institutions into smaller peripheral units with a smaller centralised managerial core and a split between public and private funding, as key in enhancing over all governance of institutions. Sporn (2003:34) advises universities to follow the decentralisation arrangement in order to develop and maintain effective governance.

In 2002, Centre for Higher Education Policy Analysis, analysed the structures of Southern California and launched a three-year project designed to analyse and recommend ways to improve shared governance in four universities entitled "Challenges for Governance: Improving Decision Making Structures and Accountability in Higher Education". The findings of this study reveal that decentralised structures improve decision making, which in turn improves university governance.

The creation of committee structures is supported by Awaleh and Mtegha (2003:10) who commend the arrangement of Amound University as having organised structures headed by the Supreme Council. These structures according to Awaleh and Mtegha (2003:12) maintain and promote efficient management of the university, colleges and the faculties. Faculties are made up of various departments divided among various academic disciplines. This has helped the University of Amound to maintain efficiency and effectiveness.

According to Minor (2003:970-975), most universities look at the senate as the most important structure that can maintain efficiency and smooth running of the campus. For effective governance, the senate should have democratic decisions. For example, in the USA, the American governing boards are considered to be very important in American universities and are supposed to be responsible and should have authority on decisions made in a university. The work of the board is also acknowledged by Gumport (2006:40); Bradley (2003:1-2) and Allport (2001:3-4).

Dooley (2003:10) concurs with the findings of Allport (2001:1) after studying the governance of the University of New south Wales. Dooley (2003:12) argues that the board as a committee was the principal policy making and advisory body on all matters relating to and affecting a university's teaching, research and educational programmes. Dooley (2003:12) commends universities to have committee structures for smooth running of the activities in universities.

Centre for Higher Education Policy (2004:10-20) reports that Arctic and some of the American universities like Harvard, are well organised because of having strong committee structures that have oversight on strategic planning and setting institutional priorities. These structures include the board and council which work hand in hand on the implementation of the programme of the university. Kasozi (2003:103) advises the universities to have committee structures in order to run the work of

the university smoothly. Altibach (2005:16-18) gives an example of Arctic University which has responsibility for the strategic development and setting main priorities. In the next sub-section the researcher examines the importance of typical committee structures in improving and developing strong university leadership.

2.3.2.1   Typical committee structure

According to Kasozi (2003:83), developing a strong internally vigorous and institutionally strong university leadership based on typical committee structures requires depersonalising flow of authority. Typical departmental leadership will enable universities to achieve what they were established for. For universities to attain this goal, typical committee structures should be put in place in order to manage the work of the university. Kezar and Eckel (2004:371); Allport (2001:10) and Dooley (2003:10-25) argue that typical committees in universities are very important. According to Dooley (2003:26), the following examples of committees are good in maintaining effective governance in universities:

    (i)   Senior Executive Committee

    (ii)   Senior Management Committee

    (iii)   Audit Committee

    (iv)   Information and Communication Technology Committee

    (v)   Council Committee

    (vi)   Senate and Departmental Committees

These committees are put in place to recognise the importance of establishing and implementing an effective framework of governance and management. These committees will consequently be instrumental in directing and monitoring operations and financial performance of the university. Centre for Higher Education Analysis (2004:20-40) indicates that these committees are expected to provide support and advise the university so as to ensure its well being and sustainable development. Lambardi, Crag, Capald & Gaten (2002:43) consider an example of United States of America as having the best committees running universities. Such committees have helped these universities to be effective.

It has been noted that committee members diligently and faithfully discharge their duties in the best interests of the public, the university, students, employees and other sectors of the university (Bartos, 2004:40-50). For effective governance, the committees are supposed to have frequent and regular formal meetings between the head of the university and departmental heads to identify and manage issues and progress against objectives (Murphy, 2007:40-60 & Bartos, 2004:45-50).

In addition to the typical committee structures, universities have designed and implemented a range of other oversight or coordinating committees of the senior executive committees. According to Bartos these committees include:

(i)   Ethical values and standards.

(ii)   Security including business community.

(iii) Remuneration.

(iv)   Research.

(v)   Programme management.

(vi)   Fraud and integrity.

(vii) Performance management.

(viii) Strategic planning.

In some cases, these committees are established to implement specific university governance initiatives or complex work cutting across the organisation. These committees are formed to oversee programmes or policy areas identified as key risks (Bartos, 2004:10). In the next sub-section a review of protocols establishing effective committee structures will be examined.

2.3.2.2 Effective committee structures

Regardless of the committee structure, best practice protocols should be followed when establishing and operating committees. According to Bartos (2004:12), these protocols may include the following:

(i)   Establishing clear terms of reference on charters including the purposes and roles of the committee, the responsibilities of its members and accountability to the university heads.

(ii)   Selecting the right members for the task whether representative or related expertise.

(iii) Equipping committee members with the skills and resources they need to play an active role in committee deliberations.

(iv) Providing appropriate and skilled secretariat support with the backing of senior management.

(v) Ensuring briefing papers are sent out in a timely manner so that all members have the opportunity to consider them thoroughly.

(vi) Developing sound record keeping and reporting protocols.

(vii) Reviewing committee performance and appropriateness on a regular basis, particularly when the functions of the organisation change, to ensure that the number of committees and workload they create for staff remains reasonable and appropriate.

(viii) Ensuring committees remain strategically focused, aligned and integrated and developing a work plan for the year ahead that can assist with this.

(ix) Determining whether committees are on-going or are limited by time and purpose.

Bartos (2004:8-40) argues that confidence in a committee will be enhanced if it has clear and transparent governance arrangements. Bartos (2004) agrees with Allport (2001:10-100); Coaldrake, Stedman and Little (2003:5-20) and Altibach (2005:18-20) who argued that a regular schedule of meetings, with pre-arranged dates and written agenda, papers and minutes as well as a list of actions decided at each meeting will be effective for university governance. According to Kezar and Eckel (2004: 378) effective committees have helped the universities of New York and Stanford University to be more effective.

For effective governance, the university executive should arrange for a committee such as an audit committee to be able to seek external professional advice when needed. These committees should review their actions for proper management. The committees play major roles in binding together a large and diverse organisation. The committee review recommends that the guiding principle for committees is to establish and retain only those that contribute to the effective and efficient running of the university, and also reduce the pressure and workload on senior staff.

For the purpose of maintaining and sustaining effectiveness, the committees must have a clear purpose and clear sense of its strategic obligations. The committee members should ask themselves the following core questions: Does the committee enhance the university's strategic focus? Is it the best use of people's time? Could these outcomes be achieved in another time?

Murphy (2007:50-55) recommends that while the head is the ultimate decision maker, a top executive committee should set the strategic decisions of the university, advise on significant management and academic directions and monitor financial performance and compliance standards. In the next section and preceding sub-sections, a review of the following issues like clear accountability mechanisms, organisational structure and correct financial behaviour will be examined.

2.3.3   Clear accountability mechanisms

For proper accountability mechanisms, the university should make annual reports and audited financial statements after the end of each year (Abedian, 2000:8-9). This is to provide an objective and independent review of the financial reporting of the university and ensure transparency and accountability in the use of financial and other university resources (Schutte, 2007:7). The external auditor should be appointed by the university to conduct an audit of its financial statements (Shafritz & Russel, 2005:472-475). Dooley (2003:14) supports Sharfriz and Russel (2005:476) that universities maintain effective governance when accountability mechanisms are good. Dooley (2003:15) gives an example of the University of New South Wales as having good accountability mechanisms and has helped this university to have effective governance.

The audit committee will provide an independent review of the effectiveness of the financial reporting process, internal audit process, an internal control system and risk management of the university (Pott, 2000:21-30). The audit committee has to receive reports and ensure their adequate and fair distribution in the university. The audit committee ensures timely preparation of the annual accounts and the appropriate, development, maintenance and implementation of control measures to address risks. Burke and Associates (2004:4) contend that for better accountability, the university must address the recurrent questions of who receives what, when why and how.

Burke and Associates (2004:6) and Fourie (2006:437) argue that many universities have found that integration of strategic planning and budgeting is well served by the introduction of a modified responsibility management system. Such an approach may significantly contribute to continuous quality improvement in university committees and also allow for the formulation of proactive stances.

The World Bank (2000), as cited in Kasozi (2005:97) indicates that for proper accountability, universities should not spend a large percentage in non-academic items but should balance. Kasozi (2003:98) further argues that the budget allocations should be in harmony with the institution's mission and strategic plan. For proper accountability, universities must have complete control over their budgets provided they are accountable to their council and the public.

Naidoo (2002:17) is of the view that good university governance depends on accountability since accountability is one of the prerequisites of democracy. One of the key elements of good governance is a sound system of internal finance control. This control system incorporates rules, procedures and practices through clear stated policies. The absence of a clearly defined system of financial control could lead to institutional corruption, theft, and fraud (Du Preez 2000:25-26, Woods 2000:9-10, & Woods 2001:10-20).

Sound financial management, aggregate control, prioritisation, accountability, the efficient management of university resources and delivery of services are the basic factors that can help a university to avoid administrative problems. Schutte (2000:7-10) argues that effective governance should ensure a sound control function which should consist of the following stages:

(i)   The creation of achievement standards.
(ii) The measuring of actual achievements.
(iii) The evaluation of deviations.
(iv) The implementation of corrective actions.

Shafritz and Russel (2004:472- 475) concur with Schutte (2007:10-12) that for effectiveness, a university should have sound public financial management which requires a firm foundation in financial information. Shafritz and Russel (2004:472-475) argue that this can be achieved by creating an integrated system of budget formulation, budget execution and focussing on the cost of the past and future decisions.

2.3.3.1 Organisational structure

According to Kezar and Eckel (2004:375-576), for effective governance, clear and unambiguous lines of reporting, accountability and responsibility both within the university and its stakeholders, are critical. Several universities have recently reviewed and realigned their organisational structures to achieve this (Kasozi, 2003:98; Murphy 2007:60; Kezar & Eckel 2004:36). Organisational structures should have clear mechanisms of reform and adjustment whenever situations change. Rigid structures can slow down the development of the university by killing individual initiative and innovation (Kasozi, 2003:10).

According to Bartos (2004:90-96), Australian universities have established a particular branch or unit charged with the overall strategic governance of organisations. The responsibilities of this unit according to Bartos (2004:97) include the following:

(i)   Providing secretarial support to the senior executive committee.
(ii)   Driving or overseeing risk management processes across the university.
(iii)   Coordinating annual and financial reports.
(iv)   Developing a framework for overall on-going assessment and review of how the university is performing,
(v)   Supporting the university development in conjunction with the human resource area. The importance of a good governance framework is that it helps departments to implement university policies, deliver services well, meet their organisational goals and achieve sustainable goals.

According to Kasozi (2003:7-11); Kezar and Eckel (2004:36-40), university management structures provide the legal and organisational framework with which administrative decisions are made. The organisational structures set the extent and limits of power of various players in the administration of the universities. Without these structures, the personal views of the various position holders could impede institutional development.

Kezar and Eckel (2004:36-40) are in support of Kasozi (2003:120 that management structures are crucial in guiding workers and preventing individual leaders from using the now accepted freedom of

universities from external interference and or for selfish ends. Kezar and Eckel (2004:43) continue to argue that the structures define the powers and limits of councils, senate or executive boards, the faculties, institutions, schools and colleges, the academic and administrative departments, student unions, and the academic and non-academic staff unions. These committees, permanent or ad hoc are set up to focus on specific tasks for effectiveness.

2.3.3.2 Correct financial behaviour

The priorities to which a university puts its money influence the direction in which the institution is to develop. According to Kasozi (2003:97), it is not only the amount of money that an institution receives but also the way in which it is spent that determines the success of an institution. Since the aim of the university is to create, store and deliver quality knowledge, it follows that research, teaching and equipment should be top priorities in the allocation of funds. To maintain effective governance and correct financial behaviour, academic faculties should be well funded since they determine the quality of education.

According to Paulo et al (2002:93-96), for correct financial behaviour, a university should follow the following financial activities if it is to manage its resources:

(i)   Forecasting resources and expenditure.

(ii)   Formulating medium terms expenditure framework.

(iii)   Linking budget to policy making.

(iv)   Preparing the budget in time.

(v)   Managing cash and monitoring expenditure.

(vi)   Performing internal control and audits.

(vii) Accounting and reporting.

Kasozi (2003:97-99) observes that student preferences for choice of university are influenced by the availability of educational facilities. Therefore, universities which do not budget well have been registering a decline in student enrolment and this shows lack of correct financial behaviour.

It has been pointed out that many African universities spend a large percentage of their budgets on non-academic items (World Bank 2000:25). Abedian (2000:9) is of the view that universities to

improve and spend well should have sound expenditure, control systems and effective external oversight systems. Abedian (2000:9) considers the following to be helpful in ensuring universities remain financially sound:

(i)   Fixing the right level of fees.

(ii)   Borrowing without mortgaging university properties.

(iii) Investing surplus funds with approval of council.

(iv)   Setting pay scales of its staff.

(v)   Deciding on conditions of staff service.

(vi)   Having the mechanisms to protect the academic freedom of its staff against adverse internal and external forces.

Kasozi (2003:98); Abedian (2000:10) argue that autonomy is achieved in universities when accountability, responsibility, transparency, good governance and emphasis on areas that enhance education are present. Good, transparent financial behaviour is a sign of a strong institution and helps to attract brilliant staff and students to the university. This in turn also helps to consolidate university institutionalism.   Pierre (2000:57) and Fourie (2006:430) contend that efficient expenditure, accountability and financial behaviour are key components of effective university governance. In the next section and preceding sub-sections the researcher will discuss the following: working effectively across organisational boundaries, relationship with external stake holders and government arrangements.

2.3.4   Working effectively across organisational boundaries

Working across boundaries in a university gives a clear direction on working towards joint approaches to resource and knowledge utilisation (Bartos, 2004:90-95). It feels appropriate to use this strategic direction and apply a joint approach to workforce development and planning for institutional governance.

The university thinking has now turned to the potential use of joint work force in planning, development and academic service delivery (Gayle et al, 2003:22-25). This creates a pool of labour force with the right skills, attitude and knowledge needed to deliver a first class service. These staff

may be employed through the organisation's direct recruitment processes or commissioned to provide a strong performance management. There is every opportunity to bring together appropriate interventions where joint workforce would optimise resources, organisational memory and the delivery of seamless package of academic services (Gayle et al, 2003:108-109).

2.3.4.1   Relationships with external stakeholders

According to Gayle et al (2003:107), stakeholder model of governance is identified with collegial and representative governance. Stakeholders like students, academic staff, alumni, corporate partners, government and the public at large are part of the university. Relationships with external stakeholders and universities are accountable to the public through the parliament as well as to the government. Gayle et al (2003:107) further considers that stakeholders help in the success and development of a university. Universities need to ensure that they can explain and defend their decision making and that they have clear procedures for dealing consistently and equitably with stakeholders.

Universities can develop organisation wide protocols and checklists for dealing with external stakeholders. According to Trakman (2008:69-70), protocols may include service standards or character and systems for monitoring complaints and identifying issues. Trackman (2008:71) is of the view that regular stakeholder surveys can measure satisfaction levels of university and this may improve the governance of a university. Relationships with stakeholders need to be reflected formally in governance structures to provide adequate communication flows and manage possible conflict of interest.

The implication of stakeholder approaches centres on the need to know who is responsible for what and whether there is a common goal. Stakeholders are concerned about ensuring that management and coordination of university governance, particularly accountability arrangements cut across boundaries (Gayle et al, 2003:107). Universities are urged to develop written protocols or memoranda of understanding to document responsibilities of the various parties. There should be guidance about consultation and accountability arrangements because universities do not work in isolation.

Gayle et al (2003:108-109) indicates that structures and processes must be matched to the task. For better outcomes, communities should be consulted at an early stage in the development of a university and to ensure flexible budgets. Stakeholders mandate extends beyond the efficient management and fiscal responsibility of corporate boards. Santon (2003:33) appreciates the importance of stakeholders to the university and suggests that stakeholders provide participatory mechanism in university governance. Santon (2003:45) concurs with the observations of Henkel (2000:26) that stakeholders help in achieving a key cultural change in terms of interaction between the scientific arena, community, industry and the government entities.

Henkel (2000:28) suggests that universities should work with stakeholders for better management. According to Henkel (2008:29) expression of stakeholders' guidance in terms of participation ensures that their constituents are satisfied and fully aware of what happens in the university. Henkel (2008:40) further argues that stakeholders' guidance of higher education has increased in England and Netherlands. In both countries there is a strong policy tendency to include society and industry in the higher education.

According to Gayle et al (2003:107-110), many initiatives have been taken to open up these systems and to jointly set strategic priorities and directions. Both the English and Dutch government play this stakeholder role in the sense of strategic direction setting. Instead of using directives, telling universities what to do in a given situation, universities are encouraged to contribute to national targets without being told how this must be done.

In both countries, there have been initiatives also to increase lay membership in internal university governance. The Dutch supervisory board, completely made up of external members is a clear example of this. For example, in England, university councils have also seats of lay members and this has helped these universities to have an effective governance and good relationship with the community. Other universities elsewhere are advised to copy the example of England and Netherlands if they are to have good relationship with the society.

2.3.4.2   Government arrangements

Public universities deliver services to customers with or through government arrangement. According to Kasozi (2003:44-46), accountability and risk management cannot be outsourced without the help of government. Effective, responsive and devolved governance requires universities to develop strong accountability with the help of states and territories. The accountability framework emphasises the importance of standards which can be set through public service and government arrangement review (Pierre, 2000:56-57). This mechanism is to assist universities meet their accountability requirements as well as the government's accountability to service users and the general community. Bartos (2004:80-90) states that such control mechanisms are intended to leave universities free to manage their activities and be accountable to public servants for specified outputs and for meeting target indicators.

These universities are accountable for setting and monitoring these indicators and should build evaluation and review into contracts and regulations to ensure accountability frameworks that are vigorous. Kasozi (2003:46) is of the view that government involvement in these universities is to measure the performance and control funds. However, a balance needs to be struck between proper levels of accountability and allowing the providers some measures of flexibility and responsiveness to their clients. The government's aim is to focus on genuine outcomes that are appropriate to the nations. In the next section and its subsections, the following tools for maintaining effective governance will be discussed: Comprehensive risk management, flexible systems, audit committees and compliance decision- making tools.

2.3.5   Comprehensive risk management, compliance and assurance systems

According to Bartos (2003:70-80), compliance and assurance systems are the principles of sound practice that should be considered by every organisation or university as a guide for strengthening its effectiveness and accountability. Bartos (2003:81) is supported by Abedian (2000:6) who says that every university must have a board of directors. The board sets the university board policies and oversees its operations including its financial policies. The board also has a responsibility to create an environment in which there is open and robust deliberation on issues on which it takes action.

Lambardi et al (2002:20) gives an example of United States universities which established the board for easy management and compliance.

The board bears the primary responsibility of ensuring that the universities live up to their legal and ethical obligations to consumers and the public. The board also has the responsibility for overseeing or carrying out many of the activities implied by these principles. According to Abedian (2002:10) for the university to create compliance, risk management, compliance and assurance should have the following principles:

(i)   Procedures for legal compliance and public disclosure should be established with clear responsibilities and practices such as implementing conflict of interest and whistle blower policies.

(ii)   A board of directors should implement effective governance policies and procedures to fulfil its oversight and governance responsibilities effectively.

(iii)   Strong financial oversight policies and procedures should be followed to ensure wise stewardship of university resources.

(iv)   Responsible fundraising policies and procedures that solicit for funds from the public should be followed to build the university support and confidence.

It is from the above background that universities should maintain effective and efficient systems for raising and managing funds like accountability, compliance, and risk management as key components.

2.3.5.1   Comprehensive and flexible systems

According to Gayle et al (2003:63-64), universities should recognise the importance of having flexible and compliant decision making and risk management systems. These allow for changes in leadership, objectives, direction, resources and risk to be made easily. Without the in-built flexibility, there is the possibility that universities may simply fall into problems. Bartos (2003:90-100) in support of Gayle et al (2003:64-65) suggests that strong, transparent and well communicated governance mechanisms like risk and fraud plans, business or budget committees, audit committees and structured human resource mechanisms, together with an emphasis on integrity and ethics

combine to form the cement which binds together the other characteristics needed for university confidence.

For more compliance and flexible systems in 2007, universities in United Kingdom introduced a revised governance structure for equality and diversity. An equality and diversity committee of council was established. This had created responsibility for strategy and policy governance for objective implementation and compliance. This study also acknowledged the importance of gender balance to be very important.

2.3.5.2   Risk management

According to Naidoo (2002:117), risks are uncertain events which if left unchecked, could have a negative effect on the performance of an organisation or department. Risk can be explained as a measurement of uncertainty and comprises of those factors that can facilitate or prevent the achievement of organisational or departmental goals. Therefore, organisations and departments need to ensure that effective systems of risk management are established as part of the framework of control. According to Naidoo (2002:118), risk management can be viewed as a process of:

 (i)   Understanding the departmental objectives;

 (ii)   Identifying the risks associated with the achievement of the objectives;

 (iii)   Assessing the risks, including the likelihood and potential impact of specific risks; and

 (iv)   Developing, implementing procedures to address identified risks and monitoring and evaluating risks and the programmes in place to address risks.

Risk management underpins any university's approach to achieving its objectives. An important responsibility of any university body is the effective and efficient use of available resources. This aim therefore can be aided by sound risk management practices. To increase the likelihood of achieving desired outcomes, informed decisions should be made based on evaluation of associated risks.

Gayle et al (2003:21-24) argue that the application of a risk management process as part of the control system to ensure an accountable and transparent process should comprise the following:

(i)   Risk identification and assessment.

(ii)   Risk prioritisation and treatment approach.

(iii)   Implementation of risk treatment plans.

(iv)   Continuous monitoring and review.

Basing on the above background, the application of the formal risk management process as a control system is essential. Therefore, the risk has to be documented properly with due consideration to the set objectives, available information on resources, assumptions and decisions.

All universities need to establish and implement sound systems for risk oversight, management and internal control. These systems should be integrated into the business planning process (Shattock 2002:235-244).   Systems should therefore be designed to identify, assess, monitor and manage risk throughout the university. These systems also need to provide mechanisms for staff to report risks to senior management. A risk management system should be comprehensive and the record keeping procedures appropriately detailed. Shattock (2000:244) further observes that regular and concise reports on how the university is tracking key risk areas should be provided to senior executive.

Naidoo (2002:119) contends that risk management should not be an annual set and forget exercise. A well-governed university should regularly revisit its risks; measure the probability of occurrence of any events identified as contributing to risks, and have in place strategies for risk management. Naidoo (2002:202) further observes that risks and uncertain events which are left unchecked would have a negative effect on the performance of the university.

2.3.5.3 Audit committees

Audit committees are an important tool for identifying and monitoring risks to the university. Audit committees are responsible for overseeing university's risk management and internal control framework, its external accountability and other legislative compliance responsibilities (Naidoo, 2002:120). Audit committees are very important in operating a university; an audit committee plays a pivotal role in the governance framework of running both public and private universities.

According to Pott (2000:21-25) audit committees ensure adequacy, reliability and accuracy of the financial information provided to management and other information users. This accuracy leads to good accountability and openness. According to research done by Pott (2000:25) on the University of Mexico in 2005, internal audit committees were instrumental in improving the governance process. Abedian (2000:8-9) observes that audit committees are good in the following areas:

(i)   Promoting appropriate ethics and value within the university.

(ii)   Effectively communicating risk and control to appropriate areas of the university like the board, external auditors and university management.

Abedian (2000:10) further argues that good audit committees can lead to sound expenditure management systems, effective external control systems, and effective management information systems. Du Preez (2000:25); Rhodes and Pierre (2000:57-60) concur with Abedian (2000:15) that audit committees in universities can lead to systematic utilisation of resources. Woods (2000:9), Woods (2001:10) believe that audit committees can reduce corruption in universities and hence leading to effective governance.

2.3.5.4   Compliance and decision making tools

Universities can introduce a range of tools and systems to enhance their compliance and decision making processes. According to Kasozi (2003:46), these processes include written guidelines and protocols, checklists and advice from corporate areas. Several universities have developed organisational written protocols for dealing with issues such as financial procurement and programme management. The board's instructions are particularly useful tools that ensure university's financial accountability and governance arrangements are aligned to its operational and legal needs. According to Du Preez (2000:27), these instructions are from the core of university's accountability requirements.

Documentary protocols and procedures can be particularly important even when universities have long standing highly experienced staff. The knowledge can be taken for granted and as a result, knowledge transfer and recording of procedures can be rejected. Good record keeping is also essential to accountability. All significant decisions or actions need to be documented to a standard that would

withstand independent scrutiny. Proper record keeping allows others to understand the reasons why a decision was made or an action taken and can guide future decision makers. In the next section the importance of having a strategic plan in a university will be discussed.

2.3.6   Strategic planning, performance and evaluation

Building institutionalism involves having a planned vision of a set of priority activities that must be accomplished in a given period of time. Each university must formulate, organise implement and constantly evaluate strategies for their long-term development. Tromp (1999:59-69) as cited in Kasozi (2003:96) indicates that a number of studies show that low performing institutions are often pre-occupied with solving internal day-today operations, either ignoring or under estimating the strength of long term planning.

According to Kasozi (2003:97) strategic planning shows stakeholders the direction the institution intends to take in a given period. Universities to maintain effective governance should have an analysis of all factors that are likely to impact on the institution and the course of action the institution intends to steer in order to achieve its goals. Kasozi (2003:98) further indicates that an institution without strategic planning is like a building structure that has no plan.

In order for strategic plans to be effective, all stakeholders in the university including staff, student administrators and counsellors should be involved in the university planning from bottom to top not vice-versa. The success of the universities will depend on having transformational leaders with articulate plans that will have a compelling mission or vision that involves each individual to seeing where he or she can contribute to accomplishing the items in a given plan. In the next sub-sections the following will be discussed: planning and review mechanisms, strategic planning and performance, and monitoring and evaluation.

2.3.6.1 Planning and review mechanisms

According to Rahim (2002:113-115), strategic planning and performance monitoring reviews and evaluation are all essential tools for ensuring effective governance. Rahim (2002: 113-114) suggests

that regular planning helps organisations identify governance systems that are critical to meeting long term objectives and minimising potential risks. Besides, a proper planning and review mechanism ensures that organisations identify changes internal and external to them and develop coping mechanisms. For example, a university's characteristics, its budgets, staff, culture, objectives and environment may change overtime. If such changes are not identified in time and appropriate response done, such organisations may become irrelevant. Therefore the university must have systems in place which allow changing needs and circumstances to be identified quickly, current systems to be assessed against their ability to meet new needs and new approaches to be investigated and implemented as necessary.

2.3.6.2 Strategic planning

As part of normal business practice, universities should develop a plan each year (Kasozi 2003:97). Universities should have an integrated framework for planning cascades from strategic priorities to divisional priorities and activities. For effective governance, they should have goals when planning to make a strategic plan. According to Schutte (2000:78), these goals are often distilled into individual performance and development plans. This allows every employee to see exactly how their individual work affects their team goals, their division goals and their university goals. Strategic planning also shows how working towards these goals helps achieve the university's overall performance according to priorities.

2.3.6.3 Performance, monitoring and evaluation

According to Shafritz and Russel (2005:472-476) universities should have systems in place that allow ongoing monitoring of performance. These include internal audits and reviews of processes to ensure accurate information and quality assurance against performance measures. Pott (2000:20-26) suggests that performance measures should cover the effective and effective delivery of government policy and programme objectives as well as the internal management of the university. Detailed guidance can be found in the department of finance and administration. A university's monitoring and evaluation plan should be a rolling schedule which supports regular reviews of programmes and policies to inform future funding requirements.

Fourie (2006:437-438) and Pott (2000:27) stress the centrality of performance monitoring and evaluation of university programmes, procedures and policies to ensure goal congruence. These programmes should be examined for appropriateness, and the extent to which they align with university priorities. The monitoring framework should also integrate risk management, resource allocation and performance reporting. In the next section, a summary of the literature reviewed is provided highlighting the most salient views that provide an understanding of effective governance.

2.4 SUMMARY

From the above literature review, it is clear that there are different ways universities develop and sustain effective governance. The literature has looked at general structures from different universities across the world.

The study has looked at obstacles met in implementing measures of effective university governance, and the steps taken in developing and sustaining effective governance in universities. The obstacles met in implementing measures of effective governance show that authority to make decisions in several universities is difficult. There are several challenges leading to crisis of governance, and problems of participation which can increase conflicts in these universities. These challenges have led to inefficiency and ineffectiveness.

The study looked at governance structures appropriate to meeting the changing nature of university activities in order to increase efficiency and effectiveness of universities. The study also looked at steps taken in developing and sustaining effective governance. This has led to creation of strong leadership and establishment of appropriate governance committee structures. It is important to note that this literature study has created knowledge that can help some universities to manage their universities properly. This has created a strong focus on building and sustaining effective framework for university governance.

CHAPTER THREE
UNIVERSITY GOVERNANCE MODELS

3.1 INTRODUCTION

This chapter discusses several governance models used in different countries. It focuses on the general university governance models and how they influence effective governance. The following models will be discussed extensively: bureaucratic, political, collegial, corporate, and shared governance models. The researcher will draw examples from university governance models referring to different continents such as Europe, Asia, America, Australia and Africa.

Information about different university governance models will be analysed. This information will show how university authority flows and what influences decision making processes. Different factors that dictate how a university is governed or what model it adopts are reviewed. The structural configuration, the context within which each model applies, and the successes and challenges of each governance model are reviewed to ascertain gaps.

In the next section, a historical background of university governance models is reviewed to help provide an account of how different factors have influenced the nature and type of governance at universities in different continents and countries.

3.2 HISTORICAL BACKGROUND OF UNIVERSITY GOVERNANCE MODELS

Governance has long been an important issue in educational institutions from European models of first American colonial institutions to the present day colleges and universities (McCauley, 2002:1). McCauley (2002:1) observes that early institutions in the 1600s in the United States were governed by state offices (for instance, Harvard by the General Court) and by the clergy (e.g. Yale). The influence of these governing bodies on the nature of governance was profound. However, as new institutions emerged in the 1700s and 1800s, public hostility towards denominational institutions permeated governance processes (Rudolph 1990, quoted in McCauley 2002:1). From the 1800s to 1900s, preference for boards moved towards a business and professional image (McClauley, 2002:1).

Rudolph (1990) in McCauley (2002:1-2) argues that as universities progressed into the 1900s, influx of college alumni, staff and students into affairs of university operations changed the framework of university governance.

According to Ospian (2008:3), different models of university governance have evolved to address the pressing issues of particular universities or higher educational landscape of different countries. Several researchers like: Gayle, Tewarie and White (2003:56); Lapworth (2004:314); Ospian (2008:10); Trakman (2008) and others, have observed that university governance models over time have been shaped by a number of factors both endogenous and exogenous. Eckel and Kezar (2004:282); Lapworth (2004:315); Trackman (2008:64-68) and Ospian (2008:3) identified the following as key factors that have influenced the nature and type of governance models adopted by countries or universities: locus of control that is whether direct control by central government or free and independent self governance; history of either the state and or the institution; participants (stakeholders); organisational culture and structure; staff and alumni, and educational content and processes.

Ospian (2008:5) further suggests that the nature of governance models adopted by different countries or universities in the past two decades has been dictated by factors like: governance influence, size of the university, sources of funding, levels of autonomy and need to ensure efficiency and effectiveness in governing such institutions. The global university landscape is primarily organized at national and regional levels and characterised by a high degree of heterogeneity reflected in organisation, governance and operating conditions (Hinfelaar & Polzin, 2006:5-7; Polzin, 2006:5-7). Lapworth (2004:314) argues that there are around three causes of variations that one considers when analysing governance models:

(i)   Cross-national differences in models.
(ii)   Governance arrangements are in flux and change overtime.
(iii)   Governance models are in mixed forms.

Most universities across the world have relied on three types of models: bureaucratic, shared, and political (McCauley, 2002:3). This is done for some institutions to have autonomy in their overall governance, which may distinguish them and lend them their purpose to fulfil their ultimate

responsibility to the institution's survival and ongoing continuance. Today's universities see need for increased diversity on their governance boards, within the constraints of their by-laws, to allow for staff and student voices. The arguments of McCauley (2002:4) are reinforced by the observations of Kezar and Eckel (2004:282) that the flow of authority from top to bottom as exemplified in centrally controlled structures reflects how bureaucratic governance in some universities is. Several other shades of governance emerge as autonomy and central control fuse. Eckel and Kezar (2004:282-285) have classified such models as traditional models.

Among the traditional models are the bureaucratic, the collegial and the political model. Kezar and Eckel (2004:282-285) identify several forms and levels of authority and compare different models of authority distribution among various countries. Clarks (1983) cited in Asimiran (2009:16) identifies a two-dimensional governance model with two key ingredients namely, the state control and internal university governance mechanism. According to Clarks (1983) cited in Asimiran (2009:17), the two dimensions are Control of policy and Control of practice. Asimiran (2009: 17) suggests that management of university reflects elements of collegial, bureaucracy, corporation and enterprise models.

According to Baird (2007:101-220), developed countries like United States of America, Germany, Netherlands, United Kingdom, France, Italy and Switzerland have been depending on the traditional models. These advanced countries added new features that related to the present situation. Baird (2007:222) further argues that from these various models, there is no one best model. Countries and universities adopted models that captured distinctive perspectives or viewpoints that suited their particular and peculiar situations.

Some countries have been copying from others to maintain their university governance. For example, Altibach (2001:15-30) after studying the pattern of governance in Asia, comments that because of colonialism, Asia has tried to follow the Western model of university governance and the same was said of Africa. Therefore, the empirical evidence explaining how governance models work in the university needs further exploration, explanation through research and new insights. The next section explores relevant theoretical issues that underpin university governance. Some of the key theories include structural, political and open system theory.

3.3 THEORETICAL UNDERPINNING OF UNIVERSITY GOVERNANCE MODELS

Universities being organisations, the study of their governance looks at different theories of organisation that provide a theoretical explanation of their structure. Therefore, three relevant theories are explored to guide this study: the structural theory, the political theory and the open systems theory.

According to Gayle et al, (2003:84) structural theory argues that goals and policies are set at the top level and organisational functioning is guided by these goals and policies. Gayle et al (2003:86) adds that the focus is on core processes, strategic planning and organisational rationality. From the above, the use of top bottom planning with a clearly defined chain of command creates a bureaucratic structure. Gayle et al (2003:86) as supported by Kezar and Eckel (2004:375-380) argue that bureaucracy defines organisational structures such as lines of authority, roles, procedures and bodies responsible for decision making although it is also argued that structures should be defined in amore broad sense and not limited to bureaucracy.

Gayle et al (2003:89) cites Birnbaum (1989) categorises the structure of academic organisations into five systems: tightly and loosely coupled collegial, bureaucratic, political, anarchical and cybernetic system. In the collegial, systems, organisational functioning and decision making approaches are achieved through consensus. Compartmentalisation and highly structured decision making arguments are visible in the bureaucratic systems, while in the political systems participation calls for groups, representation in the governance process. The anarchical systems rest on the assumption that academic organisations have vague goals and therefore the processes are obscure. The cybernetic systems call for self- correcting mechanisms that can monitor organisational functions and give warnings when things are not going well.

Proponents of structural theories like Birnbaum (1989), Gayle et al (2003:85), Kezar and Eckel (2004:378), suggest that in order to understand governance model, it is important to examine the organisational structures such as the lines of authority, roles, procedures and the decision making bodies. Kezar and Eckel (2004:387) add that various themes could be explored including centralisation versus decentralisation, authority, hierarchy, bureaucracy, size, efficiency and rewards.

From the above observation, it is assumed that a structural form can be designed and implemented to improve effectiveness and achieve ideal functioning.

Kezar and Eckel (2004:386) further argued that the structure can be managed or changed more directly and this influences social intervention and interaction. However, along the process of governing especially in decision making, conflict and social acts are regarded as politically motivated due to the existence of diverse groups. This observation therefore draws political perspectives to organisational functioning into the bureaucratic structuring (Lapworth (2004:314).

Kezar and Eckel (2004:286); Lapworth (2004:316) and Trackman (2008:68), argue that political theories are built on three theoretical sources namely: conflict theory, community power theory and interest group theory. Kezar and Eckel (2004:384) argued that for any governance process, a structure should be designed and implemented to improve effectiveness and achieve ideal functioning. It may be observed at this point that universities like any other organisation have a bureaucratic system in place providing rules and regulations according to which different parts of the university are arranged and interact.

Kezar and Eckel (2004:387) focused on the human side and people are central under the political framework. People are the key variables because they influence informal processes and play a critical role in any policy formulation cycles. A university involving interaction of individuals at both personal and group level creates political forces. These political forces determine how the university is governed (Trackman 2008:69).

Kezar and Eckel (2004:389) point out that over the last forty years many governance studies adopted structural theories arguing that structure dominates organisations. Kezar and Eckel (2004:389) reviewed the theoretical perspectives that have been applied to the study of governance with three objectives in mind: to identify the conceptual gaps in the study of governance, synthesise the current knowledge about governance and to understand the new directions, and to identify and suggest new questions for further study. Kezar and Eckel (2004:389) concluded that there has been an over emphasis on the structure in the study of governance. Kezar and Eckel (2004:394) recognised the

importance of structure in governance but other questions need also to be pursued using several approaches or theoretical foundations simultaneously.

In addition, Kezar and Eckel (2004:394) tried to understand how universities could organise decision making and determine whose voice should have authority. The study on the organisation of academic work by Gayle et al (2003:89) focuses on structure, which refers to the bureaucratic characteristics. Gayle et al (2003:90) attempted to answer the question of whether universities are bureaucratic. However, Gayle et al (2003:94) questioned whether it was right to label universities as bureaucratic. Never the less one of the conclusions derived from Gayle et al (2003:96) is that as universities become larger and their administrative structure become more complex resembling the characteristics of other bureaucratic organisations.

An important observation from the above studies is that a number of bureaucratic characteristics of universities and their relevant features such as chain of command, organisational chart, role differentiation, issuance of policies, and systematising of processes could be identified (Kezar and Eckel, 2004:398). In addition, the structural approach also highlights the legal environment of governance arrangement by reference to charters of establishment of universities.

Another study by Gayle et al (2003:91) sought to examine how structural and cultural elements of universities influence university governance in the twenty-first century. Gayle et al (2003:92) assert that the nature of governance has significant impact on teaching, and learning and due to the fact that there is a significant controversy in the distribution of authority among various groups in universities.

It is important for universities to restructure their governance structures to ensure that the structures will not hinder the achievement of the organisational mission. Gayle et al (2003:92) emphasised on shared governance and argue that there is a healthy mutual respect between the various groups. However, Gayle et al findings also show that structure only does not necessarily work and this calls for another theory.

The underlying theories for the political models are conflict theory, community power theory, interest group theory Baldridge (1971) as cited in Gayle (2003:16). The university with its pluralistic

characteristic is seen as a complex organisation, fractured into interest groups or power blocs Angiello (1997) as cited in Asmiran (2009:90). Politically, many policy interests occur within universities such as policies concerning affirmative action, student codes of conduct, academic freedom, staff appointment and promotion and resource allocation (Asmiran, 2009:95). Therefore, universities can be seen as political entities and it is assumed that universities as academic institutions are in continuous conflicts because individuals and groups mobilise and articulate their interest to their advantage to seek some power. Power is derived not only from legitimate authority but also from influence and at times, the strength of influence may exceed authority.

As observed by Gayle, et al (2003) and Asmiran (2009), the political theory underpins the influence of conflicting parties in the university as an organisation. It explains why university governance has to deal with different interest groups in the structure and balance political interests. University structures provide a platform for competing political interests that influence policy and decision making processes in order to achieve their goals. These interests ultimately affect how decisions are made, resources allocated and the university delivers its services. Understanding constituencies of the university enables differing needs to be harmonised when designing or redesigning university governance structures for effective service delivery.

Open systems theory takes the view that organisations are responsive to their environment (Kezar & Eckel, 2004:375-380). According to open systems theory, all systems except the smallest have sub-systems and all systems except the environment, have Supra-systems (Kezar 2004:380). Kezar (2004:385) contends that open system is related and makes exchanges with its environment. According to Birnbaum (1989) as cited in Gayle et al (2003:97), open theory system is a coalition of shifting interest groups that develop goals by negotiation, the structure of the coalition, its activities and outcomes are strongly influenced by environmental factors. In this system, the boundaries are relatively permeable and this permits interactions to occur between the environment and the elements that make up the system. According to Birnbaum (1989) as cited in Gayle et al (2003:97), the university can be thought of as having many sub systems, and these subsystems are related to each other by sharing organisational elements.

Similar to Birnbaum's view, Griffith (1973) as cited in Asmiran (2009:95) describes that any open system has supra systems. In this line with the structural-functionalist perspective, the university is regarded as an open system, consists of human interactions and maintains definite boundaries. Universities are situated in a larger environment. It can affect or be affected by the environment. Hence, the university can be implied as a sub-system within the supra system. Upon this background, a university is regarded as an open system and although it maintains a defined boundary, it is related to a larger environment and it makes exchange with the environment.

The above theories are derived from scholars like Frederick W. Taylor (scientific management), Henri Fayol (ideal organisation) and Max Weber (ideal bureaucracy) who recognised creation of structures and departments to ensure proper functioning of organisations like universities among others (Chandan, 2005:34). Taylor, Fayol and Weber (1952) according to Chandan (2003:36) emphasise existence of rules and regulations to facilitate the conduct and relationships among these structures in order to accomplish certain ends.

Chandan (2005:34) cited in Weber (1952) looks at bureaucratic management as a management approach, which is based on rigid formal organisational structure with set rules and regulations. Weber (1952) looked for rules to eliminate managerial inconsistencies that contribute to poor performance. He believed that every deviation from the formal structure interferes with efficient management. Chandan (2005:35), as cited in (Weber 1952) believed in strict adherence to rules, which would make bureaucracy a very efficient form of organisation, founded on principles of, logic, order and legitimate authority and which is the purely technical point of view and capable of attaining the highest degree of efficiency.

The various requirements for an effective and efficient bureaucracy, according to Weber (1952) as cited in Chandan (2005:36) include division of labour by functional specialisation; a well-defined hierarchy of authority; a system of rules conveying the duties and rights of employees; certain obedience to a superior's command; appointments and promotions purely on the basis of merit; separation of personal lines; establishing organisational positions; a system of procedures dealing with work situations; and implementation of an adequate system.

However, Chandan (2005:35-36) cited in Weber (1952) argues that bureaucracy has come to be associated with red tape and excessive rules and regulations and hence delay on getting changes done or proposals approved. It is argued that in competitive global market, organisations are moving towards participative management, teamwork, employee innovative, and creativity. Gayle et al (2003:91) echoing the findings of Kezar (2004:371) and Chandan (2005:37) observe that with increased state intervention in university affairs, it makes sense to examine universities as part of the state system. Besides, universities obtain their inputs from the environment and export their outputs to the environment.

From the foregoing, governance models have evolved or been developed following different theories of management, which have influenced how these models work. Theoretical orientations have given more weight to some components in structural configuration in university governance than others. For instance, bureaucratic theory emphasises the administrative staff; political, the competing interest groups and open systems the relationship between internal and external components. It is without doubt that the executive and legislative functions of the organs reflect the emphasis of the theoretical orientation against which the governance model was built. These theoretical reflections provided insight into understanding and explaining different governance models. The researcher was able to use these theories to identify, and clarify the governance models, the study variables and to provide the theoretical orientation to the study.

To this extent therefore, as university governance is being examined, it is pertinent that the theoretical underpinning be understood. After analysing the theories guiding the study, it is necessary to discuss the different university governance models in the next section.

3.4 UNIVERSITY GOVERNANCE MODELS

Kogan (2000:40-47); Manton (2000:56-59) and Lapsworth (2004:312-314) viewed universities as having dual structures, described universities as ascribing to bureaucratic model, and provided an alternative model through the collegial framework. Clark 1983 cited in Asimiran (2009:16) supported this paradigm and from the organisational perspective, he elaborated governance through his description on the triangle of coordination and control on universities. These models are

discussed in the following sub-sections and include the following: bureaucratic viewed in 3.4.1, corporate 3.4.2, collegial, 3.4.3 political, 3.4.4 and shared 3.4.5.

3.4.1 Bureaucratic model of university governance

Trackman (2008:670) citing Lambardi Craig and Gaten (2002), argues that one of the traditional model describing university governance is the bureaucratic model. The bureaucratic theory of Max Weber (1952) dominates the bureaucratic model (Hall and Symes, 2009:212). It focuses on hierarchy, tied together by formal chains of commands, and communication, organisational goals, or predetermined rules and regulations, and on maximising efficiency. Hall and Symes (2005:214) suggest that bureaucracy focuses on such tenure system, method of appointment, salary as rational form of payment, career exclusiveness, life style centred in the organisational culture, acceptance of rank and file, and competency as the basis for promotion.

In this sense, authority is legitimised by enacted rules. Those elevated to authority by rules issue commands, which have to be obeyed by those on the receiving sides (Trackman, 2009:67-70; Hall & Symes, 2005:199-212). Chandan (2005:35) citing Weber (1952) adds that from a purely technical point of view, a bureaucracy is capable of attaining the highest degree of efficiency and is in this sense formally the most rational known means of exercising authority over human being.

McCauley (2002:3-4) suggests that the bureaucratic model is a formal structure having defined patterns of activity related to the functions spelled out in law and in policy decisions. Everything is delegated downwards through the institution and each level controls the actions of lower level. Osipian (2008:28-32) suggests that in a bureaucratic model of university governance, deans, registrars, and financial officers fill specific roles, but the role and the person are not identical. This suggests that people in a bureaucracy can be replaced as long as those replacing them are technically competent without hampering the work of the university. This explains why officers at most universities are hired for specified term limits. Osipian (2008:29) notes that efficient and effective functioning of the university depends on compliance with rules and regulations within the administrative hierarchy. Rules and regulations are created to deal with standard situations that occur on regular basis. Osipian (2008:28) citing Perrow (1979) argues that rules do the following:

(i) They protect as well as restrict.

(ii) They coordinate as well as block.

(iii) They channel effort as well as limit it.

(iv) They permit universalism as well as provide sanctuary for the inept.

(v) They maintain stability as well retard change.

(vi) They permit diversity as well restrict it.

Osipian (2008:27) contends that rules constitute the organisational memory and the means for change. Rules result into cores that determine relations within the institution and present clear goals and tasks for the different academic and administrative units. McCauley (2002:3-4) and Osipian (2008:29) pointed out that bureaucratic model encourages rationality that is the administration works on matching resources with objectives and intentions with planned activities. Universities that are rational organisations presume that the process of determining goals and deciding on how to achieve them occurs in senior levels of administration like at the university chancellor's level.

Clark (1977) cited in Asimiran (2009:89) observed that modern campus information is communicated through formal channels, responsibility is fixed in formally designated positions, interaction is arranged in relation to supervisors and subordinates, and decisions are based on written rules. Thus, there is reason to characterise the campus as a bureaucracy. Clark's observation shows that elements of bureaucracy are strong in the university although it can be argued that other emphasis on bureaucratic characteristics may over look other forms of university's features.

It is worth noting that the bureaucratic model is not without challenges. Osipian (2008:30) notes that Weber (1952) the architect of bureaucracy did not address the issues of external environment, power and politics. These are major causes of disequilibrium in many university establishments globally today. Gayle et al (2003:85) observed that information is communicated through normal channels, responsibility is fixed in formally designated positions, interaction is arranged in relations between superiors and subordinates and decisions are based on written rules. Thus, there is a reason to diagnose the university as a bureaucracy. The bureaucratic model, however, suffers the following shortcomings:

(i)   It ties bureaucracy to power in decision making processes in university governance.

(ii)   The power is formally and legitimately vested through formal structures of the organisation, but other types of power based on non-legitimate structures and force of mass movements are not clearly defined in the model.

(iii)   This model still does not address human needs like social, psychological and self-actualisation needs.

(iv)   The model still ignored struggle for power between various interested groups in the university.

(v)   Types of power based on non-legitimate structure, and elements of emotion, sentiment and force of mass movement are not clearly defined in the model.

Although there was explanation about formal structure, description about critical processes that gave dynamism to the structure was inadequately explained. Bureaucratic model also ignored political issues such as the struggle for power between various interest groups in the university. Proponents of the bureaucratic model do not provide a mechanism through which social interactions outside formal rules can be realised. Universities need to be flexible and innovative to thrive in the globalised educational arena. It is imperative therefore to examine other models and ascertain the extent to which they address the governance question in modern universities. In the next section, the political model of university governance is examined.

3.4.2 Political model of university governance

The political model was developed based on empirical structures of decision making at New York University in late sixties, during periods of university crisis (Lapworth, 2004:314). This political model helps to explain how decisions are made in universities. The political model assumes that conflict is a normal process in any organisational development and happens due to the existence of specialised groups with diverse interests and preferences (Osipian, 2008:38). On power aspect of the model, it was found that under such crisis, formal authority could be limited by the political pressure and bargaining, and power becomes an important factor to determine the more influential groups in university governance especially when it is related to the allocation of scarce resources and the determination of university's priorities. The political model is arranged in stages. The stages in the political model of university governance are illustrated in Figure 3.1 below.
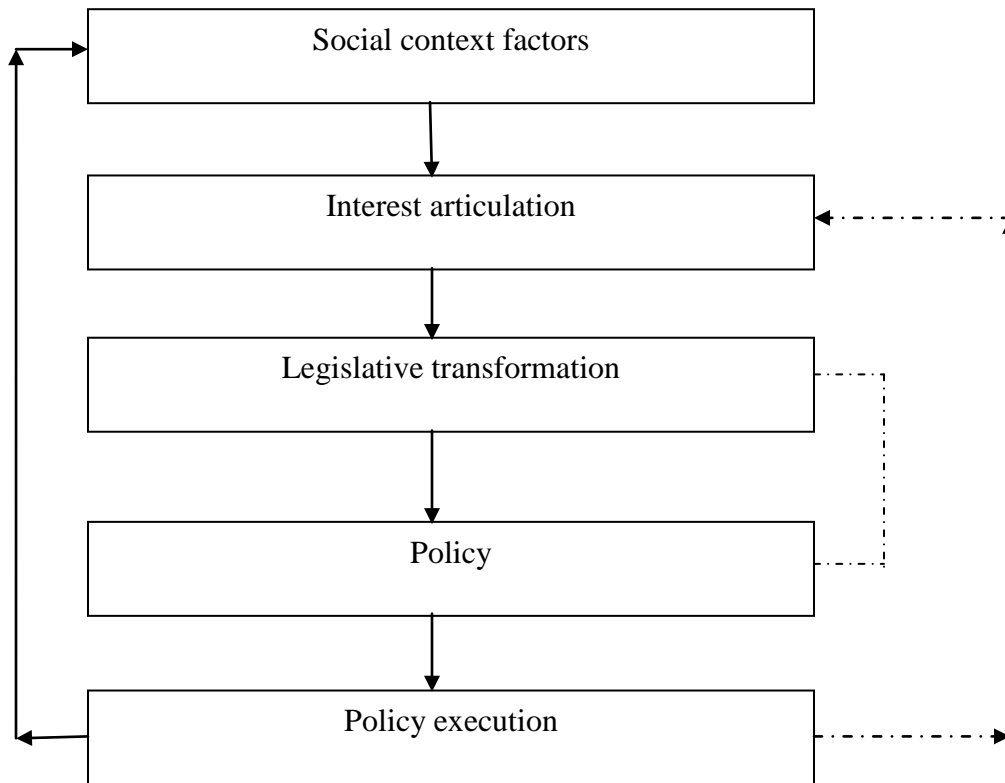
Figure 3.1 the stages of political model of university governance

Adopted from King and Dietrich (1980) as cited in Asimiran (2009: 85)

The above diagram shows that the process in the university governance is a cyclical process and policy execution does not permanently resolve organisational conflict. It can be observed as illustrated in figure 1.1 above that formal authority in the hierarchical university structure is influenced by the existence of social context factors and followed by the formation of different groups putting the pressure on decision making bodies. In return, the pressure leads to the transformation of pressure into policy and followed by legalisation of policy through policy formulation. Policy execution serves as the solution at this round, but this is not the end of the process because other sources of conflicts may call for further tuning of the present policy.

Kezar and Eckel (2004:385) take note of another important work by Birnbaum (1991), which also focuses on the political aspects of governance. Birnbaum (1991) argues that the existence of subunits in universities emphasises the political nature of universities because subunits are political and they can affect the effectiveness of governance. In his argument, Birnbaum (1991) also recognises the importance of collegiums in the process of decision making. However, Kezar and Eckel (2004:386)

argue that although a political model works successfully in one setting, it does not mean that the model will work as expected in another setting. This study will incorporate an investigation on the impact of organisational structure on political process.

Cyert and March (1963) cited in Osipian (2008:34-35) suggest that a college as a political system should be considered as a super coalition of sub-coalitions with diverse interests, preferences and goals. Osipian (2008:26) citing Bacharach and Lawler (1980), indicates that each of the sub-coalitions is composed of interest groups that see some commonality in their goals and work together to achieve them.

Birnbaum (1988) cited in Osipian (2008:26) provides an interesting prescription of the models in relation to each other. Birnbaum (1988) points to the difference between collegiums, bureaucracies and political systems, arguing that if the collegiums can be "metaphorically described as a family and the bureaucracy as a machine which simplifies work, then the political college or university can be seen as a shifting of kaleidoscope of interest groups and coalitions." Therefore, the university governance outfit has a challenge of ensuring that different interests are balanced or seem to be in decision making.

From the above observations, it can be pointed out that the political model reflects the dynamics caused by different groups and interests struggling for resources, recognition and influence within the college or university set up. Baldridge (1977:14) as cited in Asimiran (2009:16) constructed his political model basing on three theoretical sources namely: conflict theory, community power theory, and interest groups theory. He said that the political model grapples with the power plays, conflicts, rough, and tumble politics found in many academic institutions. Baldridge (1977) as cited in Asimiran (2009:17) suggests that in analysing governance, the focus should be on organisation's social structure, on interest articulation dynamics, on the legislative process and on the execution of policy. According to Gayle et al (2003:84-86), there are political activities operating especially in the policy making processes, within the university structure due to the fact that there are competing interests and competing points of view. The university's social structure is also pluralistic in its nature, fractured into lines of discipline and subgroups.

Gayle et al (2003:85-86) and Asimiran (2009:16-17) contend that political model of university governance is fragmented into many power blocs and interested groups, and it is natural that they try to influence policy so that their values and goals are given primary consideration. Osipian (2008:34) citing Birnbaum (1988) notes that individuals belong to more than one group, and they participate in any political processes each of which involves people.

Osipian (2008:34) points out that in a political model, political games are played around the resources. Osipian (2008:36) observes that issues like budget redistribution and revenue regulations are addressed not only by central government in state and state supported universities but by the different groups and coalitions. The essence of coalitions is to achieve a level of power and influence that cannot be achieved by acting alone. However, existence of coalitions and socio-political dynamism usually creates conflict (Asimiran, 2009:16).

Conflict is normal and expected in a dynamic organisation. Baldridge (1977) cited in Asimiran (2009:16) contends that conflict is not abnormal, nor is it necessarily a symptom of breakdown in the university community. Baldridge (1977) and Osipian (2008:35) suggest that these differences come into a point of agreement through bargaining.

Gayle et al (2003:87)) argue that groups will search for power because the group that possesses such power is assumed to have the ability to control important activities especially the policy-making processes in the university. From this perspective, it may be argued that authority is an important factor that works in political model, which refers to the legal authority to make decisions that are binding on others.

Normally, authority comes with power vested through position in an organisational structure. However, it is also argued that one can have authority without power because in a university, authority as in one's field of specialisation that is expert authority has no reward power (Chandan, 2003:25-30). Therefore, influence is a different manifestation of power because influence is not formally recognised in organisational structure and its power is not confined to a formal position. However, political influence is important because it gives the subordinates the capacity to manipulate supervisors over certain issues.

Kogan (2002:40), Gayle et al (2003:89), and Osipian (2008:35) suggest that the political model has the following benefits:

(i) Political process in budget formulation simplifies calculations and usually leads to outcomes acceptable to majority of stakeholders.

(ii) Political systems are more vital, flexible and acceptable to changes in comparison with collegiums and bureaucratic systems.

(iii) Distribution of power among an array of important groups like students, lecturers, boards, administrators, deans and alumni.

On the other hand, however, Osipian (2008:36-38) suggests that the political model suffers the following shortcomings:

(i) Conflicting wishes of university administration, staff, parents, students, donors, alumni, legislators and local communities make it difficult to set, pursue, and achieve goals.

(ii) It is often difficult to predict political outcomes for all the parties participating in the decision making including internal and external.

Lapworth (2004:312) suggests that basing on the conflicts that can result into disagreement between the different groups, it is important to include in elements to the political model that try to mitigate the problems identified. For example, drawing from the United Kingdom universities, Lapworth (2004:312) takes note that various reports have called for collegial and corporate models of governance in universities assuming that the top down approach is more appropriate and fits modern times.

Arising from the above literature, the researcher still questions the efficiency of political model in as far as applying it in both public and private university governance context. It appears dominancy of one sub political group can subvert achievement of ultimate university goals. It is still therefore a concern of the researcher to ascertain through reviewing other models whether a genuine balance between rivalling political groups can be obtained and maintained. In the next section, a review of the collegial model is done to establish its contribution towards effective university governance.

3.4.3 Collegial model of university governance

The terms collegiums and collegiality are often used in higher education Osipian (2008:24). Collegial is when the staff are equipped to understand the academic goals and aspirations of a university and how to achieve these goals. Bowen and Schuster (1986) cited in Osipian (2008:24) suggest that collegiality has three major components:

(i) The right to participate in institutional affairs.

(ii) Membership in a congenial and sympathetic company of scholars in which friendship, conversation and mutual aid can flourish.

(iii) The equal worth of knowledge in various fields that precludes preferential treatment of faculty in different disciplines.

Kezar and Eckel (2004:381) echo similar thoughts about the collegiality model. Kezar and Eckel (2004:381-384) suggest that the collegial model of university governance looks at the following important theories: consensus decision making, professional authority of academics and education. Sanders (1990) cited in Osipian (2008:24) identifies collegiality as marked by a sense of mutual respect for the opinions of others, by agreement about canons of good scholarship, and by a willingness to be judged by one's peers. Osipian (2008:24) suggests that organisational symbols, rituals, traditions and spirit of academic fellowship play a special role in collegial institutions. Further to the suggestions of Sanders, Birnbaum (1988) cited in Osipian (2008:26) suggests that sustaining a sense of community that permits collegial organisation requires the following:

(i) Shared sentiments and values on such matters as the general purposes of the organisation.

(ii) Loyalty to the collectively.

(iii) Agreement about institutional character as reflected in the shared understanding of members, rather than necessarily by a written document.

Osipian (2008:26) suggests that there are some assumptions built into collegiate. For the Collegial model to work effectively, Osipian (2008:28) strongly believes that the following should be in place:

(i) Senior academic staff should be interested in participation in the university, college affairs and decision making.

(ii) Scholars should hold office responsibilities and call in technical experts where necessary.

The Collegial model, unlike the bureaucratic model, was regarded as more appropriate for universities (Kezar and Eckel, 2004:385). Gayle et al (2003:78); Kezar and Eckel (2004:387) considered collegium as the most reasonable instrument for universities. The faith of Gayle et al (2003:86); Kezar and Eckel (2004:390) seems to hinge on the fact that involving scholars in academic institution's management elicits highest contribution by the scholars towards successful decision making and university performance.

Gayle et al (2003:87) indicate that the model rests on the assumption that the university is a collegium or community of scholars and is to be governed according to the collegiality principles and is given to university staff members. According to Gayle et al (2003:87-90) collegial model is represented by universities with different level of autonomy but where internal decisions are mainly taken by academics.

According to Kezar and Eckel (2004:390), collegial model favours full participation of the academic community in decision making process and the community of scholars, administrators and their own affairs while the bureaucratic have little influence. The academic members of staff are ordinarily best equipped to understand the academic goals and aspirations of a university and can achieve them. In collegial model, academicians are seen as the most influential group and authority resides in the knowledge processes rather than on the structural position in the formal organisational chart. Rinne and Koivala (2005:91-123), are of the opinion that collegiality is regarded positively by those who believe that leadership and management must be balanced with academics in order to encourage innovation and motivation.

However, Osipian (2008:26-30) suggests that collegiality suffers the following shortcomings:
   (i)   Collegial governance seeks consensus through committees thereby leading to time consuming consultations and hence sluggish decision making.
   (ii)   Management is conservative and biased in favour of the status quo and in ward looking at the same time.

(iii) It is indifferent to institution-wide concerns, degenerating into the selfish pursuit of narrow departmental advantage.

(iv) It is subversive of institutional leadership and resentful of both lay and administrator involvement in the running of what is seen as their universities.

(v) In countries like Spain, collegiality is considered an inhibitor to innovation and there are external bodies within the governing structure of the institution but with no real power (Shattock, 2005: 13-25).

(vi) The university as a self-governing institution is not hierarchical and organisation should be governed differently from the bureaucratic organisation.

(vii) The model is conceived as auto prescription of university governance. The academic members of staff are lacking governance skill or interest in determining governance policy and in relating to stakeholders who are not directly involved in teaching.

Further to the findings of Ansari (2004:9); Shattock (2005:26); Osipian (2008:32) and Trakman (2008:60-70) suggest that collegial model also has the following disadvantages:

(i) It is very difficult to avoid organisational conflicts, especially in the university environment with the existence of diverse and competing groups.

(ii) It becomes difficult for universities in Africa to adopt collegial model of university governance.

(iii) The structures of decision making under the collegial model appears to be cumbersome, redundant, and inefficient, as participation tends to be permissive rather than constrained by organisational needs.

(iv) Decision making processes in collegial organisations also tend to be more discursive, rather than parsimonious, as all interested parties must be given opportunities to have their say, both formally and informally.

(v) The state of university appearing cumbersome, redundant and inefficient constrained the collegiality of the institutions management and pertains to the academic staff lacking governance skills or interest.

Although collegial model allows participation of members in taking responsibilities, and decision making, it is conservative and biased. Besides, it encourages organisational conflicts, which can lead

to problems in a university. Arising from the literature reviewed the collegial model seems not capable of standing on its own as an alternative to university governance. Further, it does not seem to elicit the internal environment that can mirror requirements of global competition. The proponents of this model do not demonstrate key governance issues like stakeholder management, accountability flexibility and innovativeness. An alternative of another governance model is inevitable and in the next sub- section, corporate governance model is examined.

3.4.3   Corporate model of university governance

According to Lapworth (2004:312) corporate governance is the set of processes, customs, policies and institutions affecting the way a corporation is directed, administered or controlled. Corporation also includes the relationships among the many stakeholders involved and the goals for which the corporation is governed. It is commonly used in United States universities like Chicago School of Economics, Harvard Business School of Management (Lapworth2004:312).

According to Trakman (2008:68-69), the corporate governance model concentrates on the fiscal and managerial responsibility of those charged with governance of the university. A corporate governance model is based on a business-case model for universities. Duryea and Williams (2000) Mingle (2000) cited in Trakman (2008:69) argue that the corporate governance model is grounded in the captivating rationale of corporate efficiency, in reaction to the criticisms that public universities are poorly managed or fiscally inefficient and on assumption that modelling on corporate governance could address such deficiencies. It is can be argued therefore that corporate model is about running a university as a business unit where decisions are justified by financial gains derived there from.

According to Lapworth (2004:313), corporate governance has several principles put forward to explain how organisations are managed. These principles include the following:
  (i)   Rights and equitable treatment of stakeholders.
  (ii) Interests of other stakeholders.
  (iii) Integrity and ethical behaviour.
  (iv) Role and responsibility of the board.
  (v) Disclosure and transparency.

Trackman (2008:69) indentifies the following as some of the aspects of the corporate governance model implemented by universities outside the United States:

    (i) Chair and small board of governors or trustees directing the governance of the university.

    (ii) Chief Executive Officer.

    (iii) Chief Operating Officer, and

    (iv) Chief Financial Officer serving the board as the senior management team.

McMaster University (2006) at www.mcmaster.ca/bms identifies the following as ideal times of implementing the corporate governance model:

    (i) Times of severe economic difficulties such as what occurred in Ontario Canada in response to reduced government funding.

    (ii) The abolition of mandatory retirement.

    (iii) The decline in full fee paying international students.

Australian Vice Chancellors' Committee (2003) and Nelson (2003) cited in Trakman (2008:69) supplement the findings of McMaster University's arguments with a suggestion that the corporate governance model is seen as a cost reducing university management approach.

Zemsky, Wagner and Massy (2005:B6-B7) suggest that under the corporate governance model, universities should be governed by professionals who are trained and experienced in corporate policy and planning, and able to direct management efficiently. In contrast, some universities dispute any resort to corporate model of governance. These dissenting universities like Oxford University argue that managerial governance produces business oriented managerial approaches. These emphasise cost benefit decision making that is considered not suitable for public goods like basic research among others (Trakman, 2008:69).

Lapworth (2004:303) argues that if corporate governance structures are not guaranteed to deliver success in business, we should be sceptical of their ability to do so in academia. The corporate governance according to Lapworth (2004:305) seems to ignore the need to examine and to understand the nature of academic work, there is a lot of demand for information, monitoring is costly and supply of accountability information is hard.

The emphasis of the proponent of corporate model seems to be on cost efficiency and financial returns other than the cardinal deliverances of a university. This makes the model less relevant to most universities. Even if this model looks at the rights and equal treatment and transparency of stakeholders, it is business oriented and does not look at the importance of structures in a university.

This corporate model can do well in developed countries and not suitable for developing countries. Corporate governance model does not address the importance of academic and yet academic is the heart of the university. Lapworth (2004:309) in contrast suggested a shared governance model to arrest a further decline of academic participation in governance. Shared governance model calls for shared responsibilities since the main aims of a university are research teaching and examination, it is important to have a model that addresses the aim of a university. Therefore, in the next sub- section, shared governance is examined.

3.4.4   Shared model of university governance

Shared governance is identified as the joint efforts in the internal operations of institutions but also characterised certain decisions as falling into the realm of different groups (Trackman, 2008:67). It is the process for distributing authority, power, and influence for the academic, decisions among campuses and constituencies. These constituencies include; the board of trustees, staff, students, administrators, the academic or education council, senate and various unions (Kezar and Eckel, 2004:371). Shared governance has been in existence for many years. Following the British model, the university has a council and a senate and relevant power is divided between the two. The initial membership of the council is made in such arrangement that it would be as representative as possible, considering the interests of many groups (Gayle et al, 2003:36).

According to Kezar and Eckel (2004:371-378), the Senate is responsible for control and direction of teaching, research and examination as well as on the award of degrees, diplomas and certificates. However, the university council has the power to decide on matters that concern academic, the senate has the duty to inform the council and has the right to give its opinion or to make recommendations to the council. Kezar and Eckel (2004:378) say that the council also has the right and powers to appoint the Vice-Chancellor after consultation with the senate.

Baird (2007:115-120) contends that governance calls for shared responsibility and mutual understanding among the various groups. The university board of directors, the senate and the staff should note that in some areas they might share decision making, while in other areas there should be respectful degree of authority and power of everybody. Shared governance allows joint effort, which can be achieved through collaboration with the groups and the representations that are determined by the university constitution.

According to Trakman (2008:68), in shared governance the board has a considerable influence and power in the university's overall policy making, but in the academic matters, the power of the senate is more prevalent. At the same time, the general outline of the university's purpose and objectives is always determined by the consultation whereby the board's authority is always recognised as stated in the consultation in which the board has the executive power over university's overall affairs.

The senate's power, on the other hand, is respected in areas involving instruction, research and examination, award of degrees, diplomas, certificates and other academic areas. According to Gayle et al (2003: 32) the inclusion and shared participation of members of each body within the discussions of the others is intended to foster this respectful environment, as well as to expand the expertise and awareness of any one group. Gayle et al (2003: 35) are of the view that shared governance is at the heart of any great university in that it reflects a general commitment on the part of staff, students and administration to work together to strengthen and enhance the university. Shared governance also reflects and enhances mutual respect and trust in the university community for the contribution that all of its members bring to the educational enterprise.

Shared governance model seeks to strike a balance between corporation and collegiality where by five important groups in the university; the strengthened steering core, the council, the senate, the academic departments and the executives are linked together in a square based pyramid working together to govern the university.

Figure 3.2 describes Lapworth's model of shared governance. Lapworth (2004:11) argues that strengthened steering core embraces central managerial groups, academic department sits at the apex

of the pyramid, and together with other four groups, it draws on the strength of each group to drive the university, delivering a balanced approach to governance.
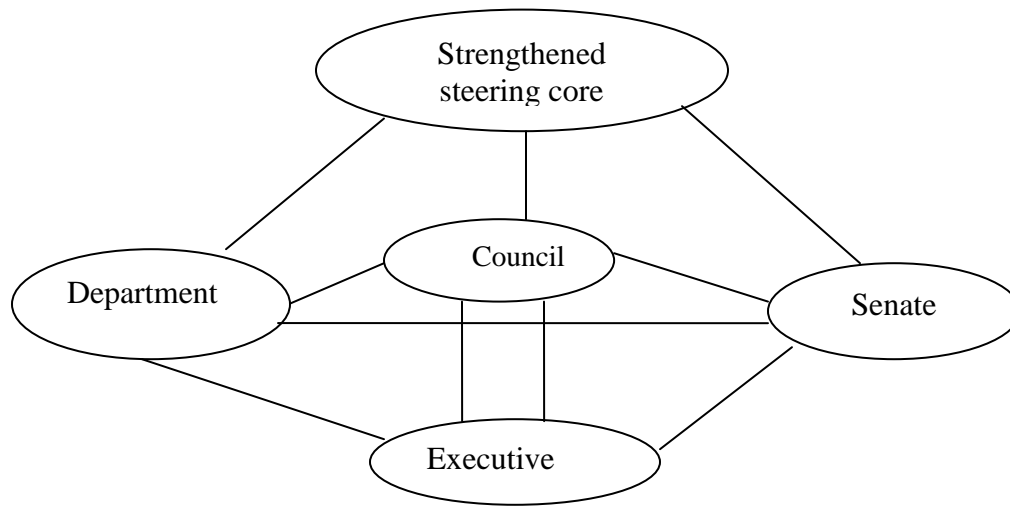
Figure 3.2. Lapworth's model of shared governance. Adopted from Lapworth (2004: 311).

However, in shared governance, many groups contest the process of determining the university's most important program and this can lead to many conflicts. At the same time, different staff members may have different ideas, perceptions and interpretations and this can slow the arrangements of the programmes.

According to Gayle et al (2003:30-36), shared university governance remains under attack, and it is often blamed for the academic slow response to change and it has become more difficult for many universities to adjust. According to Kavanagh (2000) as cited in Gayle et al (2003:38), shared governance does not acknowledge the contribution of other stakeholders like community and yet the community contributes a lot to the growth of the university.

Gayle et al (2003:38) add that the attributes of the Chancellor and other top administrators are critical. Gayle et al (2003:34-39) suggest that other members of the university believe that shared governance is inefficient and a barrier to important decisions. The top management should create and convey a strong sense of shared purpose. Gayle et al (2003:39) suggest that although shared governance has

been the norm for the last century, several commentators have noted that there are problems with shared governance that can no longer be ignored including the following:

(i) Shared governance does not actually represent or describe governance patterns in the majority of institutions.

(ii) Shared governance ignores the conflict of interest and adversarial decision making practices.

(iii) Shared governance takes in little account of the external forces. It is therefore noted that shared autonomy only exists at a few elite institutions with powerful staff and that administrative autonomy is fore most institutions.

It is also noted that there are few shared goals at most institutions, the principle that shared governance is built upon staff and students are divided into different interest groups with minimal consensus on issues. To be successful, shared governance requires commitment, time and focuses effort from all participants including board of trustees, administrators, staff and students. Thus in practice, shared governance is usually not possible. Basing on the above background, shared governance is difficult more especially to private universities.

Thus, in practice, shared governance is usually impossible. From these various models, it is evident that there is no one single model that has all the elements to meet governance challenges that universities face. Each model captures distinctive perception or viewpoint of the researcher's relative to location or environmental changes (Gayle et al, 2003:39). A new model for governance will be proposed in chapters five and six. In the next section, the summary is examined.

3.5 SUMMARY

This chapter described governance models and highlighted the gap that needed to be discussed on governance models. The following models were analysed; bureaucratic model, political model, corporate model, collegial model and shared governance model.

From the literature reviewed, it is evident that, none of these models is mutually exclusive. At any one moment in a university as an organisation, the following features will be observed:

(i) A hierarchical structure with rules procedures and systems.

(ii) As a social organisation interaction of people, struggle for power and resources, formation of groups and subgroups is inevitable. The political dynamic will be part of the social existence in the university.

(iii) Universities by nature deliver their right of existence by creating and transmitting knowledge and the academic will always have a key role to play. How the body of scholars fits within the structure of university governance depends on how much influence they wield vis-à-vis other actors like administrators, students and alumni.

Universities have become open systems and are influenced by an array of stakeholders. Each stakeholder group acting independently or in concert with other groups will exert certain demands on the university. Irrespective of the models described above, at any point in time it would be possible to describe governance according to a model. Nevertheless, to say that a model is the best to describe university governance would be flawed because there are many factors that could affect and influence the governance process. Universities exist because they were established by various bodies that finance them, so it would be possible that governance could well be influenced by the existence of the bodies that finance the universities.

The various models were also derived by scholars to portray governance exercised and comparatively as they perceived, each model has its own distinctive arguments and rationales based on researches that were conducted earlier although there were models that were suggested as alternatives because they need further studies to justify their practical applications. It is therefore necessary to see which model or models that could describe the Ugandan way of university governance. It is under stood that Ugandan universities were established by government and private through the relevant laws. As such, the universities are organised and governed following the stipulated laws. Therefore, how the universities are functioning, powers are distributed and governance is exercised which would require the collective performance of the stakeholders.

From the fore going, it is imperative to have a governance model whose elements can put into consideration different influences arising from different constituencies that make up the university. Perhaps a new model for governance is in order for the university of the future one that places the attributes, values and the expectations of internal and external stakeholders at the centre. According to

Gunport (2000:10), emerging evidence of needed change must be interpreted and acted upon by trustees, vice-chancellors' staff, administrators and students. A model that attempts to provide the desired elements for better governance of universities will be provided in chapters five and six of this thesis.

CHAPTER FOUR
METHODOLOGY

4.1 INTRODUCTION

The aim of the study was to investigate how universities can develop and sustain effective governance by adhering to the requirements of the National Council for Higher Education (cf.par section, 1.5). This chapter presents the research design developed to investigate the aims and objectives of the study, the manner in which data was obtained and the methods that were used. The results of the analysis are tabulated and discussed as well.

The chapter also investigates the governance process and practical issues such as degree requirements, standards expected in student performance; quality of research and public service activities and freedom available to individual staff members in their universities. These issues prevailing in Ugandan universities are used to test the tenability of certain theories and to explain governance processes. The study was formulated as an investigation on developing and sustaining effective governance of universities in Uganda which was aimed at identifying knowledge gaps in university governance. The study draws lessons from other universities in United States of America, Europe, Australia and Africa.

4.2 RESEARCH QUESTION AND AIMS

The study focused on the university governance in Uganda, contents of the various laws governing the universities, meaning and understanding of governance power allocation and execution and ways to improve governance exercise. The study, therefore, investigated the key research question: How can Ugandan universities develop and sustain effective governance by adhering to the requirements of the national council for higher education? By answering this question, therefore, the study would recommend ways of developing and sustaining effective governance in Uganda. The following questions facilitated the demarcation of the problem more clearly:

    (i) What obstacles do Ugandan universities meet when implementing effective governance?

(ii) What steps should be taken to develop and sustain effective governance in Ugandan universities?

(iii) What governance model may improve governance in Ugandan universities?

In order to investigate the outcomes of developing and sustaining effective governance in Ugandan universities, a research design was drawn up. Having identified the problems related to developing and sustaining effective university governance in Uganda, the aims of the research were established. The general aim of the research was to investigate how universities can develop and sustain effective governance in Uganda. In order to achieve this aim, the research was guided by the following specific objectives:

(i) Identify obstacles met in implementing measures of effective governance.

(ii) Identify and describe the steps taken in developing and sustaining effective governance in Ugandan universities.

(iii) Develop a governance model suitable for Ugandan universities.

4.3 RESEARCH DESIGN

This study adopted a mixed design method that resulted from combining both quantitative and qualitative approaches. The combination of two phases helped the researcher to collect multiple data at the same time. To achieve the mentioned objectives, this research was done in two phases which included phase 1 and 2.

I adopted a mixed research design that would help combine data gathered and processed using quantitative methods (phase 1) and qualitative methods (phase 2). Therefore, I chose a single paradigm for conducting a study, either quantitative or qualitative, paying attention to the distinctive characteristics and assumptions under the two paradigms (Creswell, 2005:17; Morgan, 2007: 48; Creswell, 2007:17-18).

I used quantitative research methods because they asked specific narrow questions, collected numerical data from participants, analysed those numbers using statistics, and they helped in conducting the inquiry in a non-biased objective manner (Bryant, 2007:542). The researcher also used

the qualitative method because it emphasises on words, views, theories and patterns which involve subjective and bias elements (Amin, 2005:546; Delliger & Leech, 2007:327). Using the two paradigms helped the researcher to analyse the data collected and eased the data reporting. (Sarantakos, 2005:31).

4.3.1 Mixed method research design

The researcher mixed quantitative and qualitative data in order to provide a comprehensive analysis of the research problem to investigate the ways of developing and sustaining effective governance of universities in Uganda. The researcher collected both forms of data at the same time and then integrated them in the interpretation of the overall results (Brown, 2004: 74). Collecting multiple data at the same time enabled the researcher to understand effective governance in Ugandan universities (Creswell, 2003:18). Both strategies enabled the researcher to address general and specific needs that were enriching and refining the study. Brown (2004:76) and Bryman (2004:542) argue that integrating quantitative and qualitative methods helps the researcher to get depth and clarity in research. Besides, as noted by Bryman (2004:544), a mixed combination of quantitative and qualitative methodological approaches was used so as to benefit from the strengths of each of the two.

I used mixed methods because they have particular values when trying to solve a problem in a complex educational context (Onwuegbuzie & Leech, 2004:11). By using more than one method within a study, helped me to obtain more complete university governance views (Amin, 2005:547). Amin (2005:547-548) and Tashakkori and Teddie (2008: 101) argue that a case study approach more or less encourages the researcher to use mixed methods research in order to capture the complex reality under scrutiny. As observed by Creswell (2005:39-50) and Neuman (2007:110) mixed method is advantageous to the researcher in the following ways: collection of two types of data simultaneously; encourages the researcher in producing a more complete set of research questions and conclusions (Schumacher, 2006:401); biases inherent in one method are overcome by the use of the other method.

The limitation observed in using mixed method study in my research was that the two methods were unequal in their priority, which resulted into difficulties of interpretation of results. As Creswell

(2003:212) suggests, it is necessary to decide whether greater priority or weight is given to qualitative or quantitative approach or if the approaches will be treated equally.

The researcher applied decision suggested by Teddlie and Tashakkori (2003:26-27) that rules for combining quantitative and qualitative data collection in a study as: i) Deciding the priority of either the quantitative or the qualitative method, ii) deciding on the sequence of the two by identifying the order of conducting the complementary method. In general, a mixed method research helped me in collecting, analysing and interpreting quantitative and qualitative data in a single study or in a series of studies that investigated the same underlying phenomenon of university governance.

4.3.1.1 Phase 1 (Quantitative methodology)

In phase 1 the researcher used quantitative research methodology. Quantitative methodology was used to provide specific data and objective measurement data from university administrators like the vice chancellor, registrars and the deans (Sarantakos, 2005:240). The reason for using quantitative research was to generate knowledge for developing and sustaining effective governance in Ugandan universities (Dellinger & Leech, 2007:328).

The quantitative instruments, five-point likert scale (strongly agree, agree, not sure, disagree and strongly disagree) was used to measure the effectiveness in the sampled universities. To guide the empirical study, the researcher used structured questionnaires to collect data from university administrators like the board members, vice chancellors, registrars, deans, heads of departments, teaching staff and students sampled from the five universities. The researcher used codes in order not to disclose the names of the universities (A, B, C, D and E). Figure 4.1 shows type of university and assigned code names.

Table 4.1 showing sampled universities

University name	Code name
Public university	A
Private university	B
Private university	C
Private university	D
Public university	E

4.3.1.2 Phase 2 (Qualitative methodology)

Qualitative research helped the researcher to describe, explore and show relationships between events and meanings to increase the reader's understanding of the phenomena (Amin, 2005:186 & Patton, 2002:341). A case study approach was used to allow the researcher focus specifically on the implementation of university governance. Creswell (2005:15) and McMillan and Schumacher (2006:27) describe a case study as a bounded system employing multiple sources of data found in the setting. Creswell (2003:15-16) and Babbie (2007: 9) argue that a case study is bounded by time and activity and this helped me to collect detailed information using a variety of data collection procedures over a given period of time.

The predominant approach in this research study was qualitative method and the quantitative method was embedded within the predominant method. In this study, quantitative data collection preceded qualitative in order to explore and test variables (Robert & Sari, 2003:43). The qualitative instrument was conducted with different groups of participants at the universities and at their convenient time. There was exploration and detailed understanding through in-depth interviews that looked at governance, decision making power and authority in university governance through systematic face to face interview.

 The emphasis on the qualitative phase was determined by considerations of the following research questions:

 (i) What obstacles can Ugandan universities meet when implementing effective governance?

(ii) What steps can be taken to develop and sustain effective governance in Ugandan universities?

(iii) What university governance model can improve governance in Ugandan universities?

Most of the research questions in this study were concerned with the ways in which effective governance can be strengthened in universities.

4.3.1.3 The population and sampling

The population for this study consisted of the mentioned participants in table 4.2 below from sampled universities that completed the questionnaires. In this study, the population consists of 100 participants drawn from the five universities sampled. The population target from each of these universities depended on the size of the university and administrators who have serviced for at least two years and above.

Table 4.2 showing Participants in the qualitative phase

Participant category	University	Number of participants
Board members	A	1
	B	1
	C	1
	D	1
	E	1
	Sub Total	**5**
Vice Chancellor	A	1
	B	1
	C	1
	D	1
	E	1
	Sub Total	**5**
Registrars	A	1
	B	1
	C	1
	D	1
	E	1
	Sub Total	**5**
Deans	A	1
	B	1
	C	1
	D	1
	E	1
	Sub Total	**5**
Heads of departments	A	5
	B	4
	C	3
	D	2
	E	1
	Sub Total	**15**
Academic staff	A	7
	B	6
	C	4
	D	5
	E	3
	Sub Total	**25**
Students	A	15
	B	10
	C	5
	D	5
	E	5
	Sub total	**40**
	Overall total	**100**

4.3.1.4 Selection of participants

The selection of interviewees was done through purposive sampling as recorded by Creswell (2005:221). McMillan and Schumacher (2006:119) and Orabi (2003:230) argue that purposive sampling, the selection of the interviewees is intentionally made by the researcher according to the researcher's knowledge of the population, its elements, the nature of the research objectives and the research questions (Polit & Beck, 2004:294; Amin, 2005:235; McMillan & Schumacher, 2006:319). The researcher had to select participants who were knowledgeable about the phenomenon of university governance that benefitted the study.

McMillan and Schumacher (2006:200) and Orabi (2003:232) argue that purposive sampling helps the researcher to understand something about those cases without or needing or desiring to generalise to all such cases. University administrators who were involved in the governance process such as Vice Chancellors, Registrars, Deans, and Heads of Department, staff and students, were interviewed. The mentioned administrators provided information because of the knowledge and experience they had in those universities and they were able to provide the required answers to the research questions.

Purposive sampling was done by identifying individuals who work in the sampled universities whose work was related to governance or their activities influenced governance. Among members mentioned above, I also selected those who were considered to be well conversant with governance processes within their respective universities. In this case, careful consideration was given to university officers especially the administrators who had served in these universities for a period of time. I used purposive sampling because it helped me in identifying and selecting information rich participants for in-depth study (Amin, 2005:235; McMillan & Schumacher, 2006:319).

4.4 ETHICAL MEASURES

McMillan and Schumacher (2006:30) raised the need to address ethical issues when conducting interviews. According to Amin (2005:191), some of the ethical issues include informed consent, confidentiality of the interviews, cooperation, trust and openness. The question is: Has the informed

consent of the interviewee been gained? For any research, before the interviews were carried out, informed consent was gained from the participants (McMillan & Schumacher, 2006:30-32).

Participants gave their consent through letters and verbally during the first meeting (Appendix C). Only those who gave consent were interviewed. Interview questions were sent to the participants prior to the interviews and during the first meeting explanations were given about the research objectives. The interviews were conducted in the places suitable for the interviews. During the interviews or at several instances, some comments that appeared sensitive or personal were not recorded. The participants were assured that this study was meant for academic exercise only, that is, for doctoral research and anonymity as well as confidentiality was safeguarded. The raw data for the research was kept confidential and only the researcher accessed the data. Necessary steps were taken to ensure that the researcher would not mention any names of the participants or make comments that would in any case give identification of the participants.

4.4.1 Approval for conducting the research

Approval from the Department of Education, University of South Africa, was obtained before conducting the study. The acceptance letter from the Department of Education was signed by the supervisor and approval was granted by the Department of Further Teacher Education (Appendix B). The field study started after approval by the Vice Chancellors of the sampled universities. The researcher was provided with an approval letter before the study commenced.

4.4.1.1 Informed consent

After obtaining permission to enter the field, the researcher gave assurance of confidentiality and anonymity and described the intended use of the data to the participants. Participants had the right to participate voluntarily, had the right to ask questions, free to get the results, and had their privacy respected. The signatures of both the participant and the researcher agreed to the above elements (Appendix A).

4.4.1.2 Confidentiality and anonymity

Researchers are supposed to use code names of people and places and information must be held confidential (Polit & Beck, 2004: 425). No one is to access individual's data or the names of the participants except the researcher (Amin 2005:280; Delliger & Leech, 2007:21). Assurance of confidentiality, anonymity and explanations to participants were provided. A clause requesting participant consent for the inclusions of informants was provided on the consent form and participant attention was drawn to this clause on distribution of consent forms.

4.4.2 Validity, reliability and trustworthiness

The validity and credibility of this research depended on the accuracy and truthfulness of the description, explanation, interpretation and conclusion derived from the findings (Merten & Mclaughlin, 2004:177; Onwuegbuzie & Johnson, 2006:48). On the side of quantitative method, the researcher constructed a questionnaire by making use of the data collected during literature review. Questions in the questionnaires were formulated to provide a logical link with the objectives and covered a full range of issues to be measured to ensure relevance for purposes of validity, reliability and trustworthiness of research findings (Kothari, 2008:69; & De Vos, 2002:166). The questionnaire was reviewed by researchers, colleagues with experience of quantitative research methods and a statistician and necessary amendments were made accordingly.

The validity and credibility of the qualitative research were examined in relation to internal validity, reliability and external validity (Golafshani, 2003:597). In this research, the internal validity looked at aspects that related the findings of this research to the reality (Delliger & Leech, 2007:325). Internal validity entailed accurate answering of the research questions and the ability to control intervening variables that were likely to distort the final results (Amin, 2005:285). External validity emphasised generalisation of the results to the entire population.

A variety of procedures was utilised to check on the credibility of the data that was collected and to conform to the procedures and the interpretation of outcomes (Amin, 2005:293; Polit & Beck, and 2004:435). Ary, Jacobs and Razavieh (2002:453-456) suggested categories of procedures that were

followed by the researcher when checking on credibility: to include evidence based on standard corroboration, use evidence based on consensus, evidence based on observable phenomena, evidence based on theoretical adequacy, evidence based on control of bias. In this research, multiple sources of data were used to provide comprehensive coverage of the study area. One important source of data was the various laws that were considered as the legitimate source of information concerning the establishment, governance and maintenance of universities in Uganda. University constitutions from the National Council for Higher Education also formed the main source of documents containing relevant data on structural governance arrangements in the universities of Uganda.

Triangulation method was used to support findings by showing that independent measures of it agreed with it or, at least did not contradict it. Triangulation is a big concern in qualitative research (Ary et al, 2002:454 & Patton, 2002:14). The researcher used triangulation method because it increases the validity of the research because the findings were derived through different sources and the observed phenomenon was perceived from various findings (Kothari, 2008:7). Interviews and other related documents like university constitution, procedures manual, human resource manual and others were used as multiple sources of data in this research and data was corroborated to ensure that there was agreement.

In this research, the researcher served as an important element during the data collection stage. Cross-checking of data was made using different interviewees' responses, university publications, university constitutions and rules and regulations. There was double checking with comments given by other interviewees because differences could be due to different understanding and interpretation.

The validating process was conducted through communicative validation as suggested by Ary, et al (2002: 457) whereby the transcriptions of the interviews were shown to the interviewees prior to the second interviews. The purpose was to obtain the interviewees agreement on the contents of the previous interviews and to get the interviewees ideas of schematic picture of the complex governance activities. All this was done to avoid wrong interpretations because validity and reliability had to complement each other. Further, accuracy and consistency of the instruments were enhanced and results realised and met the research objectives.

4.5 DATA COLLECTION

According to Creswell (2005:185) and Amin (2005:269), data procedures include setting the boundaries for the study, collecting information through observation, questionnaire and interviews, as well as establishing the order for recording this information. Procedures for data collection were divided into stages: First a letter was given to the vice chancellors of the universities to get permission to undertake a study within their universities (Appendix C). During the initial stage of the study at the universities, each university was given an average of some few weeks or some days to understand the kind of activities carried out by university administrators. During this period, the researcher carried out a brief observation focusing on board members, vice chancellors, and registrars. This aimed at obtaining an experience about the kind of activities performed by the administrators of concern with regard to the provisions of the university constitution.

Secondly, appointment was made to meet and carry out an in-depth interview with various administrators like deans, and heads of departments. The researcher discussed with them the job description, contribution in policy making, other roles regarding the governance exercise, the challenges encountered in meeting their objectives and how they think these challenges could be overcome.

The third stage involved focus group discussions with the deans, heads of departments, academic staff and students. Each focus group discussion involved around five (4) to eight (8) participants. Each group was asked the same questions as those used in the interview schedule (Appendix E). An interviewee protocol as suggested by Creswell (2005:185) and Edward (2002: 16) was followed during the interview like organising the survey team, determining the survey goal, selecting a representative and generating questions. The researcher also collected data through observation and interviews and following the order for recording information.

4.5.1 Sources of evidence

The data was collected basing on several sources of evidence including, interviews, documentary analysis and literature review (Amin, 2005:306). Academic journal articles and books are the key

publications for understanding the nature, contemporary issues and practical problems pertinent to higher education research (Creswell, 2003: 185). In this research the researcher used other sources like: government documents, students and advisory guides, newspapers and magazines, institutions internally published documents and reports produced by consultants and research centre conference papers and presentations.

These documents were used extensively in this study and provided the most useful information related to the research questions. According to Amin (2005:138), most educational researchers need the analysis of documentary evidence because documentary materials such as files and records can give valuable source of data. Review of literature based on secondary authentic sources related to this research including books, journals, articles and academic reports were used.

Most documents including constitutions, charters, by-laws, plans, legislation, administrative regulations, and procedures set forth the critical aspects of university governance were used by the researcher (Creswell, 2005:186). Constitutions, statutes, rules and regulations, annual reports, government reports and commission reports were sources of evidence throughout this research. Document analysis was also used by the researcher to further interpret the interview data.

According to Creswell (2005:187), texts provided by documents are important for qualitative research because the information provided by such documents can be more different than what is available in spoken. Furthermore, texts gave historical contexts that helped me get relevant information especially for this study. Study interviews alone would give wrong information because interviews would give their views based on experience rather than based on factual data as written in historical documents (Amin, 2005:139). Therefore the researcher used university documents to get the real and comprehensive information to supplement the interviews.

4.5.2 Data procedure

The researcher undertook some weeks during the initial stage of the study at the vice chancellors' offices to understand the kind of activities carried out by these officers of these universities. The researcher also managed to study various activities carried out by other administrators like the

registrars, deans and heads of departments in their respective universities. The weekly dairies of the vice chancellors provided vital information related to the types of activities carried out in these offices as well as functions attended.

The second stage of the study involved in-depth interviews with some members like the registrars, deans and heads of departments who agreed to be interviewed. Each participant was asked the same set of open-ended questions and the time and place were set according to the participant's convenience. An interview schedule as suggested by Amin (2005:178) is a helpful tool during the interview session.

4.5.3 Data collection instruments and methods

According to Amin (2005:168), most methods used in qualitative research for collecting data were, observation, interviews and record review. In this study, data was collected by means of in-depth interviews with university administrators such as the Vice Chancellor and Registrars as my respondents and the Deans, Heads of Department, academic staff and students as my participants. Using the mixed method approach, the questionnaire was used where quantitative supplemented the qualitative. The questionnaire provided hard data and the interview provided in-depth information. The five Lickert scale questionnaire was designed for self completion by participants (Appendix D). Amin (2005:173) and Onwuegbuzie and Leech (2005:383) highlighted the importance of observation as a source of data for qualitative research.

4.5.4 Observation

Observational data allowed the researcher to collect live data from real life situations (McMillan & Schumacher, 2006: 120). In such events, data related to various aspects can be collected for instance data on the physical setting of organisations, the human setting that make up the organisations, the initial period of this study, the researcher spent some weeks in the sampled universities. Offices of the vice chancellors, registrars, deans the guild and others were used to undergo a study period and to observe the types of activities done in these offices in relation to university governance. This was done by having informal discussions with some university sampled participants and notes were taken

to provide feedback. Amin (2005:204) highlighted the importance of observation as a source of data for qualitative research. In this case, the data related to various views on university governance was collected. For instance data on physical setting of the university, the human setting that make up the university, the interaction setting that takes place in the university and the programme setting were viewed by the researcher.

4.5.5 Development of questionnaire

The study used the questionnaire to solicit information from the participants. The questionnaire items based on the skills administrators have in sampled universities were used. The questionnaire design was informed by reflections from the literature review, theoretical orientation and conceptual framework. It aimed at capturing the gist of the study objectives so that responses answer specific objectives or part of them and provide a logical flow of responses. The questions were identified and phrased to elicit responses that would meet the requirements of the study objectives. The questions were divided into nine categories. The Likert-type scale was used because it provided great flexibility on the side of the participants (Appendix D). Open ended questions were used because they were easy to answer and to get as much as possible data that would help the researcher in addressing the research problem.

To guide the study, the researcher used structured questionnaire to the administrators of the sampled universities in Uganda. According to Creswell (2005:185) and De Vos; Strydom; Fouche and Delport (2005:152) a questionnaire is a self-report data collection instrument that is filled out by research participants. The aim of using questionnaire was to investigate how administrators develop and sustain effective governance in their universities in Uganda. The data was collected by making use of questionnaire consisting of open-ended and closed questions.

The researcher administered the questionnaires to university administrators herself with the help of three research assistants. The questions were related to university governance. The summary is as follows: Section A: Demographic information of the participants. Section B: The organisational structure of the university. Section C: The characteristics of the university top governance committee. Section D: Quality of the governance structure of the university. Section E: How well has the current

structure management done its job to sustain effective governance? Section F: Obstacles met when implementing effective governance in universities. Section G: Performance of individual members in these universities. Section H: Quality of the current risk management and internal control. Section I: Governance models. The researcher used the questionnaires because they are good for measuring the attitude and eliciting other content from the participants, providing information about participants, and ensuring that the participants are honest.

4.5.6 Pilot application of the draft questionnaire

The questionnaire was piloted on two universities. This piloting is recommended for feasibility, convenience and cost effectiveness (Amin, 2005: 269). The participants who participated in a pilot study were administrators from which the study intended to collect data. The participants after the completion of the pre-testing were requested by the researcher to give comments on wording, sequence, missing and unclear question. This helped the researcher to improve on the format of questions. The results of the pilot however were not included in the main findings of the study.

4.5.7 Interviews

This study adopted personal and focus group interviews with the respondents. The interviews were semi- structured in order to obtain both clearly defined information and to give room to the participants to formulate responses as may be convenient (Neuman, 2007:115). The interview guide was structured to reflect those aspects of the study that needed clarity from respondents. The interviews were conducted in English which is the official language in Uganda where the top managers like the vice chancellors, the registrars, were interviewed individually while the deans, academic staff, the heads of departments and the students were interviewed in groups. The proceedings of the interview were recorded both by the research assistants and the researcher using a tape recorder. The responses were transcribed and analysed. As observed by Creswell (2005:218), the wording of the questions was determined in advance and all interviewees were asked the questions in the same order (Appendix E).

However, as observed, participants were given room to construct their responses as would be convenient and clarifications were sought where necessary. The questions were open-ended so that the participants could give comments about a topic and took time to elaborate out certain issues that were considered important about university governance. One of the strengths of this type of interview was that the participants answered questions that were similar but were asked according to the responses given by the participants (Amin, 2005:178). Therefore chances of getting answers that were comparable were higher. Where necessary, participants whose responses required further clarification after initial interview and analysis were approached for clarification. This was on a case by case basis. The researcher did member checking after each interview to ensure that information was correctly done and this was achieved with the cooperation of the interviewees (Creswell, 2005: 220). The transcriptions were given to the interviewees for their consensus and comments.

4.6 DATA ANALYSIS

4.6.1 Quantitative data analysis

The process of data analysis and interpretation was carried out simultaneously with the data collection activities. After collection, the data was prepared for entry. The coding of all the information on the questionnaire was done by assigning numbers to the answers indicated in all sections of the questionnaire (Keller & Warrick, 2003:90). After the responses were coded, the data was analysed using a statistical package for social scientist (SPSS). Before the analysis, the data was checked for mistakes to avoid the distortion of the results of the statistical analysis (De Vos; Strydom, and Fouche & Delport: 2005:225).

According to Creswell (2005:219), the success of research depends on the process of using a clean error set free data set. Then the descriptive statistics, including tallying of frequencies in the calculation of percentages, and central tendency summaries were used for data analysis. Data from the two methods were mixed during the data analysis; qualitative and quantitative. According to Creswell (2003:221) and Creswell (2007:221-225), this method helps the researcher to gain broader perspectives as a result of using the two different methods as opposed to using the predominant method alone.

4.6.2 Qualitative data analysis

During qualitative analysis, patterns of data were identified, descriptions developed and interpreted to generate meaning (Amin, 2005:324). The process is hard to achieve because of increasing amount of field notes, interviews, group discussion and textual data. In this study a multiple method approach was used where data gathered from interviews, observation and documents supplemented each other as part of data analysis process. Data gathered from observation and interviews provided direction for obtaining further questions on the basis of developing and sustaining effective governance of universities in Uganda.

The researcher used the following steps in analysing qualitative data:

i.   All the data from interviewees, field notes and relevant documents were reviewed first in a general way to obtain a sense of the data. Data was coded for analysis according to the method of qualitative data analysis described by (Gay and Arasian, 2000:239).

ii.   A literature control was conducted to identify similarities, differences and contributions of this study to previous research conducted. This provided structure to the data gathered and allowed for triangulation between the various research instruments used, the member-checking to determine the accuracy of the qualitative findings.

4.7 SUMMARY

This chapter described how the research was carried out. Procedure of data collection was explained and various sources relevant to data gathering process were also identified. Subsequently, the data analysis processes as well as the interpretation by the results were identified. Other relevant issues including validity and reliability, ethical measures, research bias and personal reflections were given. The following chapter discussed the research findings which provided the foundation answers related to the research questions.

CHAPTER FIVE

DATA PRESENTATION, ANALYSIS AND DISCUSSION OF FINDINGS

5.1 INTRODUCTION

Chapter four presented the mixed method research design of the empirical enquiry used in two phases of the study: the quantitative phase and the qualitative phase. Chapter five presents the findings obtained from the field. In this chapter, the findings are presented and discussed. Both phase one and two findings were integrated and discussed incorporating literature, and theoretical framework. Conclusions were drawn that highlight what the key issues of the study were.

In phase one which constituted quantitative approaches, a questionnaire was sent out to the identified respondents. These respondents included the Vice Chancellors, Board members, Registrars, Deans, Heads of Department, academic staff and students. Respondents filled in questionnaire that was circulated by the researcher. The findings in the questionnaire were analysed using a computer programme SPSS and then interpreted in relation to the research aim and the relevant literature available. The aim of this study was to investigate how universities can develop and sustain effective governance by adhering to the requirements of national council for higher education. The findings on Likert's scale were interpreted and discussed according to whether the respondents agreed including (both agree and strongly agree) or disagreed (both disagree and strongly disagree).

In order to corroborate and strengthen the findings from the quantitative phase, a qualitative study was undertaken. This utilised one on one interviews and focus group discussions. The findings from the qualitative research were integrated in the discussions to complement and supplement the quantitative results. These were analysed and discussed according to research objectives. The combination of phase one and two was done in order to obtain logical flow of the findings.

The Reliability test was performed using Cronbach's Alpha coefficient to determine the internal consistency of the likert scales used to measure the study variables. Most of the construct variables were above 0.7 an indication that there was content validity for all variables. The Analysis of

Variance (ANOVA) indicated that the F-value was above 0.05 which is significant. Despite the fact that most F-values were small, the significant component renders the overall model significant.

In the analysis, three subsets were identified drawing from the questionnaire administered which addressed specific aspects of interest to the study. The three subsets were grouped into the following dimensions: developing and sustaining effective governance with four subsections, obstacles met when implementing effective governance with three subsections, governance model of the future university with three subsections. Further, the following categories below were named:

- **Developing and sustaining governance**
(i) Characteristics of the university board
(ii) Quality of the structure of the board
(iii) Management involvement in university governance
(iv) Participation of the board

- **Obstacles in implementing effective governance**
(i) Performance of individual members
(ii) Quality of the risk management and internal control

- **Governance model of the future university**
(i) Elements for effective governance
(ii) Indicators for effective governance
(iii) Moderating factors

5.1.1 Inter-linking themes

The themes that emerged from the two phases demonstrated very clearly the interrelated and independent nature of university administrators on decision making. In the analysis of the data codes were identified. The themes were identified as mentioned in subsection 5.3.1.3. The analysis starts with a synopsis of the biographical information obtained from respondents.

5.1.2 Demographic information

In order to obtain a clear understanding of the respondents' background, the researcher set questions seeking key biographical data of the respondents. The questions sought data about the gender type, duration of service, and highest level of qualification. Respondents' responses were as indicated in tables 5.1 that discusses the gender presentation.

5.2 DISCUSSION OF RESEARCH FINDINGS

As illustrated in tables 5.6, 5.9, 5.12, 5.13, 5.14, 5.15and 5.16 in the descriptive data analysis, the results obtained from raw data were organised into themes, categories and sub categories as illustrated in the introduction which served as main headings and subheadings as will be discussed in the subsequent subsections below.

Table 5.1 Gender of respondent

	Frequency	Percent	Valid percent	Cumulative percent
Male	71	72.4	72.4	72.4
Female	27	27.6	27.6	100.0
Total	98	100.0	100.0	

72.4% of the respondents were male while 27.6% were female. The frequency distribution indicates that in Ugandan universities males are still out numbering females in managerial positions. The participation of the two gender types enhanced gender representation. Thus, the responses pertaining to different aspects of educational management strategies could be considered as reliable. Having analysed the gender respondents, it is now important to look at duration of service and its effects on effective university governance in table 5.2.

Table 5.2 Duration of service

	Frequency	Percent	Valid percent	Cumulative percent
Less than 1 Year	17	17.3	17.3	17.3
1- 4Yrs	10	10.2	10.2	27.6
4- 7Years	59	60.2	60.2	87.8
7- 10Yrs	12	12.2	12.2	100.0
Total	98	100.0	100.0	

Information pertaining to length of service since duration is usually associated with increased technical knowhow as well as weaknesses or strengths in particular governance systems. A small number of respondents had worked for less than 1 Year, from 1-4 years represents 10.2%; 4-7 years 60.2% and 7-10 years represented 12.2%. It can be assumed that such category of staff were knowledgeable in modern organisational management practices and had witnessed the evolution and application of such practices in such educational institutions. After the analysis of duration of service, the researcher analysed the importance of the level of level of qualification in effective university governance in table 5.3.

Table 5.3 Level of qualification

	Frequency	Percent	Valid percent	Cumulative percent
PhD	10	10.2	10.2	10.2
Professional qualification	18	18.4	18.4	28.6
Master's degree	24	24.5	24.5	53.1
Bachelor's degree	46	46.9	46.9	100.0
Total	98	100.0	100.0	

It was important to examine the level of qualification. Many a time, competence in the management of an educational institution rests upon academic and professional training in such respective areas. Respondents were requested to indicate the levels of qualifications as a method of gauging staff

quality in terms of level of formal education attained. Sample results indicated that majority of respondents had Bachelor's and Master's degrees (71.4%) and only 18% had professional qualifications. Of the sample respondents very few had PhD qualifications. Despite the dismal number of respondents with PhDs and professional qualifications, the huge number of staff with Bachelor's and Master's degrees was enough evidence to indicate that most institutions were employing quality and well educated workforce. In table 5.4 the cross tabulation of duration of service and level of qualification are indicated to examine their relationship with effective university governance.

Table 5.4 Duration of service and level of qualification cross tabulation

	Level of qualification				Total
	PhD	Professional qualification	Master's degree	Bachelor's degree	
Less than 1 year	3	2	2	10	17
1-4 years	0	1	6	3	10
4-7 years	4	14	13	28	59
7-10 years	3	1	3	5	12
Total	10	18	24	46	98

The quality of staff employed was good and majority of the respondents had been working for a period between 4-10 years. To corroborate such findings, a cross tabulation also indicated that majority of respondents with professional qualification had spent more than 4 years within their respective institutions. Interesting further was the fact that those who had master's degrees and bachelor's degrees had also spent more than four years. These responses were suggested from an informed perspective. It is assumed that the responses they suggested were considered reliable. This further added credence to the quality of responses suggested by the responses from table 5.3. Table 5.5 analyses the breakdown of tables 5.1, 5.2, 5.3 and 5.4.

Table 5.5 Break down of data presented in table 5.4

Breakdown of respondents	Number	Percentage
Gender of the respondents		
Males	71	72.4%
Females	27	27.6%
Total	98	100.0%
Length of service		
Less than a year	17.2	
1-4Years	10.2	
4-7Years	60.2	
7-10Years	12.2	
Greater than 10Years	-	
Total	98	100.0%
Level of qualification		
PHD	10.2	
Professional qualification	18.4	
Master's degree	24.5	
Bachelor's degree	46.9	
Diploma	-	
Certificate	-	-
Total	98	100.0%
Designation		
Board member	14.3	
Council member	6.1	
Administrative staff	36.7	
Students guild	36.7	
Other	6.1	
Total	98	100.0%

The above table summarises tables 5.1, 5.3 and 5.4 of the respondents' biographical data. It indicates that in terms of gender, female were 72.4% and female 27.6%. Length of service the majority of the respondents had worked for 4-10 years and the lowest 1-4 years. Level of education; most respondents had a bachelor's degree and the least PhDs. In terms of designation, the administrative staff and student guild had the highest number of 36.7% and the board with lowest. The data obtained was to help the researcher have a clear understanding of the respondents.

In reference to table 5.5, proper and efficient management/governance of educational institutions rests upon a number of key intrinsic factors. Such intrinsic factors include the availability of a proper and sound governance policy, staff competency in terms of qualifications to manage the institution, duration within their respective departments (Brats, 2004:100-102). To enrich the study results, responses were sought from a section of respondents who involved board members, administrative staff, deans and heads of department, academic staff and student's guild as indicated in table 5.5. The next section provides research findings on developing and sustaining effective governance.

5.2.1 Developing and sustaining university governance

To clearly examine the proper governance and management of higher educational institutions, respondents filled self administered questionnaire and participants were interviewed on various aspects related to their management. A questionnaire was devised in which respondents were requested to indicate their level of agreement or disagreement pertaining to different aspects of organisational governance and characteristics of university management committees. The key constructs related to developing and sustaining university governance were examined to ascertain the level of agreement and disagreement. In the next subsection the characteristics of the board are discussed to ascertain how they affect university governance.

5.2.1.1 Characteristics of university board

Respondents filled the questionnaire and participants were further interviewed to examine the characteristics of the board in their universities. According to the findings, respondents agreed that the university board had any or all of the following backgrounds: accountancy, finance, public policy,

technology or others the board might deem desirable, qualifications and experience are put forth in writing prior to becoming a board member. There was ethical corporate culture and an independent special investigative counsel to investigate activities that might implicate the conduct of university executives. The findings contribute to the established theories on corporate governance Chandan (2005:351) as discussed in section (cf.par. 2.3.1.1) regarding ethical and value based culture. Bartos (2004: 85) and Schumacher (2006:3) also suggest that staff should clearly understand their responsibilities in maintaining university governance.

On a five (5) point likert scale, respondents were requested to indicate their level of agreement or disagreement with a particular statement in the construct. The mean and standard deviation for each statement were computed. A statement with a mean score between 1.00 and 2.50 was considered to be a disagreement. But, a statement with a mean score between 2.51 and 3.50 was considered to be a moderate agreement. A statement with a mean score between 3.51 and 5.00 was considered as a high agreement. The standard deviations were of limited significance in this discussion. The organisational structure and characteristics of the university governance board are analysed and discussed in various subsections in detail below. Table 5.6 shows the descriptive statistics of the characteristics of the university board.

5.6 Descriptive statistics of the characteristics of university board

	N	Mean	Standard deviation
Board members have enough functional backgrounds	98	4.02	.963
Qualifications and experience are put forth in writing	98	3.94	1.044
There is an ethical corporate culture	98	4.33	1.043
Enough tenure is given to the board	98	3.69	1.196
They have sufficient functional backgrounds	98	3.95	1.161
The board acts independently without interference	98	3.55	1.132
They are very competent	98	4.15	.978

Given the fact that all mean scores were above 3.51, there was general agreement on all the aspects considered under this construct. This shows that the board members had enough functional back

ground, relevant qualification and experience, ethical corporate culture, tenure of the board was enough and the board was independent from interference and was competent. These findings presuppose that the universities are governed by boards that are competent and the governance environment was conducive. Bartos (2004:20) and Stanton (2007:5) argue in favour of the above features as ingredients of effective university boards (cf. par. 2.3).

Respondents believed that board members had enough functional background with the mean score of 4.02. They indicated that background influenced effective university governance. It would be logical to assume that the length of experience and professional background greatly enhance the overall back ground of each member individually. As observed by Abedian (2002:10), sufficient level of experience increases efficiency and compliance.

Respondents also indicated that qualifications and experience are put forward when appointing a board member which is reflected by a mean score of 3.94. This suggests quality governance in universities. According to Kasozi (2003:91) and Bartos (2004:100), universities should appoint well qualified board so as to maintain the quality of the institution when interpreting the mission and vision of the university in order to achieve intended set goals.

The response of ethical corporate culture was reflected by 4.33 showing a high agreement indicating there has been enough training of board to maintain effective governance. Bartos (2004:85) and Schumacher (2006:2) argue in support of these characteristics as very important in ensuring an ethical corporate environment. Enough tenure is reflected by a score of 3.69 as stipulated in the Universities and Other Tertiary Institutions Act, (2003: 50-57) that board should work in a university at least for 4-5 years. Gallagher (2001:10) is in support of the act because to achieve the set objective and proper planning, time should be put into consideration. Participants indicated that board acted independently without any interference and this was reflected by a mean score of 3.55.

Respondents showed that their board was independent in running the activities of the university like holding meetings, recruiting and among others. As observed by Shattock (2003:244) and Baird (2007:101) free participation, independence, transparency and decision making improve university governance. Competence of the board was reflected by 4.15 and showing the highest agreement. This

clearly showed how competent the board performs to implement effective governance. According to Kasozi (2003:91) to maintain competence and responsible staff, daily on- training is necessary.

Findings from phase 2 in some universities support findings in phase 1 and add insights into the views of participants. To the contrary, some universities did not agree with the interviews which showed a contradiction. The following categories relating to characteristics of the board in maintaining effective university governance were identified: efficiency, experience and decision making. Having highlighted the analysis of the characteristics of the university board, it is equally important to explore on what participants gave as their views on the characteristics of university board.

i.   Efficiency of the board in university governance

Findings from table 5.6, corroborated by interview responses revealed that board members had qualifications and experience. Participants indicated that qualification and experience increase efficiency and effectiveness in university governance. The subsequent studies by Chandan (2005:4) as discussed in (cf. par. 2.3.1.4) further confirm that, management as the organisational process involves strategic planning, setting objectives, managing resources and deploying the human and financial assets required to achieve the given objective and qualifications and experience should be put forward in order to achieve efficiency in university governance. Bartos (2004: 100); Kasozi (2003:91) and Higher Education Policy Analysis (2004: 20) argue in support of Chandan (2005:4).

To the contrary, discussion with the focus group showed that appointed administrators were not given orientation and induction and this was creating a vacuum in university governance leading to inefficiency. In this regard a dean from University (D) observed: *"With interference of the top management we don't know whether members are qualified or not and for there are many factors included when recruiting which I cannot mention now"*. Kogan (2000:48); Chacha (2000:2); Kreyzing (2002:60) and Nadam (2008:19) argue that there should be politics of governance participatory and decision making in universities for better university governance to increase efficiency in universities.

There was overlap and duplication of work where efficient and effective utilisation of resources was not in pursuit of the university goals. This showed a gap in the university governance and therefore was need to recruit management according to qualifications, experience and specialisation (Lapworth, 2004:309). On the same point deans from Universities (C) and) D) argued: *"Our management is not meant for achieving outcomes, and are not taking part in monitoring the allocation of responsibilities and resources and their qualifications are questionable."* In response to the expression, Shattock (2003:243); Baird (2007:115) and Scott (2002: 141) argue that staff should clearly understand their responsibility, disclosure and transparency in maintaining effective university governance and institutional sustainability.

 It is also necessary to have strong university ethical culture because it supports excellent leadership (Trackman, 2008:69).   In addition, the finding are supported by Chandan (2005:35), Bartos (2004:89); Schumacher (2006:3) as discussed in section (cf. par. 2.3.1) that ethical culture, attitudes and values of the university should among other things embrace communication and emphasise the importance of communication in achieving organisational goals. To maintain university efficiency and effectiveness ethical and value based should spell out areas of participation in specific kinds of decision in a university. Similar sentiment was also raised by one head of department from University (A) who remarked: *"I like ethical corporate cultural because it maintains academic freedom and academic advancement."* Scott (2002: 141); Schumacher (2006:3-4) argue that ethical issues creates participation in decision making, performance responsibility and transparency that lead to efficient university governance. Having discussed the importance of the efficiency of the university board in university governance, it is critical to analyse the experience of the university board in university governance.

ii. Experience of the board in university governance

The responses from table 5.6 revealed that board had enough tenure that could allow the board to do their duties in the given time that showed enough experience to perform university work. According to Universities and Other Tertiary Institutions Act (2003:46), the term of office of a board member of the university shall be four to five years and he or she shall be eligible for re-appointment. This argument indicated that the board members were given enough tenure and if a member was to leave

the office should inform the appointment board within six months. The findings confirm that for proper planning, the board should be given enough tenure and review mechanisms that help organisations to identify governance systems that are critical to meeting term objectives as discussed in section (cf. par. 2.3.6.1) as suggested by (Rahim, 2002:113-114).

To the contrary, this tenure worked in government or public universities where the law is applied in appointing the board members. Members of the board served one to two years or less depending on the performance thus indicating that there was less continuity. In Universities (C) and (D) findings revealed that, some of the board members were appointed without applying or not even considering their qualifications and experience. It was found out that the more experience the more reliable to maintain effective governance. Kezar and Eckel (2004:370), Shattock (2002:423) and Gallagher (2001:10) indicate that university administrators to be objective in selecting the board should base on experience to avoid inconsistence in university management.

In Universities (C) and (D) board members served in many institutions. One board member from these universities and a participant from university (D) complained: "*My tenure was not renewed because I have that sense of independence and voicing out my views against the majority of the board members. I am a board member of several other universities and I was stopped because of that reason.*" Sporn (2003:32); Bradley (2003:1-5) and Dooley (2003:5) encourage university board and employees to be responsible for assuring quality academic and integrity to achieve the university goal and this integrity is done when board has experience in its work. According to Kezar and Eckel (2004:375), employee responsibility and experience reduce weakness in university governance and increases effective commitment and continuity.

The findings indicated that board members had enough functional background. This suggests that most board members in all universities under this study had enough experience to govern better since functional background is a key attribute to governing an institution (Abedian, 2002:10-14). This evidence was in agreement with the literature on university governance where it was established that most board members of well governed universities had enough functional background. From the above exposition, it is clear that these findings confirm the discussion of Kasozi (2003: 46) as described in section cf.par. 2.3.5.

Under functional background, the focus was ascertaining whether board had experience in functional areas of university governance like strategic planning, academic policy, coordinating annual and financial reports and supporting university development. During the interviews board members from public universities were showing primary responsibilities of ensuring that the universities live up to their legal and ethical obligations to consumers and the public. Board members accepted that they were overseeing and fulfilling the requirements of the university. This expression was raised by a participant from University (A) who had this to say: *"I think we are effective and we can play a bigger role; we have the knowledge and we come from different backgrounds so we can share information."* Bartos (2004:100) and Centre for Higher Education Policy Analysis (2004: 30) are in favour of the argument that in universities there should be training for university employees to be responsible and quick to make decisions so as to increase efficiency and these principles should work in all universities.

On the same point Abedian (2002:1); Du Preez (2000:25) and Pott (2000: 21) add that other principles for increasing efficiency in an institution include: procedures for legal compliance, strong financial oversight, fund rising policies and implementing conflict of interest on top of training and decision making and it is important for every university to implement them. Basing on above background it was found out that board members from the public universities were more concerned with their responsibilities and growth of the university.

However, findings revealed that, participants from private universities disagreed with the response from the questionnaires that their board members were not well conversant with the procedures of directing the university administrators and this showed a contradiction. These feelings were expressed by a registrar from University (D) who remarked: "*A number of our board members are hard-working but are not given the chance to participate and make decision.*" Obandoh (2000:2); Henkel (2000:28) and Musisi (2003:20) argue that interference in university governance reduces individual performance. This showed inconsistent in university governance and hence creating a gap and there seem to be a contradiction between the public and private institutions in management. Having explored the contribution of board experience in university governance, it is equally important to discuss the importance of decision making in university governance.

iii. Decision making of the board in university governance

Findings from table 5.6 indicated that board members acted independently without interference and could make decisions. For example board members were involved in governance and they perceived their roles and functions during the governing process based on their interpretation and understanding of university governance. In the public universities board members attended meetings freely and shared with other departments. Interviews with board members showed that, there was an interesting feature of the governance exercise that was seen with the existence of shared governance in some universities. The subsequent studies from Obondoh (2000:3); Shattock (2003:244); Baird (2007:101) and Hall& Symes (2005:205) as discussed in (section cf.par.2.2.2) confirm that decision making and policy formulation should depend on available opinions and groups involved and interference should not be part of university governance. Henkel (2000:29) suggests that when members work without interference creates consensus building and open discussion.

Trackman (2008: 67) confirmed that shared governance allows the staff to participate in the academic decisions making activities through senate meetings, board meetings and management meetings. In addition, a similar issue was raised by another participant from University (B) who remarked: *"All the groups should be considered as equally significant in the determination of university's overall direction and working without interference."* On the same issue, Edwards (2000:4) and Awaleh (2003:6) are in favour of stakeholder participation to create harmony in management and increase decision making.

To the contrary, it was evident that, in the private universities board members were working with interference which was causing conflicts between the directors of the universities and other administrators. Findings revealed that, some of the board members from private universities were not allowed to participate in some cases. In this regard participant from University (D) complained: *"There is a lot of interference in our university and members are not free to exercise their duty; we are not sure of the laws governing the universities and we are not consulted sometimes."* According to Sporn (2003:33), for proper leadership, the board should execute their duties freely to allow member participation.

From the above expositions, it is clear that these findings confirm the discussions of Bartos (2004:10); Kasozi (2003:91) and Centre for Higher Education Policy (2004:40) as described in section cf. par. 2.3.1.4 that, it is essential to provide on- going training and support to staff responsible for decision making and programme implementation in order to maintain effective governance and competence of university board.

a. Characteristics of the board across duration of service

It was important to test whether perceptions about the characteristics of the university's top governance committees were different among different designations and durations within the company. In this circumstance, the recommended test was ANOVA. As long as the researcher is interested in testing if several means are different from each other, then the Analysis of Variance Test (ANOVA) is the best technique. It assumes that the dependent variable has an interval or ratio scale but is also quite often used on ordinarily scaled data.

5. 7 Duration of service

	Sum of squares	Degree of freedom	Mean square	Fisher's statistics	Significance level
Between groups	16.080	15	1.072	1.385	.175
Within groups	63.471	82	.774		
Total	79.551	97			

An assumption of significantly different perceptions on board characteristics across different years of service can be rejected if the probability of the $F-value$ is less than 0.05. Since the Levene's statistic for homogeneity of variances is not significant, $p = 0.175 \succ 0.05$, then the variances can be assumed to be approximately equal. However, since the $F = 1.385;\ p = 0.175 \succ 0.05$, the researcher failed to obtain enough evidence to reject the null. Thus, the researcher concluded that perceptions about governance committee characteristics were different across duration of service.

b. characteristics of the boards across level of qualification

5.8 Designation of respondent

	Sum of Squares	Degree of freedom	Mean square	Fisher's statistics	Significance level
Between groups	11.010	15	734	.552	.902
Within groups	108.990	82	1.329		
Total	120.000	97			

Since $F = 0.552$; $p = 0.902 \succ 0.05$, the researcher failed to obtain enough evidence to reject the null. Thus, the researcher concluded that perceptions about governance committee characteristics were different across levels of qualifications. Having discussed the characteristics of the university board, it is also noteworthy to examine the quality of the governance structures. The quality of the governance structures will determine quality of university governance as observed by Altibach (2005:16) which will be discussed in subsection 4.4.1.2.

5.2.1.2 Quality of the governance structures

To examine the efficiency of university governance, the respondents were given questionnaire on the quality of the university governance. Altibach (2005:16); Coaldrake, Steadman and Little (2005:50); Shattock (2002:233) and Sporn (2003:32) argue that appropriate governance structures allow easy decision making in universities and hence effective governance. As observed by Shafritz (2005:473) and Fourie (2005:437) effective governance structures emphasise academic freedom and autonomy, enhances performance in terms of added value to students, ensure public accountability, reporting and transparency. The quality of the governance structures was to examine whether the board and senate did tier evaluation process, stakeholder involvement, had appropriate governance structures like committee structures, coordinating and annual and financial reports, correct financial behaviour like

preparing the budgets in time and performing internal controls and audits, involvement in committees, sufficient leadership.

From the findings of Shafritz (2005:474) the governance structures indicate good university governance. According to Fourie (2005:438) the above characteristics of quality governance structures can lead to transparent and financial behaviour in a university as a sign of a strong institution to attract many staff and students. The quality of governance structure was analysed in table 5.17 with descriptive statistics.

5. 9 Descriptive Statistics of quality of governance structure

	N	Mean	Standard deviation
There is a three tier evaluation process	98	3.68	1.061
Evaluation is done at least once a year	98	3.92	1.190
There is a strong stakeholder involvement	98	3.56	1.227
Appropriate governance structure	98	3.60	1.182
There is an independent audit committee	98	4.21	.987
There is an independent compensation committee	98	4.40	.714
There is an independent nominating committee	98	4.05	.709
Top management leadership is sufficient	98	4.42	1.201
Information between governance structures flows easily	98	4.21	1.302
There is formality on all committee proceedings	98	4.55	.875

Given the fact that all mean scores were above 3.51, there was general agreement on all the aspects considered under this construct. This shows fact that all key aspects related to the quality of the governance structure indicated average scores above 3.51, it's possible to say that there was general agreement on all factors relating to the quality of the universities governance structures. It was also necessary to examine whether different staff categories had the same perception towards the quality of the governance structure. An ANOVA was used in testing the perceptions in regard to quality of quality of structures and qualification below.

c. Quality of governance structures across duration of service

Table 5. 10   Quality structure

	Sum of squares	Degree of freedom	Mean square	Fisher's statistics	Significance level
Between groups	.640	3	.213	1.681	.176
Within groups	11.933	94	.127		
Total	12.573	97			

Since $F = 1.681$; $p = 0.0.176 \succ 0.05$, the researcher failed to obtain enough evidence to reject the null. Thus, the researcher concludes that perceptions about governance quality are different across designations of respondents.

d. Quality of governance structures across levels of qualification

Table 5. 11 Quality structure

	Sum of squares	Degree of freedom	Mean square	Fisher's statistics	Significance
Between groups	3.271	3	1.090	11.019	.000
Within groups	9.302	94	.099		
Total	12.573	97			

From the analysis, since the $F = 11.019$; $p = 0.000 \prec 0.05$, there is sufficient evidence to reject the null. Thus, it is acceptable that perceptions of the respondents about governance quality were the same across levels of education. Further, participants interviewed from both public and private universities corroborated the findings. Having explored the quality of governance structure it would also be critical to examine how the involvement of university management leads to effective

university governance. As observed by Shattock (2003:243), Baird (2007:101) and Stanton (2007:6) quality work of university management provide opportunities for staff performance and effective university governance which will be discussed in detail in section 5.5.3.

5.2.1.3 Involvement of university administrators in panning

Respondents were given questionnaires on whether the university administrators were doing their job well for efficient and effectiveness. The following were analysed whether the university had a strategic plan, whether the strategic plan met the decisions of all stakeholders, whether the management gave directions to the university, ensured well accomplishments, and well communicated, and ensured whether stakeholders were receiving the reports in advance. This was confirmed by Bartos (2003:80) that working jointly creates direction to planning and development for the institution as discussed in section cf. par 2.3.5. According to Abedian (2000:6) and Gayle, Tewarie and White (2003:64), the success of an institution depends on good leadership where managers should walk the talk modelling good governance behaviours to achieving governance goals. This analysis of university administrators doing the job well was analysed in table 5.12 bellow.

5.12 Descriptive statistics of involvement of the university management

	N	Mean	Standard deviation
The University has a five year strategic plan	98	3.90	1.180
They clearly reflect our strategic plan decisions	98	3.97	1.516
The University Management gives direction	98	3.89	1.566
Management ensures that accomplishments are well communicated	98	3.95	1.205
Management has ensured that members and stakeholders have received reports	98	3.99	1.516

Given the fact that all mean scores were above 3.51, there was general agreement on all the aspects considered under this construct that most of the universities have a five strategic plan, the strategic plan clearly reflects the plan decisions, management gives direction to the university employees,

ensures that accomplishments are well communicated and ensures that stakeholders have reports. There was a high level of agreement that these universities have a five year strategic plan and this indicates with the statement, which is reflected in the mean score of 3.90. The response showed that there were good structures of management in university governance as observed by Kasozi (2003:97) and Rahim (2002:113) that good structures help the university in planning and achieving the set goals. This agreement indicates that management is aware of what it expected to do in university governance.

Respondents revealed that universities respect strategic plan decisions and these points to an agreement with the statement, as reflected in the mean score of 3.97. This indicated clearly that management follows the strategic plan as reflected by data analysis. Du Preez (2000:27) and Shafrtz and Russel (2005:475) indicate that individual performamnce and proper structures help the universities in analysing the set strategic plan and objectives. Respondents agreed that university management gives direction to other university employees. This indicates an agreement with the statement, as reflected in the mean score of 3.89. The response indicated that management was giving direction to the university as observed by Trackman (2008:64) and Murphy (2007:60) that management should set guide lines to direct the university in effective management.

 Respondents indicated that accomplishments are well communicated. This indicates strong general agreement amongst the respondents as indicated in the mean score of 3.95. The response indicated that management ensured communication. According to Stanton (2007:6) and Schumacher (2006:3), consistent communication ensures effective governance and leads to accomplishment of targets.

Respondents indicated that members and other stakeholders receive and read reports. This indicates an agreement amongst the respondents as reflected in the mean score of 3.99. This shows that stakeholders receive reports from management and as observed by Gayle et al (2003:107) and Stanton (2006:333) stakeholder involvement improves university governance. The data analysis in phase 2 reveals that participants had various views on the impact of involvement   of the university management on university governance.

i. University structures

Basing on the above analysis from table 5.12, participants agreed that their universities had a five year plan. And management was aware of what it was expected to do. This analysis was confirmed by Kasozi (2003: 97) and Rahim (2002:113) that a normal university should revise its plan every year and that for effective governance universities should have good structures like the board of trustees, council, senate and various unions that can help the university to analyse its set goals that can be achieved as discussed in section cf. par. 2.3.6.

In addition, the similar expression was raised by Schutte (2000: 78) that the set plans should be distilled into individual performance and development plans and structures should be revised daily as discussed in section cf.par 2.3.2.1. In contrast, research findings revealed that some administrators from private universities were not satisfied with the strategic plans of their universities and although these plans were made, action was not done effectively. On this score, deans and heads of department from private Universities (C) and (D) noted: *"We are not involved in policy making and we are not happy of this."* Similar feelings were expressed by a dean from university (B) who remarked: *"We lack autonomy and we do not make decisions; the majority of decisions are made by university top management and we do not exercise our expectation."* Kasozi (2003:96-97) and Pott (2000:23) suggest that universities should have an integrated frame work for planning cascades from strategic priorities to divisional priorities and activities.

From the analysis, on table 5.12 findings revealed that the five year strategic plan clearly reflected the strategic plan decisions. Interview responses revealed that participants accepted that their universities formulated organised and constantly evaluated strategies for their long term development. From the above expositions, it is clear that the findings were confirmed by Kasozi (2003:97) that a university to maintain effective governance should have an analysis of all factors that are likely important on the institution and the course of action the institution intends to steer in order to achieve its goal as discussed in section cf. par.2.3.6.1.

On the contrary, from the interviews conducted from these universities, some participants from private universities especially the deans and academic staff from University (D) in this regard complained: *"We do not follow the strategic plan because our leaders are not articulate and the*

majority of the workers are not involved in taking decision. The mission and vision of the university are not known by most members and that stakeholders are not involved in contributing to the accomplishment of the university plan and structures are not clear." According to Du Preez (2000:27); Schutte (2000: 78) and Rahim (2002:115), strategic plans allow every employee to see exactly how their individual work affects team goals and university goal at large and therefore every individual should be involved.

In addition, a similar was raised by a dean from University (B) who said: *"The board by nature, and rules set by the governance structures, are supposed to set the direction, analyse strategic plans and give the direction of the university.* On this score, a dean from university (C) commented: *"Since I started working in this university, I have never seen or heard of a strategic plan."* Shafritz and Russel (2005:472) advise the universities to maintain centrality of performance, monitoring and evaluation of university programmes, procedures and policy to ensure goal congruence and should revisit their structures every year.

The university management according to the respondents gave direction to the university and other stakeholders. Findings revealed that management gave direction to the university. This statement was reflected by mean score of 3.89 that in the universities management plays a role in directing the university. It was agreed by registrars and deans especially from University (A) that their university management developed policies and that management opened up the opportunity for the members of the board, council members, lecturers and other workers of the university. Deans from university (A) agreed that management also make adjustments to provide advice on the recommendations put forward by the university and the same argument was supported by the academic staff. This was confirmed by Trakman (2008:64); Kezar and Eckel (2004:375); Kasozi (2003:83) and Murphy (2007:60) that top management should set out guidelines on the selection of members who are good performers and performamnce should be measured against key performance indicators as discussed in section cf.par.2.3.1.

On the contrary, management in private universities administrators had no mandate in adjusting policies before the founders decided on everything. In this regard, heads of department from University (C) complained: *"The problem is that management does not want to be open in everything.*

They delay information, hide information, and work is delayed." Kezar and Eckel (2004:376) and Shattock (2003:245) argue that there is a challenge of centralizing of authority and closing of decision making processes that limit participation.

In addition, similar issues were raised by heads of department from Universities (C) and (D) who observed: *"We are not aware of the rules of the university and have not read them, we just talk as members and after the meeting we are paid"*. Kasozi (2003:85); Sporn (2003:33) and Trackman (2008:64-65) call upon employees of the university to take their governance responsibilities seriously and be active participants in the governance processes. Having analysed the importance of good university in university governance, it is critical to discuss management involvement in planning.

ii. Management involvement in planning

Findings from table 5.12 indicated that management ensured that accomplishments were well communicated. The most response was from public universities especially University (E) where the structures were more organized as compared to university (A) though all public. The subsequent studies from Stanton (2007:6) and Schumacher (2006:3) indicate that frequent and consistent communication to all staff and other stakeholders about their objectives and responsibilities lead to better university management. In addition similar sentiment was also raised by Schumacher (2006:5) that it is important to create and maintain an effective line of communication between the compliance officer to meet the goals and objectives as discussed in section cf. par. 2; 3.1.

To the contrary, this communication was mainly in some public universities where management was appointed on merit. In private universities management was not well conversant with effective communication. In this regard participants from private universities, especially University (D), noted: *"The University should have clear understanding about its establishment and there should be guide lines that could be used by university administrators to accomplish certain issues within the provided framework. Policies and rules and decisions should be determined to direct university affairs."* In this response Bartos (2004:90); Sporn (2003:32-34); Dooley (2003:4) and Bradley (2003:4) encourage the universities to build a culture of delegation and establishment of good advisory bodies that help in coordination of teaching, research and educational programmes. However this is done

when there is involvement of university stakeholders. In addition, the findings supported by Minor (2003:970) indicate that effective governance is associated with good communication and trust between institutional constancies as discussed in section cf par 2.3.1.2.

In addition, the similar findings are supported by (Bartos 2004:90) indicate that the frame work of communication in the universities requires a clear identification and articulation of responsibility as well as a real understanding and appreciation of the various relationships between the university and stakeholders as discussed in section cf. par. 2.3.1.3. This relationship helps to manage and deliver outputs and outcomes. From the observation the private universities were not having clear communication because there was no order through the channel of communication. A similar complaint was expressed by registrars from universities (B) and (C) who complained: *The University had several meetings when am not aware yet am supposed to attend".*

Findings indicated that management ensured that employees and other stakeholders received reports. Respondents agreed that stakeholders like students, academic staff alumni corporate partners, government and the public at large were part of the university. Respondents indicated that the relationships with external stakeholders and universities were accountable to the public through the parliament as well as the government. This agreement was confirmed by Gayle et al (2003:107) that stakeholders help in the success and planning of a university as discussed in section cf.par. 3.2.4.1.

Most of the participants especially the vice chancellors of private universities accepted that stakeholders received reports. However, the universities have protocols and checklists for dealing with stakeholders. From the findings, participants argued that regular stakeholder surveys can measure satisfaction levels of university governance (Trackman, 2008:71). This was confirmed by Stanton (2003:33) where he appreciates the importance of stakeholders to the university and suggested that stakeholders provide participatory mechanism in university governance as discussed in section cf.par.2; 3.4.1. In concurrence with the above, similar expression was raised by the Vice Chancellor from University (D) who commented: *"Stakeholders help us in setting joint strategic priorities and decisions through the received reports and I think we cannot work without them because they are sources of everything and they mean a lot to us".* According to Sporn (2003:33); Kasozi (2003:86) and Trackman (2008:64-65) all the university stakeholders must be encouraged to

take their governance responsibilities seriously and be active participants in the governance processes in order to meet the stated university mission and vision.

From the observation, these universities both public and private had members on the board, council and other seats of lay members which had helped the universities to have effective governance and good relationships with the community. Similar feelings were expressed by the vice chancellor from University (E) who remarked: "*I accept stakeholders' help in achieving a key cultural change in terms of interaction between the scientific arena, community, industry and the government entities and relationships help the universities to get feedback, guidance and outcome".* Kezar and Eckel (2004: 376) are also in favour of stakeholder participation in university governance.

5.2.1.4 Board participation in management

This section looks at the participation of the board in management in sustaining effective university governance. Respondents were interviewed on how the board contributed to the on university governance. The following were looked at; whether board members were aware of what they were expected to do, read minutes, were familiar with the university by laws, support decisions made and promote the work of the university in the community. Shafritz and Russel (2005:472); Pott (2000:25) and Fourie (2005:437) argue that board's guidance in terms of participation ensures that their constituents are satisfied and fully aware of what happens in a university. The interviews were to analyse whether these universities had clear and strong leadership. From the descriptive statistics there was an agreement amongst the respondents and the analysis of individual board performance is given in table 5.13 with descriptive analysis and the participation of university board is discussed under various subsections in detail below.

Table 5.13 Descriptive statistics of board participation in management

	N	Mean	Standard deviation
All board members are aware of what is expected of them	98	3.92	1.146
The agenda of board meetings is well planned	98	3.94	1.545
All members come to meetings well prepared	98	3.90	1.570
All board members receive written reports well in advance	98	3.88	1.286
All board members participate in important board discussions	98	3.89	1.566
All decisions made are supported by different managers	98	3.89	1.566
The Board now recruits staff	98	4.16	1.173
The Board has planned and led the orientation process	98	3.90	1.482
The board has a plan for director education	98	3.90	1.214

Given the fact that all mean scores were above 3.51, there was general agreement on all the aspects considered under this construct that board members are aware of what is expected of them, come to meetings well prepared, receive written reports, participate in important board meetings, are supported by different managers, can recruit other university staff, lead the orientation process and plan for director education as observed by Fourie (2005:437) that board participation creates a conducive management for effective university governance. The following results were revealed from respondents: Respondents revealed that board members in their respective universities are aware of what they are expected to do which is reflected by 3.92. This indicates an agreement amongst the respondents as reflected in the mean of 3.92. Sporn (2003:34) and Bradley (2003:10) encourage individual participation for effective governance.

There was an agreement amongst the respondents as reflected in the mean score of 3.94 that board members prepare before they come to meetings. The responses showed that respondents acknowledge the importance of board meetings as observed by Altibach (2008:18) and Shattock (2002:233) that for effective university governance the board should formulate policies that are in requirements to the needs of a university. This indicates an agreement amongst the respondents that board members come to meetings when they are prepared as indicated in the mean score of 3.90. The responses showed

how prepared their board are in meetings and according to Murphy (2007:40) and Bartos (2004:12), participation and contribution of members in a meeting allow quick decision making.

There was an agreement amongst the respondents, as indicated in mean score of 3.89 that board participate freely in university meetings. As observed by Chacha (2004:8) and Awaleh (2003: 10) free participation helps the institution to reduce strikes and enhances effective university governance.

There was an agreement amongst the respondents as reflected in the mean score of 3.89 board made decisions that were supported by different university managers. According to Kasozi (2003:39) and Waugh (2001:10), decision making and involvement of stakeholders create good environment effective university governance.

There was general agreement with the statement that board takes part in recruiting some university employees and participates in setting policies, and this is reflected in the mean score of 4.16. As observed by Shattock (2003:245) and Baird (2007:101) board should set polices and take part in monitoring and evaluation of the university activities.

There was an agreement amongst the respondents, as reflected in the mean score of 3.90 that the board made plans for the institutions that led to orientation process. According to Dooley (2003:5) the board should be informed of the roles and functions in running the institution smoothly. There was an agreement amongst the respondents, as reflected in the mean score of 3.90. The response shows that board has a responsibility of directing the university and as observed by Abedian (2000:13) board should have responsibility of setting legal ethical obligations to make the university function well. The data in phase 2 reveals that participants had various views on the impact of board participation in management. The following categories relating to board participation in university management were identified: effective communication and responsibility and board leadership.

i.   **Communication and responsibility of the board in university governance**

Findings from table 5.13 indicated that respondents agreed that their board members were aware of what was expected of them. It was reflected by the mean score of 3.92 where board members from

these universities were involved in good governance and perceived their roles, functions and responsibilities. It was agreed that these board members were aware and voiced concern about their roles and responsibilities, power, leadership and practical issues in the governance process that showed effective communication. The studies by Bartos (2004:100); Sporn (2003:34) and Bradley (2003: 5-10) indicate that the quality of a university relies on each employee taking individual responsibility and participation as discussed cf.par 2; 3.1.3. To the contrary, analysis from interviews with the focus group revealed that power of the board was limited to residual powers and deans from University (D) complained: *"The board is not aware of its work and they are not clear of what they are doing and cannot help the university to develop."* Dooley (2003:4-1) and Schumacher (2006:3-6) are also in favour of participation, transparency, delegation and responsibility as factors in maintaining university governance and effective communication.

In addition, similar expression was raised by another participant from University (C) who observed: *"The board being the responsible body in the university, should be given executive functions to the policy."* Gayle et al (2003:63) and Bartos (2003:90-91) suggest that strong transparent and good communication should be maintained for university to function well. From the above discussion, university boards were under strict regulations and this creates a gap in university governance. According to the Universities and Other Tertiary Act, article 48, section (4) the board should take decision on academic, approve the senate and any other matters in the university and in all should be communicated in writing. To the contrary, participants from private universities complained that in their universities, there was no distinction between the board, senate, academic staff and heads of departments. Bradley (2003:15) and Dooley (2003:10) indicate that in the university, the separation of power between the board and the senate should be refined so that both bodies can perform more effectively.

Findings from table 5.13 indicated that the board come in the meeting with well planned agenda and it reflected in the mean score of 3.39. According to the Universities and Other Tertiary Institutions Act section 48, article (3), the board must meet at least once every month for the discharge of its functions and such meetings must be held on the request of the deans or directors or the deputy deans at the time and place determined by the deans or directors.

Arising from the above, board members in public universities followed the regulation of meeting every month and usually the agenda of board meeting was well planned. To the contrary, board members from the private universities rarely send agenda to members for the meeting. The findings are confirmed by Education policy Analysis (2004:16), that the board is the principal policy making and advisory body on all matters relating to and affecting university teaching, research and educational programmes and therefore should meet daily cf.par 2.3.2. Concerning the responses, a participant from University (D) complained that, "*There should be roles according to the constitution but on the other hand the roles have been exercised by the vice-chancellors at the university level. The board should be given power according to the law and should intervene in the university affairs of the university.*" According to Coaldrake et al (2005:5-10); Altibach (2005:16-18); Shattock (2002:233) and Sporn (2003:32-34), a university should formulate policies that meet the requirements and needs of the university.

Findings from table 5.13 indicated that all members came to meetings when prepared as reflected in the mean score of 3.90. This suggested that, members were interested, informed and allowed to take decisions which showed effective communication and responsibility. To the contrary, interviews and focus groups discussions with the deans and heads of departments from private Universities (C) and (D) indicated that some members did not come prepared for meetings and they had this to say: "*We are not sure of what these members do in meetings because we have never seen any action. Some of the members come to sign the attendance and nothing else.*" Kezar and Eckel (2004:37); Bartos (2004:12) and Murphy (2007:40) advise university managers to allow free participation and contribution of members in meetings for better reviewing.

The findings were confirmed by Bartos (2004:12) that university members are advised to develop sound record keeping and reporting protocols and review committee performance and appropriateness on regular as discussed in section cf.par. 2.3.2.2. From the fore going exposition, the responses were supported by Kasozi (2003:98) that universities should create good structures for effective governance of universities as discussed in section 2.3.3.1. Member preparedness indicates easy participation and effective communication.

Findings from table 5.13 indicated that there was participation in discussions by the board as reflected by the mean score of 3.88. It was more noticed in public universities that board members had freedom of discussions and free communication. In this regard participants from University (E) observed: *"We have autonomy and we make decisions. At least we participate in all decisions concerning the board and most of the university decisions are made by us and we are free to communicate."* Kezar and Eckel (2004:48) are in favour of universities having autonomy, free communication and decisions in all the university activities.

To the contrary, in private universities the board was viewed as incapacitated and not able to make decision when it was supposed to do so. A board member from University (D) exemplified the weakness or the lack of authority on the part of the board to make decisions. The board in private universities was just functioning like a screener, looking at what the university wanted but could not even pass any decision because it was still subject to the directors of these universities. This meant that there was no policy made by board and the board did not have authority. This problem has reduced participation of members in most private universities hence creating a weakness on university governance. The member of board from University (B) had this to say: *"After all we are not allowed to talk when the Vice Chancellor is there and since we are working in many universities we can talk where we are allowed to talk."* Chacha (2004:8), Awaleh (2003:16) Hall and Symes (2005:206) advise universities to participate freely in order to stop chaos in universities which has become a threat to effective university governance. The findings were confirmed by Edwards (2000:4) that involvement of board in discussion helps in establishment of structures and processes which enhance effective relationship and effective governance within the as discussed in section cf. par. 2.2.3.

Findings revealed that decisions made by the board were supported by different managers. This statement was reflected by mean score of 3.89. This agreement suggested that there was consultative and participative decision making that allow free communication. This position was corroborated by focus group discussions mostly in public Universities (A) and (E). Interview responses revealed that private Universities (B) and (C) disagreed with the statement that decision making was consultative and participative. In these particular private universities mentioned above, there are dominant managers whose decisions must be implemented without due regard to whether other managers

supported them or not. It was observed that academic decision on core activities, administrative decisions about resource acquisition, allocation and expenditure and accountability to stakeholders; unforeseen challenges and strategic planning was still an obstacle to Ugandan private universities (Kasozi, 2003: 39).

Basing on the findings above participants confirmed that lack of decision making, by stakeholders has caused many strikes in Ugandan universities (Chacha, 2004:8-9). The findings were supported by Gayle, et al (2003:56) that undemocratic situation is likely to create dependency on government's bureaucracy by the universities and dependency might kill the institutional incentives and innovation in governance as discussed in section cf. par. 2.2.6.2. At the same time putting powers and resources in the hands of local communities would promote responsibility and decision making for effective governance in universities (Waugh, 2001:10).

As another way of addressing the same problem deans and students from University (D) complained: "M*ost decisions are made when most of the key administrators are not aware and this case has increased lack of mutual communication between administrative and university staff.*" According to deans' argument, the powers of the senate had become less effective in determining the future changes and direction of universities. According to Awaleh (2003:10); Kogan (2000: 490) the refusal to involve students and staff has resulted into strikes in African universities cf.par.2.2.6.1. Lack of decision making is common in African universities especially Uganda. Additionally, a similar complaint was expressed by deans and heads of departments from University (C) who remarked: "*Lack of delegation in decision processes delays decisions and leads to inefficiency and ineffective university governance because participation by staff and other stakeholders in universities is limited.*" In this regard Shattock (2002:24); Gallagher (2001:2-110) and Hirose (2004:90) indicate that the consequence of governance mistrust can cause inefficiency as democracy and participation are dwarfed when staff is not recognised.

ii. Board leadership in university governance

Findings from respondents from table 5.13 indicated that board takes part in recruiting university staff**.** One on one interviews with the participants from public universities revealed that there were

recruitments by boards and staff recruitment was according to standards and procedures laid down in the staff recruitment policies of these universities. The Universities and Other Tertiary Institutions Act (2001: 46) stipulates that lecturers and instructors must meet standards set by national council regulations; members suggested that some of the academic staff do not meet such standards. To the contrary, in private universities the board does not recruit and in this regard deans from University (D) observed: *"If the university is faced with shortage of staff we cannot recruit when the vice chancellor is there. Our recruitment board cannot say yes or no and this is the situation we are working in."* Shattock (2003:245); Baird (2007:101) and Musisi (2003: 21) call upon university managers to reduce tension, distrust and rigidity within the university managements for proper planning of the university in order to create strong leadership.

This casts a shadow on how private universities utilized the appointments board. Further, the overall academic standards of the university were undermined which needed strengthening the leadership. This seemed to be a serious governance dilemma that should be corrected. Studies by to Abedian (2000: 6); Murphy (2000:41); Allport (2001:2) and Obondoh (2007:7) confirm that the board has a responsibility to set university policies monitor and evaluate the university and should have in built flexibility to reduce on university problems as discussed in section cf.par.2.3.5. According to Kasozi (2003:85), the success of strong leadership will depend on the good management of senior executive as a whole.

From the findings on table 5.13, respondents agreed that board are planning and lead the orientation process which is a sign of strong leadership. This was reflected with the mean score of 3.90 where participants were in agreement with the statement. This was confirmed by Abedian (2000:10) Bartos (2003:101) that every university must have a board because the board sets the university policies and oversees its operating including its financial policies and that having strong leadership means strong university governance as discussed in section cf.par.2.3.5.1.

According to interview responses, board in public universities had a responsibility to create an environment in which opened deliberation on issues on which it took action. This plan of the board leads to easy management and compliance in public universities. Vice Chancellor from one of the University (A) commented as follows: *"The board plays a primary responsibility of ensuring that the university lives up to their legal and ethical obligations to consumers and the public and I think the*

board can play a greater role and they are aware of what they are doing and directing management". This argument was supported by the literature that the board has the responsibility for overseeing or carrying out many of the activities implied by these principles Abedian (2002:12), and Gayle, et al (2003:65) as discussed in section 2.3.1.3.

Similar sentiment was also raised by Dooley (2003:5) that use of boards in management in governance has perceived their roles and functions during the governing process and understanding of governance that has created strong leadership. From the observation public universities in Uganda were more organised than private because in public universities the board is involved in taking decisions. To the contrary, private universities administrators complained that their boards do not plan without the vice-chancellor and most of the time the founder of the university appoints himself the vice-chancellor and decides on every policy made in the university which has weakened the leadership of these universities.

Participants revealed that board from private universities especially University (D) was not aware of the orientation process. Some did not know their roles, the constitution, the vision and mission of their universities, not remembered or understood their powers and participant from university (D) complained that, "*I am not sure of the laws of the university, and I have not read them since I was appointed. It is therefore hard for me to plan for the university."* According to Bartos (2004:102); Sporn (2003:33) and Kezar (2004:399) planning for the university is the foundation of university effective governance and there should be involvement of the concerned stakeholders.

Similar feelings were expressed by participants from University (C) who remarked: "*We are not involved in mechanisms for consultations, consensus building, policy options, open discussion, delegation and spread of authority and concessions and implementation process*". The study findings by Altibach (2005:16) and Gayle, et al (2003:68) confirm that for good governance the board should clearly understand their responsibilities in maintaining effective governance. The same argument is supported by Altibach (2005:18); Shattock (2003:233); Awaleh (2003:10); Allport (2001:9) and Dooley (2003:1) that universities should ensure fairness, transparency, independence and appropriate record keeping if they are to maintain good leadership as discussed in section cf. par.2.3.2.

Findings from table 5.13 indicated that the board provided directions to the university by playing its role. This was reflected with mean sore of 3.90. Participants in public universities agreed that their board gave directions to the management. The subsequent studies by Abedian (2002:13) confirm that the board bears the primary responsibility of ensuring that universities live up to their legal and ethical obligations to the public which is a good response to strong leadership as discussed in cf.par.2.3.4. To the contrary, participants from private universities complained that board members did not give directions to management because some of them were not fully qualified and their directions were objected by the academics saying that board gives ideas which are not successful. However, it was found out that policy development was perceived to be driven by the management other than the board.

Participants from private universities perceived that the management does not open up the opportunity for the members of the board to look at their role as policy makers but rather to provide guidance on predetermined so called policy, that the university initiated earlier. In private universities the board was presented with limited options, mostly only to make adjustments or to provide advice on the recommendations put forward by the management in the almost finalised working prospectus but not involved in leadership. Participants revealed that one academic staff from University (B) commented: *"The board can educate management but their ideas are not successful because the academicians think the members are not qualified. For example the board has good intentions but are resisted and there is a lot of resistance and the board has not been given a chance to express their ideas"*. Bartos (2004:95) and Gayle et al (2003:22-25) call upon university stakeholders to direct all employees responsibly to meet the set objectives in order to have good university leadership.

5.4.3 Obstacles in implementing effective governance

Ugandan universities are faced with many obstacles which are limiting the effective governance. Participants were interviewed on the following to ascertain whether these obstacles were interfering with university governance as stated by Gallagher (2001:210); Murphy (2000:42); Nadam (2008:19); Kogan (2000:49); Chacha (2004:8) and Rao (2001:29) that internal politics, lack of commitment, bureaucracy in management, conflicting values, and culture in the institution, centralisation of

authority, and decision making, insufficient financing to implement decisions, effect of globalisation, increased competition, and insufficient remuneration and low morale are the obstacles and among others that can lead to inefficiency management in universities.

It has been analysed that making decisions in universities is very difficult and this has created a gap in university governance. Lack of free participation has increased more conflicts in these universities and this problem has led to inefficiency and ineffectiveness (Nadam, 2008: 19-20). The analysis was to ascertain whether these obstacles were affecting the universities in sustaining and maintaining effective governance. Table 5.14 gives the analysis of the obstacles met while sustaining and maintaining university governance.

Table 5.14   Descriptive statistics of the university obstacles

	N	Mean	Standard deviation
Internal politics	98	4.19	1.367
Lack of commitment	98	4.36	1.038
Bureaucracy in management	98	4.56	.850
Conflicting values and culture in the institution	98	4.29	1.284
Centralization of authority and decision making	98	4.28	1.361
Insufficient financing to implement decisions	98	4.18	1.334
Globalisation has increased competition	98	4.48	1.613
Insufficient Remuneration and low morale	98	4.27	1.359
Financing higher education	98	4.18	1.365

Given the fact that all mean scores were above 3.51, there was general agreement on all the aspects considered under this construct that universities are faced with the following challenges, internal politics, lack of commitment, bureaucracy in management, conflicting values, lack of decisions insufficient financing globalisation, insufficient remuneration and financing higher education. According to Nadam (2008:20); Gayle et al (2003:5); Murphy (2000:4) and Kreyzing (2002:60) universities are faced with many obstacles that have affected performance.

Respondents revealed that universities are affected by internal politics and this indicates an agreement amongst the respondents, as reflected in the mean score of 4.19. The response indicated that most universities in Uganda are challenged with political interference that influences university governance. According to Chacha (2000:6) and Nadam (2008:20) lack of free internal participation leads to poor performance in universities. Findings by Awaleh (2003:16) indicate that limited participation of employees leads to lack of commitment. This indicates strong general agreement amongst the respondents as reflected in the mean score of 4.36. As observed by Kasozi (2003:8) and Awaleh (2003:16) reduction in staff involvement creates many problems in university governance.

This was evidenced with strong agreement with the statement, as reflected in the mean score of 4.56 that universities are affected by bureaucracy that reduces individual morale and performance. According to Kogan (2000:490) and Waugh (2000:11) bureaucracy reduces morale and interests of staff and also causes disequilibrium in an institution. It was revealed that universities are faced with a problem of conflicting values. This indicates strong general agreement among the respondents as reflected in the mean score of 4.29. The response showed that there was a lot of conflicts in universities and according to Gallagher (2001:22) and Scott (2001:142) to reduce conflicting values and cultures authority and decision should be shared among the staff.

Respondents revealed that centralisation of authority and decision making is still a problem to university governance. The agreement was reflected in the mean score of 4.28. The agreement showed that centralisation and lack of decision making in these universities have reduced staff freedom. Chacha (2004:7) and Musisi (2008:22) indicate that lack of involvement of staff can affect the institution even academically. It was indicated that universities are faced with a challenge of finance and this points to general agreement with the statement, as reflected in the mean score of 4.18. The response showed a general problem on financing universities across the board. Kasozi (2003:28) and Musisi (2003:20) indicate that failure to finance the universities has affected good systems in universities to be in place.

Globalisation registered the highest mean indicating that all the universities interviewed were affected by this challenge. This shows general agreement with the statement as reflected in the mean score of 4.48. This general agreement indicated how globalisation has affected these universities across the

board. As observed by Shattock (2006:40) and Chaka (2007:8) globalisation has become a threat to young universities and they cannot meet this competition.

There was a total agreement among the respondents as reflected in the mean of 4.27 that there was insufficient remuneration and morale. The response showed that there is a lot of insufficient remuneration in the universities leading to low morale. Chacha (2003:6) and Kasozi (2003:21) indicate that insufficient remuneration has forced best academic staff to look for more resources in other countries. The data analysis in phase 2 reveals that participants had various views on the impact of university obstacles as they affect university governance.

From the descriptive analysis in table 5.14, the results show the agreement among the respondents which indicated the mean score of above 3.51. However, the researcher interviewed participants to investigate whether there was corroboration. It was necessary to interview participants to get views from them. Participants were interviewed on the following governance challenges: internal politics, lack of commitment, bureaucracy in management, conflicting values and culture in the institution, centralisation of authority and decision making, insufficient remuneration and low morale, globalisation and insufficient financing to implement decisions. It was important to investigate whether these governance challenges affect developing and sustaining effective university governance. The following categories relating to obstacles affecting universities were identified: lack of delegation, insufficient financing and bureaucracy in management.

i.   Lack of delegation

Findings from table 5.14 indicated that participants agreed that there was no decision making in universities on academic, administrative and accountability to stakeholders. This argument was supported by participants that there was internal political and interference with institutional initiatives, incentives and innovations in governance. Findings by Chacha (2000:2) indicate that, the general absence of culture of dialogue, delegation and joint forums in universities are manifested in rising cases of strikes as discussed in cf.par.2; 2.2. In addition, findings by Gayle et al (2003: 55); Murphy (2000:42) and Kogan (2000:22) indicate that lack of delegation in decision making processes delays decisions and leads to inefficiency and ineffective university governance. Their findings

indicate that the governance process works through functional representation where by groups' power was vested in various committees and only selected or elected members were allowed to participate as discussed in section cf. par. 2.2.1.

On the same issue as indicated by Kreyzing (2002:60); Nadam (2008:20); Chacha (2000:6) and Rahim (2002:113) political 'stage' exists in the universities and such existence permits power struggle or political manoeuvre within these universities and this struggle was witnessed in both private and public universities. However, all struggles within public universalities were subject to the constitution, statute or regulations because not every group has representatives in the governance structure as provided by the laws. In this regard a Vice Chancellor from University (C) noted: *"In terms of governance, in our country there is no university governance. There is a lot of internal and external political interference. For better university governance politics must be separated from the universities. There is no academic freedom, no delegation and political interference or threats are usually not good for the emergence of free, original, creative and motivation thoughts. If our universities are going to play a catalytic role in transforming of our country, they must exercise academic freedom.* According to Chacha (2004:7-8) and Musisi (2003:21) universities in Uganda are failing to perform because there is too much political interference. In support of the above statement Kasozi (2003:29) argues that universities have reduced in academic because of lack of freedom.

Findings indicated that most of the administrators of these universities more especially from private were not committed to their work. The reason being that in private universities there was mismatch between authorities of primary management units. Similar feelings were expressed by participants that lack of commitment reduces decision making and policy formulation, lack of mechanisms for consultation policy options, delegation and open discussions as discussed in cf.par.2; 2.2.2. As another way of addressing this problem, Awaleh (2003:16) and Kasozi (2003:84) indicate that reduction of involvement of staff in universities has resulted into many challenges where governance systems cannot respond appropriately as discussed in section cf. par 2.2.4. Additionally, a similar complains was expressed by deans and heads of departments from University (C) who remarked that, *"Lack of commitment and decision had created management crisis in university governance."* According to Obondoh (2000:3-10), Henkel (2000:28) and Kasozi (2003:85), lack of commitment leads to crisis management.

Similar feelings were expressed by deans from University (D) who remarked: "*Governance deals with a clear vision, role and instruction and all the workers have to walk the talk and everybody must know the mission of the university in order to be committed. The staff lack creativity and innovativeness and to be committed everybody must know the vision and mission of the university.* " On the same point Awaleh (2003: 15) adds that the problems of decision and delegation are common in African universities and have created an obstacle to university governance.   It was indicated that, conflicting values and culture in the institution had become a threat to university governance in Uganda. This was evidenced by agreement of the participants that there were conflicts between managements and the academic cultures which were causing tensions and distrust within the staff and the administration.

According to Kogan (2000:490) conflicting values are a threat to university governance and this has reduced the interests and morale of staff, students and other stake holders as discussed in section cf. par.2; 2.2.6.   In this regard a participant from university (E) observed: "*I have worked in a multinational culture and every where there is conflict it is easy to solve conflicts and we arrive at the consensus. Workers should know what brought them to work and should be governed by the rules and regulations of the university.*" From the above findings it is confirmed by Waugh (2000:11); Chacha (2008:5-10); Kogan (2000:49) and University governance reports (2005:15) that the problem of conflicting values can lead to a great challenge in implementing effective governance in these universities.

It was evidenced that Ugandan universities' administrators, academic staff and student guild do not have authority and decisions in matters concerning university governance. The findings confirmed by Kezar (2004:48) indicate that decision processes are becoming more executive controlled and less collegial, participative and open to scrutiny by many of the university constituencies as discussed in section cf.par.2.6.1. As another way of addressing the same issue, centralisation of authority and decision making has led to the exclusion of departmental level, decision making and the academic interests are being subordinated to the economics of management (Gayle et al, 2003:84).

Similar views were expressed by the deans from universities (C) and (D) who remarked: "*One should know his work and if everyone understands and sticks to their authority and decision, university governance can improve.*" According to Shattock (2002:245); Gallagher (2001:22); Scott (2001:142)

and Kasozi (2003: 97) decisions and authority or delegation should be shared among the university stakeholders for better university governance. Arising from the above findings different stakeholders were affected by centralisation of decision making and lack of decision by the department and staff had reduced the strategy of planning processes and hence affecting effective university governance.

ii. Insufficient financing

Analysis from table 5.14 indicated that both public and private universities had a problem of insufficient remuneration and low morale. The findings from Chacha's study (2004:7) confirm that insufficient remuneration can lead to poor performance which can affect university governance more especially in low developed countries as discussed in section cf. par 2.2.7.1. Participants from University (C) observed: "*Insufficient remuneration has led to poor governance of these universities*". Accordingly, a similar complaint was expressed by a head of department from University (A) who said: "*Quality managers are leaving the universities due to poor pay, lack of guaranteed security and perhaps early retirement*". In addition, the findings supported by Kasozi (2003:29) and Musisi (2003:22) indicate that insufficient remuneration has threatened university governance and this has exposed best academic staff to look for more resources in different countries. This movement has affected academic performance as discussed in section cf.par.2; 2.2.7.

Findings indicated that most highly qualified lecturers were part timing in many universities and this is affecting the quality of university governance due to lack of efficiency. Similar feelings were expressed by a dean from university (D) who remarked: "*Universities are experienced with financial challenges and that's why salaries are not increased and the culture of not paying is slowly but surely turning many academic staff into knowledge hawkers and poachers*". According to Kasozi (2003:85) this problem has reduced good programmes to take off in most universities and the academic members of staff are no longer engaging in meaningful research.

Findings indicated that financing higher institutions was a problem. Studies by Kasozi (2003:28) confirmed that these universities have been forced to operate under very tight budgets which have affected their effective governance as discussed in section cf. par. 2.2.7.1. In addition, the studies by Musisi (2003:20) indicate that the problem of financing higher education has led to financial

constraints which are leading to low levels of education especially in private universities where the government does not finance at all these universities. A similar sentiment was raised by Kasozi (2003:28) that Ugandan universities have failed to put in place good systems and structures that can deliver the quality of education and educational facilities of world class universities due to lack of funding caused by insufficient funds.

Findings indicated that most vice chancellors from private universities were not getting any financing from the government. In this regard, Vice Chancellors from Universities (C) and (D) observed: "*We have limited infrastructure because of this problem and most of our programmes are not catered for because of failure to get financing.*" A similar complaint was expressed by a Vice Chancellor of University (B) who remarked: "*All universities are experiencing financial challenges, the government's contribution is limited, students are not paying the unit cost, government subventions are less than what universities request and what is approved is not what is remitted and this problem has affected us in private universities.*" Chacha (2004:7-8) confirms that some universities are failing to take off because of insufficient financing.

The same sentiment of no funding from government was quoted by Kasozi (2003: 85) that all universities in Uganda are experiencing financial problems, and this has affected their performance. On top of insufficient financing, university governance has been affected by globalisation because many students can get education without permission from their university officials. This is done because students are looking for cheaper education to survive. In this regard a Vice Chancellor from University (C) commented: "*Because of global trends, we are likely to see more and more international universities starting off-shore programmes and campuses in Uganda and ICT capacities are expanding open learning opportunities; this may affect us who have limited technology.*" Kasozi (2003:68); Shattock (2006:40-4) and United Nations Development (2001:40) confirm that globalisation has increased competition which poor countries cannot afford because of insufficient funds.

Globalisation has become a threat to university governance especially in low developed countries. The findings by Chacha (2007:8) confirm that globalisation has affected effective governance and there is a threat that small universities would collapse because of fearing competition as discussed in

section cf. par. 2; 2.7.2. Most universities in Uganda, insufficient funding has demotivated best academic staff and have started poaching more resource from developed countries. Studies by Chacha (2003:6) indicate that insufficient remuneration and low morale due to insufficient funding have affected university governance more especially in low developed countries and have led to poor governance of these universities as discussed in section cf.par.2; 2.2.7.3 (Kasozi, 2003:21-24).

In addition, the findings by Kasozi (2003:21) indicate that most of the employees of these universities are on contractual term that is a danger to management in terms of continuity.   Most highly qualified lecturers are part timing in many universities and this is affecting the quality of university governance due to lack of efficiency. From above foregoing exposition, the participants' responses as discussed in section 2.2. 7.3. Regarding insufficient funds indicate that many universities are affected especially teaching and research. On this score a registrar from university (D) observed: "*Universities are experienced with financial challenges and that's why salaries are not increased and the culture of not paying is slowly but surely turning many academic staff into knowledge hawkers and poachers*". According to World Bank (2000:65) insufficient remuneration has led to shortage of staff in poor countries, poor teaching because of moonlighting, neglect of research, low levels of publishing and increased brain drain.

iii. Bureaucracy in management

Findings from table 5.14 indicated that there was a lot of bureaucracy in management of universities. It was agreed that in these universities that there were a lot of rules and regulations due to bureaucracy which has created a lot of shortcomings in governance like ignoring social interactions, power in decision making and mass movement (Asimiran, 2009:90-91).

The subsequent studies from Gayle et al (2003:85) as discussed in section (cf. par 3.3.4.1) further confirm that   bureaucracy may cause some disequilibrium in many university establishments globally and disequilibrium can lead to tying up power in decision making process in university governance. Similar feelings were expressed by a Vice Chancellor from university (A) who remarked: "*The government's bureaucracy has been found out to be among the obstacles to university governance.*" Gayle et al (2003:92); Ospian (2008:32) and Asimiran (2009:90) indicate that bureaucracy also

reduces struggle for power between interested groups in the university. Kasozi (2003:85) also confirms that bureaucracy does not add human needs to social psychological and self actualisation.

Having discussed the obstacles met while implementing and sustaining effective university governance, it is also note worthy to examine how individual performance can influence the university governance in reducing these obstacles. This is on the basis that the success of determining and sustaining university governance depends on individual performance as discussed below.

5.4.2.1 Individual performance

This section looks at the performance of individual's participation in sustaining effective university governance. Participants were interviewed on how they contribute to the effectiveness and sustenance of university governance. The individual members were aware of what they were expected to do, read minutes, familiar with the university by laws and discussions of individual performance in sustaining effective governance. It is therefore critical to examine the descriptive statistics of individual performance in table 5.43 and discussed in detail below.

5.15 Descriptive statistics of individual staff performance

	N	Mean	Standard deviation
Awareness of what is expected of staff performance	98	3.93	1.542
Review of minutes, reports and other materials	98	4.10	.867
Familiarity with university by-laws	98	3.89	1.566
Maintenance of confidentiality of all matters	98	4.41	5.157
Freedom of opinion	98	3.93	1.542
Unity of objective	98	4.00	1.005
Promotion organisational work in the community	98	3.70	1.430
Effective communication	98	3.91	1.540

Given the fact that most of mean scores were above 3.51, there was general agreement on all the aspects considered under this construct that individuals are aware of what they are expected to do, read minutes, maintain confidential matters, raise matters in meetings, support decisions made,

promote the work of the university in the community and are informed about relevant issues. According to Shattock (2002:243); Kezar and Eckel (2004:376) individual performance increases responsibility and easy management of the university.

Respondents revealed that individuals were aware of what they were expected to do. This indicates an agreement amongst the respondents as reflected in the mean score of 3.93. The response showed that some individual staff members were aware of what they were expected to do. As observed by Bradley (2003:4) and Kezar & Eckel (2004:299) involvement of individual members in university governance increases decision and improves effective governance. Also, there was a general agreement amongst the respondents as reflected in the mean score of 4.10 that members constantly read minutes and reports. As observed by Schumacher (2006:3) and Minor (2003:970) constant and frequent communication increase individual performance in university. By reading minutes and reports indicated that individual members were familiar with university bylaws. This points to an agreement amongst the respondents as reflected with the mean score of 3.89. The response showed that members are familiar with the university bylaws. According to Chacha (2005:351) and Trackman (2006:67) being familiar with university bylaws creates strong leadership in a university.

There was a general disagreement with the statement as reflected in the mean of 4.41 that members were concerned of the university confidential matters. In response to the disagreement, Bartos (2004:10) and Kasozi (2003:91) indicate that on training of staff makes decision easy and helps staff to observe confidential matters. On top of that members indicated that they were free to raise their opinions. This points to an agreement with the statement as reflected in the mean score of 3.93. The response showed that some members were free to raise their opinions as a requirement in university governance. According to Stanton (2002:60) and Gallagher (2001:10) allowing decisions reduce inconsistence in academic freedom.

Respondents also revealed that once decisions are made all members support them. This shows general agreement with the statement as reflected in the mean score of 4.0. The general agreement meant that members supported decisions once made and that's why the response had a high agreement. As observed by Edwards (2000:4) and Sporn (2003:32) employees effective communication makes the work of the university easy. At the same time freedom to support decisions

helps members to promote their organisation in the community. This shows general agreement with the statement, as indicated in the mean of 3.70. The response indicated that members promote the work of the university in the community to strengthen stakeholder involvement. Stanton (2003:32) and Gayle et al (2003:56) show that promoting work of the university in the community increases stakeholder contribution and participation. Respondents also revealed that they were informed on university relevant issues. This points to an agreement with statement as reflected in the mean score of 3.91. The response indicated that members were informed on university relevant issues. As observed by Kasozi (2003:8); Bartos (2004:85) and Trackman (2008:64-68) fairness and independence of individuals create free participation and effective university governance.

Findings from phase 2 to some extent support the findings in phase 1 and add insight into the views of participants. Participants believed that individual participation can maintain and sustain effective university governance. The following categories relating to individual participation were identified: policy development, individual participation and promotion of organisation work in the community.

i. **Policy development**

Findings from table 5.15 indicate that members were aware of what they were expected to do in their universities. This was confirmed by Bartos studies (2004:90) that the university employees have several roles they play and such roles are related to university directions, policy development such as, strategic plan development, financial accountability and the university roles to national development and that good governance requires all employees to think carefully about their decisions and actions and to be interested and active in management as discussed in section cf. par. 2; 3.1.3.

Nevertheless, the lines delineating roles were ambiguous and had been contested by both the university administrators and the board. In concurrence with the above expression, deans from Universities (D and (B) observed: "*In our university, deans and heads of department are not given authority in deciding on some programmes like staff selection, planning and allocating budgets, formulating the academic policies and determining goals and work plans for the university*". Bradley (2003:4); Dooley (2003:5) and Kezar and Eckel (2004:399) confirm that reduction of involvement of staff in university policy formulation has become a problem in private universities and such situation

creates a vacuum in university governance because employees should be empowered to be more responsible and take part in developing policies.

Members also should take time to read materials, reports to understand policies. The subsequent studies by Stanton (2007:61) indicate that effective communication is a good dimension of governance as discussed in section cf. par. 2.3.1.2. To the contrary, it was not apparent whether the information communicated in these minutes, reports and other materials added value to governance of the university. As observed in the foregoing, one board member from the public University (A) observed: "*Th*e *chairman and the secretary are obsessed with document generation but never referred to them when implementing decisions.*" Similar feelings were expressed by a dean from University (C) who remarked: "*Minutes are a necessary formality to indicate that documents existed and were circulated to members.*" Schumacher (2006:3) and Minor (2003:970) argue that frequent and consistent communication to all staff about their policies and objectives improve individual performance in universities.

Findings revealed that minutes of one of the university's management in University (D) meeting revealed that same issues were discussed every time they met over a period of one year. In this regard a dean from this university remarked: *The academic registrar's report about the insufficiency of furniture, poor grade exams, lecturers not marking, cheating exams and time management were recurring in our minutes.*" This suggested that reading minutes, reports and other documents did not add value to the university's decisional processes and action since they did not seem to be implemented. According to Schumacher (2003:5-10) and Stanton (2007:61-64), decisions should be consistently implemented to improve governance of the university.

Universities have a right to make their own regulations that govern their internal operations and their interface with the rest of the world Universities and Other Tertiary Institutions Act, (2006:34). The findings indicated that members were familiar with the bylaws and by extension therefore universities studied had bylaws in place. In public universities, these by-laws were strengthened by central government laws. The findings confirmed by Chandan (2005:351) indicated that familiar with the laws shows strong leadership in a university where all the senior managers should walk the talk modelling good governance as discussed in section cf. par. 2.3.1.

Participants emphasised that most universities followed these bylaws more especially public ones. For example, policy making on fixing fees, approval of university budget, approval of senior officers and admissions. On the contrary, one dean of a private University (D) observed: *"Our rules are not written down and it is hard to follow what is not written."*

Similar complain of a head of department from University (D) commented: *"If the university had written down by-laws, known by the key staff, would have greatly improved governance and presently all policy matters at each and every level of management are addressed to the Vice Chancellor."* Similar feelings were expressed by the registrar who remarked: *"It is important to understand rules and regulations but for our university, it is different so long as the Vice Chancellor is there and there are no rules governing the university."*

Kasozi (2003: 86); Trackman (2006:64-67) and Austrian National Audit Office (2003:1-2) confirm that lack of written policies create unnecessary delays in performance of university work and creating friction between the staff and the university and therefore, these rules and regulations are a requirement. Findings indicated that participants could not keep confidential matters. The studies confirmed by Bartos (2004:10) indicate that value defines the standard of behaviour required by staff and cover issues related to university governance such as; recognising conflicts of interest, maintaining confidentiality, complying with the law and university directions and reporting unlawful or unethical behaviours through proper channels as discussed in section cf. par. 2.3.1.4. Similar feelings were expressed by deans and heads of department from Universities (C) and (D) who remarked: *"On every piece of information, we are behind the news. How can we reveal what we do not know? Our organisations are full of grape vine and our tongues are not controlled and no policy on confidential matters."* Similar sentiment was raised by Kasozi (2003: 90) and Centre for Higher Education Policy Analysis (2004:30) that good governance in universities is enacted through the behaviours and actions of staff at all levels as they contribute to the efficient, effective and ethical delivery of their university goals and plans of university to effect results. It is essential to provide on-going training and support to staff responsible for policy implementation and programme. cf. par. 2; 3.1.4.

ii. Individual participation

Findings from table 5.15 indicated that members were free to participate in meetings. Basing on the findings, it seemed there were some comprehensive and flexible systems where universities recognized the importance of having flexible and compliant decision making of employees. Studies by Bartos (2003:90) indicate that strong transparency and well communicated governance mechanisms like risk and fraud plans, human resource mechanism, together with emphasis on integrity and ethics combine to form the cement which binds together the other characteristics needed for university confidence as discussed in section cf.par. 2.3.1.2. In addition studies by Stanton (2007: 60) indicate that raising opinions allow free participatory which is a good approach to achieving a common objective.

On the contrary, not all universities were allowed this free participation. Deans from Universities (D) and (B) remarked: *"We are not allowed to raise our opinions anyhow without consultation from the Vice Chancellor and in our universities, there is an issue where decisions and authority are centralised."* Studies from Kezar and Eckel (2004:376) confirm that centralisation creates inconsistence in academic freedom and general performance of the university. In this regard Shattock (2002:31); Gallagher (2001:10) and Hirose (2004:90) argue that centralisation has increased hostility more especially in big institutions that employees are not recognised.

Additionally, a similar complain was expressed by deans from University (A) who remarked: *"Government sets all the rules and regulations and we are not allowed to raise the issues freely and both public and private universities are facing this problem of raising issues affecting our universities."* According to Kogan (2000:48); Chacha (2000:2-5) and Nadam (2008:20) the general absence of culture of dialogue and forums in our universities is a manifestation of cases of unrest.

Findings also indicated that participants decisions are supported once made. This suggested that there was collective responsibility, participation, commitment and cohesion. This meant that participation in governance was a term of particular relevance when desired outcomes could not be achieved by one body or organisation operating alone. When decision making process or outcomes are shared with others it is of great importance in modern university governance (Kasozi, 2003:46). Findings from Edwards' study (2000:4) indicate that supporting decisions is a basis of clearly understood

roles and responsibility and for better governance universities should introduce a range of tools and systems to enhance their compliance and decision making processes cf.par.2; 3.5.4.

On the contrary, findings indicated that participants from private universities identified a problem of free participatory and there was lack of mutual communication between students and administrators and other stakeholders which has created a mismatch among administrators. In this regard students from University (D) complained: "*Lack of involvement of students and administrators in decision process leads to negative reactions and hostile reception of university policy positions and that's why now strikes are common in our universities*."

Similar feelings were expressed by Schumacher's study (2006:3) that the quality of the university governance relies on each employee taking individual responsibility. Also Du Preez (2000:27); Bartos (2004:90); Sporn (2003:32) and Bradley (2003:5) argue that lack of effective communication creates a gap in university governance because communication is a strong value in maintaining and sustaining effective university governance and advises university managers that building institutions involves having a planned vision of a set of priorities as discussed in section cf. par 2.3.1.3.

iii.   Promotion of organisation work in the community

Findings indicated that university members promoted the work of the university in the community. In this regard Stanton (2003: 33) and Gayle et al (2003:107) argue that the success of the university depends on the community and vice versa. This argument was supported by literature that for better outcomes, communities should be consulted at an early stage in the development of a university and to ensure flexible budgets as discussed in section 2.3.4.1.Participants agreed that universities in Uganda have created relationship with the community and universities are encouraged to contribute to national targets. The good perception of the organisation should be perceived in the community (Trackman, 2008:65). On the same point Gayle et al (2003:25) indicated that the university is committed to ensuring that care which is delivered is done so through staff and community who have the right skills, attitude and knowledge needed to deliver a first class service.

In addition similar expression was raised by Gayle et al (2003: 108) and Stanton (2003:32) that promoting work of the university in the community creates an opportunity to bring together appropriate interventions where joint work force would optimise resource, and social care users and stakeholders of both services. Similar feelings were expressed by a Vice Chancellor from University (D) that, *"The community is acting as a source of marketing because students, materials and staff come from the community and so we cannot avoid it and we cannot do without it. So I expect every member of the university to promote the university in the community."* Henkel (2008:29) and Trackman (2008:71) confirm that a strong attachment between the community and the universality ensures management and coordination of the university.

Findings also indicated that members were informed about relevant issues concerning the university, community and their responsibility to bring together the two. In this regard Trackman (2008:78) indicated that these universities should have effective communication and should the community of the university development and new changes as discussed in section cf. par. 2.3.1.4. Similar feelings were expressed by Scott (2001:14); Musisi (2003:20) and Bartos (2004:85) that clear on-going training communication about the university's governance requirement needs to be coupled with strategies that encourage cultural change where required.

In both public and private universities, there are university members of staff that were not aware of their responsibilities in maintaining effective university governance. Findings from the deans and heads of department from Universities (B), (C) and D indicated some individuals are not receiving information: *"In our universities there is no fairness, transparency and independence until may be there is separation of ownership from management in private universities."* As another way of addressing this problem (Kasozi 2003:8) indicated that members of the university are supposed to be part of good governance behaviour and demonstrating a commitment to achieving governance objectives through acceptable processes. On the positive side, there is need for individuals to participate if universities are to maintain quality university governance (Trackman, 2008:68). Having discussed the contribution of individuals in implementing university governance, it is important to discuss the quality of the university risk management and internal controls in maintaining and sustaining university governance. Quality of the university risk management and internal controls are discussed in detail in section 5.4.2.3.

5.3.2.2 Quality of the university risk management and internal controls

This section discusses the quality of risk management and internal controls. For effective governance, university management should review the effectiveness of the committees, follow an approved budget, sticking to well established procedures, discussing processes for financial reporting, adequate accountability, reviewing integrity of financial statements, reviewing external auditor independence. According to Shattock (2003:244); Musisi (2003:23); Scott (2001:14-15) and Baird (2007:101) the success of the university governance will depend on how the university controls the funds and respect the budgets. The analysis of quality of the risk management is given in the descriptive statistics in table 5.16. The quality of the risk management and internal controls will further be discussed under various subsections in details below.

5.16   Descriptive Statistics of quality risks management

	N	Mean	Standard deviation
Governance committees review the effectiveness	98	4.10	1.425
The risk management procedures have compliance procedures.	98	3.59	1.092
All university expenditures follow an approved budget	98	4.10	1.447
Management sticks to well established procedures	98	4.21	1.387
Management controls have significantly reduced fraud	98	4.21	1.349
The Audit committee usually discusses processes for financial reporting	98	4.24	.838
Our risk management function is highly facilitated	98	3.99	1.509
Governance committees continuously review the present risk management strategies	98	4.15	1.097
There is adequate accountability on each shilling spent	98	3.92	1.558
Audit committee continuously reviews integrity of financial statements	98	3.89	1.526
The Audit committee continuously reviews external auditor independence	98	4.05	1.460
The Audit Committee is continuously consulted when appointing external auditors	98	4.14	1.407

The findings indicated that the quality of risk management and internal controls in universities were high. The mean indicated agreement considered under this construct. This was because the majority mean was above 3.51. The analysis indicated that governance committees reviewed the effectiveness, have compliance procedures, follow the approved budget, sticks to established procedures, management controls fraud, there is audit and financial reporting, risk management committee is highly facilitated, committee reviews the risks, there is accountability, reviews integrity of financial statements reviews external auditor independence and consulted when appointing external auditors. According to Lambardi, Crag, Capaldi and Gaten (2002:20) and Abedian (2006:6-10) the quality of risk management and financial control depends on the above identified characteristics

Respondents revealed that their governance committees reviewed the effectiveness. This points to general agreement with the statement, as reflected in the mean score of 4.10. The response showed that these universities, reviewed governance committee effectiveness. As observed by Coaldrake et al (2005:5) and Naidoo (2002:117) reviewing committee structures improves the quality of managing finance.

There was significant proportion of unsure respondents emphasising the ambivalence in the group as reflected in the mean score of 3.59. The agreement indicated that these universities have procedures of managing risks though majority was not sure. According to Du Preez (2000:27) and Shattock (2006:245) good record keeping as a procedure reduces management risks. Participants indicated that approved budgets are used. This indicates general agreement as reflected in the mean score of 4.10. The general agreement indicated that these universities follow the approved budgets. As observed by Rahim (2002:115) and Pierre (2000:57) following the budget properly leads to correct financial behaviour.

Findings also indicated that universities were sticking to well established procedures. This shows general agreement with statement, as reflected in the mean score of 4.21. Respondents responded in this way to indicate that sticking to well established procedures reduces risks in finance as indicated by Bartos (2007:50) and Trackman (2008:68) that sticking to procedures improves financial mismanagement. This indicates an agreement with the statement, and this is indicated in the mean score of 4.21. The response showed that university management put controls that reduce fraud.

According to Pott (2000:25) and Bartos (2004:59) flexibility and transparency help university management in controlling fraud.

It was found out that these universities had processes for financial reporting. This points to a general agreement with the statement as reflected in the mean score of 4.24. There was a general agreement indicating that audit committees discuss processes for financial reporting. As observed by Pott (2000: 25) and Woods (2001:10-11) that discussing processes for financial reporting improve internal financial control. Findings indicated that risk management was facilitated to manage accountability. This indicates an agreement amongst the respondents as reflected in the mean score of 3.99. Response indicated that facilitating risk management is a guide for strengthening accountability as observed by Abedian (2000:6) and Naiddo (2000:18-20). It was found out that universities review risk management strategies. This shows general agreement with the statement as reflected in the mean score of 4.15. This response indicated how universities use governance committees to review risk management strategies. Gayle et al (2003:56) and Nadam (2008:85) argue that reviewing management strategies creates autonomy and decisions that enhance performance.

Findings indicated that universities had adequate accountability. This shows agreement with the mean score of 3.89. Response indicated that universities should have adequate accountability for effective governance. Naidoo (2002:120) and Abedian (2000:25-27) argue that financial reporting and transparency can lead to adequate accountability. In the same view findings showed that universities had both internal and external audit committees. This indicates a general agreement with statement, as reflected in the mean score of 4.05. The response indicted that these universities are independent in reviewing audit committees. As observed by Dooley (2003:14) and Du Preez (2000:28) both internal and external audit committees should be given their independence to perform.

Findings also indicated that universities consult when appointing external auditors. This points to general agreement with statement, and this is reflected in the mean score of 4.14. The response indicated that these universities consult when appointing external auditors. As observed by Woods (2001:60) and Naidoo (2002:122) appointing trained auditors leads to good auditing committees and easy handling of money in a university.

Findings from phase 2 to some extent support the findings in phase 1 and add insight into the views of participants. The following categories relating to quality risk management on developing and sustaining effective university governance were identified: management procedures, accountability and audit committees.

i. Management procedures in risk management

Findings from table 5.16 indicated that governance committees of universities reviewed the effectiveness of management for appropriate governance. Participants agreed that they had governance committee structures which emphasised academic freedom, and autonomy, enhance performance in terms of added value to student education and academic advancements, and to ensure public accountability, social responsibility, transparency, ethics and professionalism. The studies by Coaldrake, et al (2005:5) indicated that the appropriate governance committee structures allow easy decision making in universities and therefore effective governance as discussed in section cf. par.2; 3.5. From the analysis it was found out that universities had typical committee structure, effective structures and audit committees. From the fore going exposition,   there seem to a contradiction with results from table 5.16 and a registrar from University (C) who observed: *"Our structures are not well organised and we think they   need   re-organisation but the Vice Chancellor is everything because he chooses the board, the council and is the final man."* According to Bartos (2003:80); Abedian (2000:6); Gayle et al (2003:63) Henkel (2000:28); Musisi (2003: 101); Kasozi (2003:84) and Naidoo (2002: 117) well organised structures and management procedures improve the quality of the university management and financial control.

From the observations made, private universities looked disorganised and some officers had many positions like one being Academic Registrar, Human Resources Manager, Registrar Administration and Secretary to the Senate, in addition to being related to the Vice Chancellor. This information showed the researcher that the system of governance of some private universities was not in order. Therefore, there was need to restructure their management structures and procedures for easy university governance. Findings indicated that participants were not well conversant with the current management procedures and compliance assurance systems. Most of the participants were not sure whether their universities had comprehensive risk management procedures.

Findings show that some participants were not sure of the policies of the university and were not sure whether their universities had accountability procedures. When the administrators of these universities were asked of their departmental objectives, heads of department from University (D) commented: *"To be sincere we are not aware of the risk management as far as university governance is concerned."* According to Du Preez (2000:27); Naidoo (2002:118) and Shattock (2000:245) universities need good record keeping reducing financial risks and increase accountability. This showed a gap in the governance of these universities and the universities had no approaches to achieving the objectives of their universities. The sub sequent studies by Bartos (2003:80) indicate that, compliance and assurance systems are the principles of sound practice that should be considered by every organisation or university as a guide for strengthening its effectiveness and accountability as discussed in section cf. par. 2; 3.5.4.

Findings showed that universities followed an approved budget. Participants agreed that universities had a correct financial behaviour which helps them to create, store and deliver quality knowledge, research and teaching. This argument was in agreement with Paulo (2002: 93); Rahim (2002:115) and Schutte (2000:78) that universities should follow their budgets in order to link the budget to policy, preparing the budget in time and performing internal control and audits and should follow the right procedure in making and approving the budget. Similar sentiment was also raised by Kasozi (2003:97); World Bank (2000:25); Abedian (2000: 9); Pierre (2000:57) and Fourie (2000:480) that universities which do not budget well have been registering a decline in student enrolment and this shows lack of correct financial behaviour. To maintain effective university governance, universities should have approved budgets, correct financial behaviour and academic staff should be funded well since they determine the quality of education cf. par 2; 3.3.2.

On the contrary, deans and heads of department from private universities especially University (D) expressed different views. One remarked: *"Budgets in our university have no meaning because workers are not paid in time and some of us are soon transferring to public universities where the budgets are respected and workers are paid."* Shafritz and Russel (2005:476) and Pott (2000:26) argue that universities should maintain approved budgets to avoid inconsistency in their university governance and good procedures should be followed.

In reference to good procedures participants agreed that their universities complied with procedures when recruiting the staff, awarding degrees and procedures to measure the academic performance. In contrast, these participants who agreed that their universities complied well with established procedures were from the public universities because in Uganda procedures are set by the government. In this regard, a Registrar from University (D) commented: "*There are many problems concerning the establishment of procedures like admission of students and recruitment; management does not know its work, the senate does not know its work, the Vice Chancellor, and the deans, and nobody sticks to their authority; people are crossing their boundaries*." Similar sentiments from Naidoo (2002:118); Sporn (2003:35); Trackman (2008:64-68) and Bartos (2007:40-50) indicate that for the universities to maintain effective university governance management should stick to established procedures to identify risks and monitoring and evaluating risks as discussed in section cf. par. 2; 3. 5.2.

On the question to whether management controlled resources to reduce fraud, participants agreed that universities in Uganda have audit controls. It was found out that most of these universities had audit committees that were important tool in identifying and monitoring risks to the universities. The findings supported by Naidoo (2002:12); Pott (2000:25); Abedian (2000:10-15); Du Preez (2000:22) and Woods (2001:10) indicate that audit committees are very important more especially in operating the university.

Similar sentiment was raised by Pott (2000:21-25) that, audit committees ensure adequacy, reliability and accuracy for information as indicated in section cf.par 2.3.3.2. In contrast, deans of Universities (C) and (D) commented as follows: "Our *universities lack flexibility, transparency, good governance mechanisms like risk and fraud plan, lack of budget committees, audit committees and structured human resource mechanism.*" Bartos (2004:59); Schumacher (2006:3-10) and Performance Report 2004:4) argue that lack of flexibility and transparency lead a university to financial risks. And universities should set right procedures to fight against fraud to avoid risks in university management.

ii. Accountability

Findings from table 5.16 indicated that risk management function was highly facilitated and this was in agreement with response of the high percentage given. The findings from Gayle (2003:13); Naidoo (2000:118) and Bartos (2003:90) indicate that risk management is considered by universities as a guide for strengthening their effectiveness and accountability to have good university board of directors, strong financial oversight policies and responsible fundraising policies.

Similar findings by Abedian (2000: 6) indicate that universities should have a board which sets the university policies and oversees its operations including its financial policies to maintain normal accountability as discussed in section cf.par.2; 3.5.1. On the contrary, findings from private universities indicated that powers of the board were limited. This limitation has reduced the maintenance of effective and efficient systems for raising and maintaining, accountability, compliance, and risk management as key components of university governance. In this regard a board member from University (D) commented: *"Our board is incapacitated and we are not able to make any decisions when we are supposed to do so especially when it concerns finance; on this point we lack authority and our hands are tied."* According to Naidoo (2002:117); Shattock (2002:235) and Gayle et al (2003:65) a well governed university should regularly check its accountability to reduce risks.

Findings indicated that to some universities, governance committees continuously reviewed the present risk management strategies to sustain universities accountability mechanisms. Most participants were in agreement that universities had structures that emphasise academic freedom and autonomy, enhance performance in terms of added value to student education and academic advancement, and ensure public accountability, social responsibility, transparency, ethics and professionalism. It was found out that in private universities the senate and the council had no say and decision making is limited. Deans and heads of department from university (C) and (D) commented: *"We have no autonomy to make decisions and out of a hundred decisions that need to be made by the university we pass like 5% and only concerning academics. The majority of the decisions and policies are passed by the Vice Chancellors and for us we follow."* Gayle et al (2003:56); Murphy (2000:42);

Nadam (2008:24-25) and Kreyzing (2002:65) argue that university employees should be given autonomy and decision in order to enhance performance.

Kasozi (2003: 103); Kogan (2000:48) and Nadam (2008:24-25) advises private universities to have committee structures in order to run the work of the university smoothly as discussed in section cf.par.2; 3.4.2. Kasozi (2003:33); Bartos (2004:90) and Pierre (2000:57) maintain that developing a strong internally vigorous and instructionally university leadership based on typical committee structures requires depersonalisation flow of authority.

Findings indicated that in some universities there was a clear accountability mechanism. However, this was evidenced more in government universities where the government requires universities to make annual reports and audited financial statements after the end of each year. Findings supported by Schutte (2007:7); Pott (2000:25); Naidoo (2002:120); Abedian (2000:25) and Du Preez (2000:28) indicate that clear accountably provides an objective and independent review of the financial reporting of the university and ensures transparency and accountability in the use of financial as discussed in section cf. par. 2; 3.5.3.

On the contrary, interviews indicated that private universities were doing the opposite of the public universities where finance was in the hands of the owner or the founded body. This had created a problem in these private universities because decision was taken by owners who were the signatory of all the finances. In this regard deans from Universities (C) and (D) had this to say: "*Universities should appoint external auditors to conduct an audit of their financial statement and the government should provide the structure and frame or assistance so that these universities can achieve their objectives*." In this regard findings by Dooley (2003:14); Schutte (2007:7); Burke and Associates (2004:4) indicate that universities to maintain effective governance should have good accountability mechanisms, a adequate accountability is a best tool for maintaining finance in a university.

iii. Audit committees

The findings from table 5.16 indicated participants agreed that their universities had audit committees and these committees usually discuss processes of financial reporting. However, according to

participants' views and the observations made, private universities had less power in discussing and reporting the finance. Registrars from University (D) commented: "*We have never seen any audit committee in our university. Our Vice Chancellor and his wife are the signatories and meetings are held in their home and therefore there is no financial reporting.*" Additionally, a similar complain was expressed by a dean from University (C): "*Our University has no audit committees.*" According to Abedian (2000:10); Pott (2000:25) and Woods (2001:10) lack of audit committees can reduce effective governance of universities because audit committees are responsible for overseeing university's risk management and internal control frame work, its accountability and other legislative compliance responsibilities.

Similar findings were supported by Woods (2000:9-15); Abedian (2000:9) and Naidoo (2002:120) that audit committees are very important in operating a university where an audit committee plays a pivotal role in the governance frame work of running both public and private universities as discussed in section cf. par. 2;3.5.3. It was found out that private universities lacked accuracy of the finance and openness which is creating a big vacuum in governance of these private universities and therefore leading to lack of sound expenditure management and effective external control system.

Findings showed that, audit committee continuously reviewed external auditors' independence. Where as in public institutions the auditor general's office was presumed to be independent, the independence of external auditors in private universities should be reviewed regularly. However, focus group discussions indicated that the independence of external auditors in private institutions was not guaranteed. Kasozi (2003:46) and Du Preez (2000:28) advise universities to continue using internal and external auditors and give them their independence to do their work and this freedom will improve performance of these universities financially.

During focus group discussions with heads of department of University (D) and (C), they stated as follows: "*The Vice Chancellor appoints the auditors unilaterally and such auditors are not answerable to the audit committee. This being the case, therefore, the audit committees cannot review independently*". This raises serious university governance problems since the audit committee cannot be independent. Dooley (2003:14) gives an example of New South Wales University as having good accountability mechanisms which has helped this university to have effective governance and he

advises universities to have financial reporting every year and allow committees to work independently.

As governance organs are undermined, in such a situation there is no proper accountability since the terms and conditions of external auditors are set by the Vice Chancellor who is at the same time the university's chief executive. This creates a serious accountability problem and undermines the governance of the university.

Findings across universities show that most universities did not consult audit committees when appointing external auditors. This was corroborated by the findings on committees reviewing auditors' independence above. Whereas this phenomenon was well understood with government universities in Uganda where by law, the external auditor was the government's Auditor General or appointed qualified auditors, it was not clear why private institutions did not consult (Universities and Other Institutions Act, 2003:80-85).

 One board member of a private University (D) interviewed had this to say: "*University administrators usually appoint external auditors and keep them on retainer basis. Further, these auditors are not appointed on regular basis. Where external auditors are appointed, they are administrators, who are in charge of the day to day operations of the university.*" According to Pott (2000:25); Abedian (2000:15) and Woods (2001:60) having good auditing committees can help the university to control its resources systematically. Similar sentiment was raised by Naidoo (2002:122); Du Preez (2000:25) and Woods (2000:10) in support of audit committees for better financial control.

Having discussed the organisation structure, characteristics of the university board, quality of the risk management and participation in management by the board as the indicators for university governance and the obstacles affecting governance, it is important to suggest a model that can suit Ugandan universities to reduce the above obstacles. Below is the model that can suit Ugandan universities discussed in section 5.4.3.

5.4.3 Suggested governance model in Ugandan universities

On the question which model suited their universities, participants suggested various alternatives in regard to the best model. Some of the participants opted for bureaucratic model because it has stipulated rules and regulations and provides systematic control. Others suggested shared model and gave reasons that there is cooperation and frame work, team spirit among the authorities of management, community based, free participation, avoids dictatorship and simplifies work.

All these answers showed that these universities had no single model but were using several of them without knowing which specific model they had in their universities. On the question of the appropriate model for the future university, majority opted for the stakeholder model where the interests of the students, staff, and society and university management are given attention. Members mentioned features like, evaluation of service, motivation, continuous training, and promotion of division of work, equality, involvement of all members, accountability, and transparency.

Participants indicated that having transparency and correct financial behaviour can lead to institutional sustainability, knowledge transfer, staff and human resource development, institutional projects, good leadership and research output. This indicated that participants had ideas of the university models but lacked the knowledge of applying them and that's why they suggested stakeholder model that places the values, attitudes and expectations of both internal and external members of the university. The model suggested that involvement of stakeholders, accountability, transparency, staff empowerment improves university governance. Having these factors in place can lead to institutional sustainability, knowledge transfer, academic profile, financial health, infrastructure, good leadership and improved research. These indicators can motivate stakeholders to have good attitudes, values, expectations and level of global integration. The model that suits Ugandan universities is illustrated in figure 5.1 below:

Figure 5.1 An appropriate model for governance in Ugandan universities

Elements for effective governance

i. Involvement of stakeholders
ii. Accountability
iii. Transparency
iv. Equal representation
v. Staff empowerment

Indicators of effective governance

i. Institutional sustainability
ii. Knowledge transfer
iii. Academic profile
iv. Financial health
v. Infrastructure
vi. Staff and human resource Development
vii. Institutional projects
viii. Leadership and management
ix. Research

Modifying factors

i. Attitudes
ii. Values
iii. Expectations
iv. Globalisation

Effective university governance is affected by a number of factors that governors should be aware of. For effective university governance in Uganda, I recommend that the following elements be enshrined in the model as identified in figure 5.1 above:

i. **Involvement of stakeholders**. To achieve a common goal stakeholders like students, academic staff, alumni, and the public should be involved. This is done in order to create better outcomes to the community. Independent stakeholders constitute the formal participants in university governance structure. Issues such as academic freedom, institutional accountability, quality, peer review, authority and responsibility, information flow, participation and budget allocation given priority.

ii. **Accountability**. Different forms of accountability should be implemented such as preparation and publication of annual reports, internal control systems, and audit and publication of financial statements every year.

iii. **Transparency and equal representation**. This ensures free participation of individuals, social responsibility of members of the university. Transparency ensures academic freedom and autonomy that leads to better performance.

iv. **Staff empowerment**. Good governance requires that employees participate in decision making and in the management processes.

The above elements may be influenced positively or negatively by factors such as the following:

i. Attitudes.

ii. Values.

iii. Expectations.

iv. Level of global integration.

University governors should ensure that there are modalities for evaluating performance of the university. Factors to be considered in performance evaluation should meet the following criteria:

i. They should be critical to the success of the institution.

ii. Strategic, i.e. high level and of interest to governors.

iii. Relevance to the institution in terms of both institutional goals and community expectations including, inter alia, regulatory bodies, students, alumni and employers.

iv. Covering the areas of strategic activity and risk which governors need to monitor on a continuing basis to ensure that university governors achieve the set goals.

The following indicators should be used to assess whether the university is governed effectively or not and realign its structures, processes, systems and procedures to ensure they are achieved:

i. **Institutional sustainability**. Should look at the university being able to meet its current and futures objectives in terms of ability to attract and retain quality staff, students and continuous flow of funds.

ii. Knowledge transfer should consider systems, processes and structures of knowledge transfer in the university.

iii. **Academic profile**. Concern should be about the academic quality of staff in terms of numbers of professors, PhD holders, holders of certified skills; lecturer-student ratios, length of experience among others.

iv. **Financial health**. Funding university projects, linking budget to policy making, formulating a proper expenditure framework, managing cash and monitoring expenditure, accounting and proper reporting and performing internal controls.

v. **Infrastructure.** Buildings, library, laboratories, lecture rooms, furniture, computer systems, instructional technology for better delivery.

vi. **Staff and human resource development**. Continuous development of staff both in administration and the academia. For example, the programmes for continuous staff development, motivation and career growth.

vii. **Institutional projects**. Projects initiated by the university which can sustain its operations and add value to the spectrum of services offered by the university to the community.

viii. **Leadership and management**. Building effective leadership and management systems within the university including, inter alia, communication channels, staff empowerment in decision making, and equal representation. The model allows authentic leadership, effective use of information and this leadership requires the development of a personal vision based on individual identity and goals and a continuously perceived link between organisational needs.

ix. **Research**. Ability to attract grants for research, timeliness of completing research projects, practical application of research results like new products, revenues streams from new research outputs.

Involvement of stakeholders ensures appreciation of different values and interests that can be incorporated within the strategic processes of the university. This creates systems, processes and procedures that are adaptive and responsive to globalisation, like the use of information technology to make university programs and facilities more accessible, inter-university exchange programmes for students and administration, research and paradigm shift in service delivery to meet global standards.

5.5 SUMMARY

There were significant findings discussed in this chapter. The profile of the participants and respondents were described giving the readers the information about the background and experiences of those who had been interviewed.

Comments and opinions on the meaning of governance were given by the participants and it was evident that clear distribution of power, laws, accountability and transparency were significant principles for governance besides the key areas of governance such as policy and decision making. However, power ambiguity and differences in understanding and interpretation of policy has led to conflicts in the governance process and poor management of Ugandan universities.

Themes pertinent to the understanding and practice of university governance emerged from the participants. The roles of the board, politics, university autonomy, corporate governance, leadership, conflicts and shared governance emerged as the main themes discussed. The participants were aware and voiced concern about their roles and responsibilities, power, leadership and practical issues in the governance process.

In line with corporate governance, the members felt that the board and council should play more active roles. In reality, although conflicts were unavoidable during the governance activities, there were several initiatives taken to improve governance practice. Stakeholder governance by way of collective performance was viewed as being necessity for effective governance of the universities. It was found out that poor management of universities was a common problem in private universities and members called upon the government to intervene and reduce on the challenges faced by these universities.

CHAPTER SIX
SUMMARY CONCLUSIONS AND RECOMMENDATIONS

6.1 INTRODUCTION

The previous chapters discussed the significant elements of the study. The main aim of the study was developing and sustaining effective governance in Ugandan universities. From the main aim three objectives were formulated: to identify obstacles met in implementing measures of effective governance; to identify and describe the steps taken in developing and sustaining effective governance in Ugandan universities; and to develop an appropriate governance model for Ugandan universities. The objectives of the study were followed by a review of relevant literature on university governance.

The methodology described how the study was conducted and the major findings were discussed in cheaper five. This chapter brings together the main ideas emerging from the study and discusses the contribution of the study to the field of university governance in terms of literature, contribution, theoretical debates, practical issues and governance practice. As a conclusion, recommendations for relevant authorities are given towards the end of the chapter together with several aspects pertinent to future research in this field of study.

6.2 SUMMARY OF THE STUDY

The study introduces the reader to the environment of university governance in Uganda (section 1.1). The dilemma is on the location of authority to resolve, manage, control, develop and sustain effective governance of Ugandan universities (section 1.2). A research question was formulated regarding the way Ugandan universities develop and sustain effective governance by adhering to the requirements of the National Council for Higher Education (section1.3). An overview of the research design was described (section1.6) and the terminology defined section 1.8.

The literature review in chapter 2 provided a framework for understanding effective governance in Ugandan universities. A strong focus on building and sustaining an effective governance framework

as well as directing signs of poor governance, helps universities to deal with problems before they fall into serious performance issues. This literature on obstacles met in implementing measures of effective governance is discussed in section 2.1. The politics of participatory decision making in university governance and the importance of decision making were discussed in section 2.2.1. Section 2.2.2 discusses the crisis of governance associated with limited authority at lower units. Section 2.2.3 discusses the problem of stakeholders' participation; facilitation of greater involvement of stakeholders in university affairs was identified as a serious administrative and leadership problem. It was observed that there is rigidity in management practices where administrative structures of most universities have been largely hierarchical and unresponsive in the face of changing circumstance. The hierarchy that causes rigidity between the different governance organs of the university is discussed in section 2.2.5.

The conflicting values and culture, where the conflicts between management and academic cultures are causing tensions and distrust between the staff and administration of several universities, has been discussed in section 2.2.6. Under conflicting values the centralization of autonomy and decision making was given in section 2.2.6.1. Issues concerning university education where universities are faced with great challenges and difficulties related to financing, equitable conditions for students, academic growth, improved staff development and skills based training has been discussed in section 2.2.7. The effects of globalisation have been discussed in section 2.2.7.2 while insufficient remuneration is discussed in section 2.2.7.5.

The framework for the developing and sustaining effective governance in universities is discussed under various sections. Section 2.3.1 discusses strong leadership, culture and communication where the direction and support of structures should be put in place. In this section, issues to do with ethical and value-based culture are discussed (section 2.3.1.1). Also, frequent and consistent communication is discussed in section 2.3.1.2, employees' responsibilities are discussed in (section 2.3.1.3) and on-going training support to staff is discussed in section 2.3.1.4. Appropriate governance committees structures that emphasise academic freedom and autonomy, enhance performance in terms of added value to student education and academic advancement, and ensure public accountability, social responsibility, transparency, ethics and professionalism, have also been discussed in section 2.3.2.

In section 2.3.2.1, typical committee structures that ensure good governance were discussed. These include senior executive committees, senior management committees, audit committees, information and communication technology committees, council committees and senate and departmental committees. Effective committee structures where best practice protocols should be followed when establishing and operating committees are discussed in section 2.3.2.2. Proper accountability mechanisms and the need for the university to have annual reports and audited financial statements after every end of year are discussed in section 2.3.3. Rigid structures can slow down the development of the university by killing individual initiative and innovation as observed in 2.3.3.1 and the need for correct financial behaviour is discussed in section 2.3.3.2.

Working across boundaries in a university gives a clear direction on joint approaches to resource and knowledge utilisation as discussed in section 2.3.4. Issues discussed under this item include working effectively across organisational boundaries, relationships with external stakeholders (section 2.3.4.1), and government arrangements (section 2.3.4.2). Comprehensive risk management, compliance and assurance systems are described in (section 2.3.5) while comprehensive risk management, compliance and assurance systems are discussed in section 2.35.

The work of audit committees is described in section 2.3.5.3. The committees are responsible for overseeing university's risk management and internal control frameworks, its external accountability and other legislative compliance responsibilities. Compliance and decision making tools are discussed in (section 2.3.5.4) while strategic planning, performance and evaluation tools are described in section 2.3.6. Planning and review mechanisms are also discussed in section 2.3.6.1. Regular planning helps organisations identify governance systems that are critical to meeting long term objectives and minimising potential risks. Section 2.3.6.2 describes strategic planning and section 2.3.6 discusses the performance, monitoring and evaluation.

The literature review in chapter three provided a framework on relevant governance theories and models. The chapter discusses the context within which each model applies, and the successes and challenges of each governance model are reviewed to ascertain gaps. In section 3.2 a historical background to university governance models is provided. The section looks at three relevant theories: structural, political and the open system.

University governance models are described in detail in section 3.4. These models include the bureaucratic which focuses on hierarchy, formal chains of commands and communication, organisational goals or predetermined rules and regulations, and on maximising efficiency. The political model is described in section 3.4.2. This model helps to explain how decisions are made in universities; it assumes that conflict is a normal process in any organisational development and it happens due to the existence of specialised groups with diverse interests and preferences.

Section 3.4.2 also describes the stages in the political model of university governance. This model explains the process in university governance and how it works in a cyclical manner. In section 3.4.3 a collegial model is described showing how staff is equipped to understand the academic goals and aspirations of a university and how to achieve these goals. The corporate model of university governance is described in section 3.4.3. This model looks at a set of processes, customs, policies and institutions affecting the way a corporation is directed, administered or controlled. In section 3.4.4 a shared model of university governance is discussed. This model looks at the process of distributing authority, power, influence for the academic decisions among campuses and constituencies. In this section figure 3.2 describes Lapworth's model of shared governance, delivering a balanced approach to governance.

In chapter four the research questions and aims of the study were repeated in section 4.2 after which the mixed method research design was explained in section 4.3. The concurrent nested research strategy was used with the predominant method, the qualitative method (section 4.3.1.1) and the quantitative instruments (a five-point Likert scale, questionnaire and interview guide) are discussed. The ethical considerations of the research were discussed in section 4.4 and validity, reliability and trustworthiness discussed in section 4.4.2. The population studied was described as well as the sampling method used to select the participants (section 4.5.1.4). The researcher also describes personal control and responsibility exercised while using data collection instruments (section.4.5.1.3).

Data was collected using in depth instruments with the university administrators at the universities sampled (section 4.5). Section 4.5.1.5 discusses data collection instruments and methods used. Questionnaires were used to get information on the university governance (section 4.5.1.7). Field interviews were recorded qualitatively and quantitatively while questionnaires were administered as

described in section (4.5.1.9). A computer software tool (SPSS) was used for quantitative data analysis (section 4.6). The questionnaires facilitated quantitative data analysis in which the score was used as an indication of the level of independence of the participants.

In chapter 5, transcribed raw data was segmented and inductively coded into themes and several categories (section 5.1). Informed by the theoretical framework of the study (section 1.4), the researcher developed two main themes (section 5.1), the categories and several sub-categories (tables 5.6, 5.9, 5.13, 5.14, 5.15.1 and 5.16) that represented the major findings of the study. In the course of discussing the research findings (5.2), the researcher employed methods such a descriptive and verbatim account (4.4) to ensure the trust worthiness of the research findings. Furthermore, the ethical principle of confidentiality and anonymity (section 4.4.1.2) was also employed. Hence, participants were named after letters of the alphabet; that is, University A, University B, University C, University D, and University E (Table 4.1).

The analysis of the characteristics of the university board, the council, their functional background, qualifications, corporate culture, and tenure were discussed in section 5.2.1.1 showing their efficiency in university governance and how decision making is shared. In section 5.2.1.2, the quality of the governance structures, in terms of whether there was a tier evaluation process, strong stakeholder involvement, appropriate governance structures, independent audit committees, sufficient leadership and information governance flow, were also presented, discussed and analysed. In section 5.2.1.3 management involvement in planning was discussed indicating the importance of having streamlined structures and management being involved planning in maintaining proper and effective university governance systems.

The participation of the board in meetings, writing reports, participation in discussions, making decisions, orientation process and the plans for directing the university, were presented and analysed in section 5.5 indicating that this participation increases effective communication and responsibility of the board in university governance leading to effective leadership. The obstacles met while implementing effective governance, such as interference by internal politics, lack of commitment, bureaucracy in management, centralisation of authority, insufficient financing, conflicting cultures, globalisation and insufficient remuneration were presented, discussed and analysed in section 5.3.2.

The findings indicated that these obstacles were created because of lack of delegation, insufficient funding and bureaucracy in management. The performance of individual members in sustaining effective governance of what they are expected to do, attending meetings and reading minutes, being familiar with universality laws, maintaining confidentiality, taking decisions and promoting the university, were presented, discussed and analysed in section 5.3.2.1. For effective university governance, there should be policy development, individual staff participation and promotion of organisational work in the community.

In section 5.3.2.2 quality of the current risk management and internal controls like governance committees, risk management risks, expenditure flow and approved budget, procedures, audit committees, adequate accountability, were all presented and discussed indicating that management procedures in risk management should be introduced, accountability and audit committees introduced to reduce risks in management. In sub-section 5.4.3, the appropriate model for governance in Ugandan universities was given and discussed and the chapter ended with the general findings in the summery in section 5.5.

6.3 CONCLUSIONS FROM THE STUDY

Multiple governance models were observed in the governance of Ugandan universities. Bureaucratic, corporate, political and shared governance models were observed in Ugandan universities. No single model dominated the governance process, but there was a mixture of multiple that suited the universities according to the timeframe and the stages of development of the university. The findings also indicated that the Ugandan structure of university governance and the university system were hierarchical in nature, emphasising the importance of organisational structure. This order of hierarchy was noticed more in public universities than in private ones. Although it was hierarchical in nature, the structure had to date provided the fundamental basis for effective management.

6.3.1 Conclusions from the literature study

The literature looked at general structures from different universities across the world. The challenges met in implementing measures of effective governance show that authority to make decisions in

several universities is difficult. There are several challenges leading to crisis of governance and problems of participation which can increase conflicts in the universities. These challenges have led to inefficiency and ineffectiveness.

The interest in the topic of university governance has increased significantly (Gayle, Tewarie & white: 2003:49-60). This study contributes to the literature on university governance at both public and private universities. The National Council for Higher Education Act 1991 has been criticised by many universities that it hampers academic autonomy and limits university core business of discovering and disseminating knowledge. However, many university administrators have not realised that the problems indeed arise due to the differences in the understanding and interpretation of the Act. The Act is not meant to cripple universities' development or academic autonomy but to guide the universities on how to go about achieving those ambitions within the framework set by government. The Act needed revision on various aspects such as those sections affecting the power of the university authorities; that is, the power of the university in awarding degrees, the board, the senate and the Vice Chancellor's powers. Although amendments have been made to the Act since 2001, it was left that various powers needed to be reviewed to reflect the structure of the governance mechanism.

The mechanisms have affected the governance of universities in that the universities were independently run under the guidance of each university senate and councils but the council had been reduced powers especially in private universities. The power has been given to the board of directors and Vice Chancellors. In the board the Vice Chancellor is the role sole member representing the university. For the private university the Vice Chancellor appoints the senate and council of his choice. This structure has a legitimacy problem in representing the university community.

6.3.1.1 Theoretical and practical issues in the practice of governance

The three theories (political theory, structural theory and open theory) were discussed in chapter three to explain the complexity and the nature of a university as an organisation. What are the theoretical arguments and practical issues that can describe the governance of Ugandan universities? Is there any

best governance theory that can be applied to the Ugandan universities? As found out from the study, there was no single theory that could give the best description of the governance process. There were combinations of the structural, the political and the open theories to describe the characteristics of the Ugandan universities and governance process in Uganda.

6.3.1.2 Structural theory and practical issues in governance

Having examined the university development in Uganda, it was found out that the university environment has grown from simple organisations into that of complex organisation that resulted with the emergence and domination of the argument given by Gayle (2003: 89) that as the universities grow into complex organisations, structural images become more prevalent to describe the nature of the governance process section 3.3.

The structural aspects resulted from the legal laws which could best delineate the bodies that were supposed to make the decisions in the university (Trackman, 2008:670). The delineation could increase the efficiency and the effectiveness of the policy making processes and the organisation structure. This could illustrate the formal chains of communication, designate the relevant powers and sphere of authorities, facilitate the composition of those participating in the governance functions, and define the roles and responsibilities (Ospian, 2008:29). From the structural perspective, it could be inferred that the bureaucracy was applied to the governance of Ugandan universities section 3.4.1.

However, the structure alone could not depict the dynamics that existed in the Ugandan university environment and this argument is supported by Kezar and Eckel (2004:375) that from the structural perspective, the governance process could be described through a clear definition of roles and responsibilities, authority and power distribution.

6.3.1.3 Political theory and practical issues governance

From the political perspective, each university is viewed as a political system comprising coalitions of groups, embracing the characteristics of a political model. There exits various groups in the university such as university board of directors, the senate, the staff, the school and the departments (Lapworth, 2004:314). In Ugandan universities, power, authority and influence were the three

significant components in the exercise of governance whereby power was related to the ability to make others respond according to the requirements of the power holder while authority was very much connected to the legal organisational structure. On the other hand, influence was not directly connected to the organisational position or the legal authority, but to the ability to persuade others especially in organisational politics (Asmiran, 2009:95).

From the study it was observed that the governance process works through functional representation and powers were vested in various bodies or committees and only the selected or elected individuals were allowed to participate. Nevertheless, it was felt that in reality the board was powerless because many of its powers were executed or delegated to the university's Vice Chancellors. The university constitution has allocated the powers to the board and regarded the board as the executive body (section 3.4.2). Political theory also regards the university as a political community and this perception has received much attention in the literature about university governance (Kezar and Eckel & Gayle, 2003). Many of the discussions emphasised the prevalence of the political characteristics. The assumption was that groups' contest for power was under denial, policy formulation and the focus of decision making and conflict was normal whereby political analysis through rational approaches would necessitate the emerging outcomes being favourable to every group (Ospian, 2008:38).

6.3.1.4 Open systems theory and practical issues in governance

A university is composed of sub-systems that are interactive thus making the entire system open and continuously changing. However, according to open system theory, the university continuously engages with its environment because the university boundaries are relatively permeable, and this permits interactions to occur between the environment and the university (Kezar & Eckel, 2004:381). In the Ugandan university education system universities are not in isolation or separated from the external environment. In principle, the universities have to respond to external influences and in return seek support from the external groups to achieve their objectives and outcomes thus emphasising the notion of a university being susceptible to external influences section 3.4.3.

There are various challenges faced by the Ugandan universities including technological advancement, a changing population structure, competition, financial stress and globalisation (Kezar, 2006: 372). Various external groups and stakeholders existed and they include parents, employers, government agencies, non-governmental organisations, sponsors, political leaders and the community. The university's core functions of teaching and research require constant links with the external environment. The relations are reciprocal; the university needs the external groups and at the same time there are external influences coming into the university. As found out from this study, such relationships could provide the checks and balances in the governance of the university and they could reduce the criticism on governance for being unresponsive and inefficient (Ospian, 2008:28). The system theory also emphasises the coherence of the functioning of the components that existed. These different components have to be coordinated because in principle the coherence is needed so that every component is able to contribute to the pursuit of the organisational objectives which have been set by the policy makers through the governance activities.

However, there were arguments given by certain members when the boards were seen as starting to cross the boundary of their roles and interfering in the management of the universities. This argument could be inferred as an indication of the university's resistance to change and at the same time emphasises that the university was no longer an exclusive institution where external forces could now permeate all aspects of the university environment.

To recap the theoretical arguments and practical issues surrounding governance of the Ugandan universities, it is argued that university governance can be described as a combination of three main models namely; the structural, the political, and the open system model. The dynamics of university governance as revealed by the findings show that there was no single predominant theory that best described the governance practice; rather, it was the overriding intersection of the theories.

6.3.2 Conclusions from the empirical study

The following conclusions are derived from the empirical study as discussed in (section 5.2.1.1) on characteristics of the board (section 5.2. 1.2); quality of the governance structures (section 5.2.1.3); involvement of university administrators in planning (section 5.2.1.4); the board's participation in

management (section 5.4.3); obstacles in implementing effective governance (section 5.4.2.1); individual performance (section 5.4.2.2); quality of the university risk management and internal control relating to developing and sustaining effective governance in Ugandan universities.

- In university governance, the board has enough qualifications and experience, functional background, ethical and corporate competences (section 5.2.1.1). The efficiency of the board in the university improves governance (section 5.2.1.1.i); the experience of the board in university governance and decision making of the board develops and sustains university governance (section 5.2.1.1. iii).

- The quality of governance needs appropriate governance structures like committees, the council and senate, and sufficient leadership in preparing budgets in time (section 5.2.1.2). The quality of the board depends on three salient qualities, that is, (i) duration of service (5.2.1.2.c) (ii) the quality structures and (iii) the level of qualification (section 5.2.1.2. d).

- University governance is improved when there is involvement of administrators in planning. The involvement of administrators helps in analysing clearly the strategic plan, giving direction to the university employees, ensuring accomplishment of tasks and ensuring that stakeholders receive reports (section 5.2.1.3). The participation of university administrators maintains good university structures (section 5.2.1.3.i) and improves management skills of the university stakeholders (5.2.1.3. ii).

- Board participation in university governance increases the ability, responsibility, ethical obligation and gives direction to the university management (section 5.2.1.4). The ability of participation maintains effective communication in the university (section 5.2.1.2.i) and improvement board leadership that stream lines the university structures (section 5.2.1.4. ii).
- Universities are affected by many obstacles that have affected the performance and implementing effective governance (section 5.4.1) The obstacles are caused by lack of delegation (section 5.4.1.i), insufficient financing (section 5.4.1.ii) and bureaucracy (section 5.4.1.iii).

- The ability of individual performance in university governance increases responsibility and easy management and promotes the work of the university in the community (section 5.4.2.1). Individual participation helps in policy development on strategic plan (Section 5.4.2.1.i); financial accountability (Section 5.4.2.1.ii) and community involvement (section 5.4.2.1. iii).

- For effective governance, university management should review the effectiveness of the committees; follow an approved budget, financial reporting and adequate accountability (section 5.4.2.2). Management procedures in risk management should be put in place (section 5.4.2.2.i), proper accountability (section 5.4.2.2. ii) and audit committees (section 5.4.2.2.iii).

6.4 RECOMMENDATIONS

In the course of analysing the conclusions from the study; both from the literature study (cf section 6.3.1) and empirical study (section 6.3.2) the following recommendations were identified. Each recommendation is supported by a rationale to the outcomes of the findings. A more adaptable, appropriate and flexible means of governing universities can be suggested. One alternative that is relevant to this study is a model that combines the available models in the literature. Ugandan higher education needs improvement in the governance of universities to reduce the faced challenges. This can be initiated not through incremental change but more importantly through the governance renaissance where by the universities can be provided with a greater leeway in their functions to sustain effective governance.

- **External university governance**

The universities should be given more operational autonomy and in return there should be more accountability measures within the allowable key policy frame work set by the government. The government should move away from managing universities especially public ones in order to reduce interference on the process within the university environment and the government should focus on the outcomes and the performances of these universities. The government should work hand in hand with the National Council for Higher of Education to reduce the obstacles hindering effective university governance.

- **Internal university governance**

The board of directors, council and senate should play more roles in the development of universities' strategic plans by providing more in puts and should oversee the universities progress. The appointment of the vice-chancellor, the deans and the heads of departments should be made based on the academic performance and appointed on fixed term basis where by renewal is subject to satisfactory performance. The university management team should be forward looking and strong with proper and sound internal systems and able to make decisions as suggested in (section 6.4.1). To have quality, university governance, university management should review the effectiveness of the committees, follow an approved budget, and have financial reporting and adequate accountability.

- **University governance challenges**

Governance challenges like internal politics, lack of commitment, bureaucracy in management, conflicting values and culture in the institution, centralisation of authority and decision making, insufficient financing , globalisation, financing higher education and insufficient remuneration should be reduced by maximising delegation and decision making, increase of governance financing and balancing bureaucracy in management (section 2.1).

6.4.1 Developing and sustaining effective university governance in Uganda

Ugandan universities are continuously under pressure from government, the public, employers, politicians and interested organisations to improve on performance and meet the future challenges. As a benchmark, university performance was seen as an important factor to justify the relevant functions performed by universities. There is no doubt that university governance plays a fundamental role in enhancing university performance.

Multiple governance models were seen in the governance of Ugandan universities. Although participants could not precisely point out a clearly defined governance model as one consistently followed by their universities, there emerged different features that were consistent with well-known models in university governance. Features consistent with the following models were identified;

collegial model, the bureaucratic model, the corporate model, the political and the shared governance model. No single model dominated the mixture adopted by universities according to time frame and the stages of development of the university. There is no single formula to developing and sustaining effective university governance. However, literature review and empirical evidence suggest that there are certain steps to developing effective governance that should be followed as indicated in (section 6.4.2). Further, though the context in which universities are governed differs from country to country and ownership, I recommend that the model described in (section 6.4.3) be adopted by Ugandan universities.

6.4.2 Recommended steps in developing and sustaining effective university governance in Uganda

University governance to be effective, certain key steps need to be followed. From empirical evidence, developing and sustaining effective university governance in Uganda requires the following to be done;

- **Review the universities and other tertiary institutions regulations**

The universities and other tertiary institutions regulations should be reviewed to put emphasis on ensuring that universities both public and private have adequate structures for staff and students recruitment and retention. The regulations should clearly specify the minimum requirements for both staff and students. Further, the regulations should set minimum standards for different people on governance organs in terms of level of education, experience, commitment, and remuneration. The regulations should provide for verification of all councils, senates, and appointment boards and other governance committees by an independent body comprised of experienced educationists to ensure that they are of right quality and are representative of stakeholder interests.

- **Compliance mechanism with regulations and other standards**

Arising from the established regulations by external organs, university administrators should put in place internal compliance mechanisms that govern the internal conduct among the players. These should include among others, the university charter which spells out the relationship between the

university and its stakeholders, standards of service delivery, university performance procedures and commitments, quality committees and compliance groups. Further, there should be both medium and long term plans specifying the objectives to be achieved, measurable indicators and means of performance monitoring, evaluation and communication. The national council of higher education, the department of higher education in the ministry of education should conduct regular checks to ascertain whether universities adhere to their committed standards of performance. These checks should maintain the principle of independence at the same time encouraging universities to be compliant. Incentives should be in place to reward compliant universities like scholarships, library funds, and support to general university infrastructure.

- **Administrative measures**

Supplementary to the external regulations, there should be robust structures, systems, processes and procedures for decision making and implementation. These should not increase level of bureaucracy in the organisation but ensure that there are appropriate provisions to enable administrators and other officers involved in the management of the university follow prudent methods of work that lead to efficiency and effectiveness. These could be in form of procedure manuals, management information systems, decision support systems, accounting manuals, students' manuals, operation manuals, and research manuals among others. They should ensure consistence in approach and achievement of goal congruence.

- **Funding and resource management**

Universities cannot succeed without sufficient funds and other resources like physical infrastructure, staff, and equipment. A mechanism for funding university activities should be developed both internally and externally. Government should establish a mechanism of funding critical activities that are important to universities and communities yet are not in position to generate quick revenues like research, library, and infrastructure. Competitive grants should be in place for those universities that meet the criteria for such grants. A culture of accountability, correct financial behaviour and effective utilisation of funds should be in place. Further, there should be mechanisms for proper human resource management. Matters that ensure effective leadership, communication, staff

development and communication should be devised. Remuneration incentives, promotion, workload, work environment, open and participative decision making should be integral to the governance structure.

Infrastructure should be supportive in terms of adequacy of space, furniture, equipment, textbooks, and e-learning facilities among others. The ratio of the university population and resources should be optimal more especially those that inhibit effective service delivery and learning inter alia; the student to lecturer ratios, student to computer ratios, and contact time.

6.4.3 An appropriate model for governance in Ugandan universities

It is important for Ugandan universities to have an appropriate model that will address the challenges faced by these universities where there is involvement of all the stake holders. This model should attempt to provide better governance skills and procedures. An appropriate governance model for Ugandan universities as discussed in (cf section 5.4.3) should have the following features:

- **Culture of the university**

This appropriate model for Ugandan universities should have primary dimensions attributed prosperity for innovation and risk taking, attention to detail, outcome orientation, people orientation, team orientation, aggressiveness and stability. Much emphasis of this model should identify core institutional values as they do on mission and vision, attitudes, and the expectations of internal stakeholders at the centre. The emerging evidence of needed change should be interpreted and acted upon by administrators, academic staff, trustees, and vice-chancellors in an open system. Also this model should express academic freedom, institutional accountability quality, and peer review, authority, and responsibility information flow access, participation and budget allocation.

- **Systems procedures and processes**

There should be organised systems, inputs, processes, outputs and out comes mediated by stakeholders' expectations. Structures such as departments, legislative, decisions, goals of relevant

foundations should be applied. There should be positive rules and regulations, policies and budgets that will contribute to systematic survival and vitality of the university. Good structure and process will encourage and facilitate positive proactive and continuous institutional transformation together with relationship building focused on stakeholders as well as markets and sustained generation. This model should look at adaptable and flexible means of governing Ugandan universities. The universities should be given more operational autonomy and in return should have more accountability measures within allowable key policy frame work set by government. The government should revise its rules and regulations on the process within the university environment. The government should focus on the outcome and performance of the university.

- **Management structure**

This model should allow authentic leadership, the effective use of information technology and the application of various frames of reference at multiple institutional levels. This leadership should develop a personal vision based on individual identity goals and a continuously perceived link between organisational and personal needs. The organ of the university should be arranged in order; the board of directors, the council, vice chancellor and senate. The senate should play more roles in the development of universities' strategic plans by providing more in puts and overseeing the universities progress.

6.5 AREAS FOR FUTURE RESEARCH

Not much has been researched into the governance aspect of Ugandan universities. This has attempted to answer some of the questions significant to the exercise of university governance tracing back from the history of the university establishment and the developments that have taken place. In course of the literature and empirical study, the following areas need further research to deepen the meaning of governance in Universities.

- The elements of ambiguity both constitutionally and in practice, in the power allocation, the board, and other structures and the exercise of effective governance demanded further elaboration and

clarification, if the governance is to be regarded as an effective way to enhance the performance of the universities.

- This study has focused on the involvement of the board and council members in the governance process. Therefore, further research into the aspect of participation by the academics in the governance of the universities can be conducted to gain further insight from the academician's perspective.

- This study has highlighted the prevalence of three theoretical models, namely the political, the structural and the open system theories in governance of the universities. There was no single dominant model in the governance practice. In addition to the three prevalent models the ambiguity model that portrays the uncertainty and the unpredictability of the educational organisations based on writers like (Gayle 2003: 87, Kasozi 2003:57, Musisi 2003:10 & Kezar 2008: 372) . It is undeniable that the universities are facing, challenges and demands that have in many ways influenced and affected the ways Ugandan universities are governed. Therefore it is also suggested that future studies should be carried out to examine the other prevalent features of the universities from the ambiguity model perspective.

6.6 LIMITATIONS OF THE STUDY

The study had several limitations throughout the stages of the study and cautious actions were taken to overcome the identified limitations. One of the main concerns was regarding the problem to the relevant information or documents. Information and documents pertaining to university governance among the universities like minutes of board, senate and council meetings were treated as confidential and it was not easy to access them. Confidentiality and accessibility to these documents and information were also of the constraints to the study. However possible means were made to secure the required information through the deans and registrars and to a certain extent this was successful. As shown in section 5.2, the purpose of the research (section 1.3 as well as the theoretical frame work of the research (section 1.4) have been attained.

Vice Chancellors and board members were very busy and contacts to have appointments with them was not easy and even many of them were not willing to be interviewed due to the sensitivity issues in universities like finance, appointments, payments and budgets. Some of the appointments had to be rescheduled and this delayed the researcher to analyse data in time. Some participants were not permanent at the university like the board members and accessing them at the same time was not easy. However due to patience and tolerance of the researcher, some members accepted to be interviewed and this made the work successful and also these universities being scattered in the central Uganda, it was not easy to access them in time. However, the researcher used the research assistants and the problem was solved.

6.7 CONCLUSION

The study set out to investigate how universities can develop and sustain governance by adhering to the requirements of the National Council for Higher Education. The overall view of the study explains the answers to the research questions for the study. Quantitative and qualitative methodologies were used on the identified objectives. The main findings of the study will significantly guide the universities in governance in Uganda and worldwide.

This study contributes to the debate about university governance in the area related to the academicians' participation in the governance processes. This study also adds to the possibility of doing comparative studies in higher education. The study contributes towards a greater understanding on the governance of both public and private Ugandan universities both in theoretical and practice of governance. The changing patterns of governance and the new realisation of the boards' roles as opposed to the traditional conception of academic governance have call for a more efficient way of power distribution bodies and the university. In section 6.3.2 theoretical and practical issues in the practice of governance are to ascertain whether Ugandan universities use any of the theories in governing their universities.

The recommendations, limitations, and areas for further research were identified and recorded.

Several conclusions were drawn from chapter by chapter to show that the governance processes in Ugandan universities are important for university effectiveness and efficiency which will remain very important for university development and sustainability for today and tomorrow. The study also has helped the researcher to explore a frontier of knowledge on university governance worldwide which has provided the researcher the pathway to becoming a university leader.

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Appendix A

INFORMED CONSENT FORM

Researcher: Asiimwe Specioza (0773153374)

Dear Participant

Thank you for agreeing to participate in this research study that will take place from April to May 2011. This form provides the purpose of the study and all the right you desire as a participant. The purposes of the study are to:

i. Identify and describe the steps take in developing and sustaining effective governance in Uganda universities.

ii. Identify obstacles met in implementing measures of effective university governance.

iii. Develop a governance model suitable for university governance in Uganda.

The methods used to collect information are both quantitative and qualitative. The questionnaire will be e-mailed to you as soon as possible. You are free to ask any question concerning the topic because your contribution is very important. The researcher will do member checking after each interview in order to ensure that interviews have been done correctly to the satisfaction of the participants. This will be done with the cooperation of the interviews and transcription will be given to the interviewees for their consensus and comments. After completing the dissertation I will e-mail the final report to any participant who wants. So all participants are free to provide their contacts. I also guarantee the following to my participants:

i. Writing the names is of the participants is optional.

ii. The completed questionnaire will be treated as confidential information.

iii. Participating in this research is not compulsory. The participant is free to withdraw any time of the study.

iv. The participant is free to suggest the changes in the questionnaire if necessary.

v. The participant is free to ask for a copy of the final research dissertation.

Do you grant permission to be quoted directly? Yes----------------No-------

I agree to the terms.

Participant-------------------------------   Date--------------------

I agree to the terms

Researcher-------------------------------   Date--------------------

Appendix B

Education Department South Africa ASIIMWE .S

Prf. T.S MALULEKE (44356463)

EXECUTIVE DIRECTOR RESEARCH

maluts@unisa.ac.za.

RE: APPROVAL TO CONDUCT RESEARCH

I hereby request permission from the department of further teacher education to conduct research. Immediately after the approval from the department I will go to the field. The following are details of my research:

Topic of research: Developing and sustaining effective governance in universities in Uganda.

Nature of research: DEd.

Promoter: Prof. G.M Steyn.

Name of the institution: University of South Africa (UNISA).

I promise to protect the name of the intuition and respect the rights of the participants.

Yours faithfully

…………………………………………

ASIIMWE SPECIOZA (44356463)

Appendix C

REQUEST FOR CONDUCTING RESEARCH IN YOUR UNIVERSITY

I am a lecturer at Kampala University and doing my doctoral thesis in education management at UNISA. I have selected 5 universities in central Uganda and your university is among the selected universities. I therefore request your permission to do the activity mentioned above.

My registered title of research dissertation is: Developing and sustaining effective governance of universities in Uganda.

My promoter is Professor Gertruida Maria Steyn.   Telephone: +27126644256, +27828867468, e-mail: steyngml@unisa.ac.za .

I have   so far completed three chapters and am on chapter four which needs your contribution during interviews. The interview will take around 20 minutes and at participants' will.

Thank you very much.

………………………..

Ms ASIIMWE SPECIOZA (44356463)

Appendix D

Research Questionnaire

Developing and sustaining effective governance in universities in Uganda

The environment in which universities in Uganda operate has changed. There is a call for stronger corporate management of these universities. Many challenges have been presented on the way in which universities are governed, arranged and held accountable. Effective governance of universities involves the authority to make decisions about fundamental policies and practices in several critical areas concerning universities. These areas stretch from their number and location, their mission, their enrolment size, access of students to their instructional programmes and access of public to their auxiliary services on offer.

In Uganda, a number of issues have emerged directly linked to the governance of universities. The aim of this research is to investigate how universities can develop and sustain effective governance. It has been assumed that you have excellent knowledge on the governance mechanisms and structures of this university. It is against this background that a semi-structured questionnaire was designed as one of the most effective ways of getting information. Your contribution is very important. Kindly spare a few minutes and respond to the questions below. Thank you very much.

Section A. Demographic Information

1. Gender
   ○ Male   ○ Female

2. Duration of service within this institution
   ○ Less than 1 year   ○ 4- < 7 Years   ○   > 10 Years

   ○ 1 - < 4 Years   ○ 7- 10 Years

3. Designation
   ○ Board member   ○ Administrative staff   ○   Other

   ○ Council member   ○ Students' guild.   ○ther

4. Highest level of qualification
   ○ PHD   ○ Professional Qualification ○   Diploma

○   Masters Degree   ○   Bachelors Degree   ○   Certificate

Section B. Organizational structure

1. Have there been any recent changes in the organizational structure of the university?

     ○   Yes   ○   No

2. If so, what was the cause for the change? Has the administration of the university been
    strengthened by these changes?

    ----

3. Has the management of the university been carried out in strict accord with the provisions of the
    Charter?

     ○   Yes   ○   No

4. Have the administrative and academic structures that were adopted at the time of the grant of the
    charter worked satisfactorily?

     ○   Yes   ○   No

5. If so, in which ways have they assisted in meeting the objectives for which the university was
    established?

    ----

6. What have been the bottlenecks in the operations of the administrative and academic structures?

    ----

7. What measures have you taken, or plan to take to remove the bottlenecks?

    ----

8. Has the university operated as an academic enterprise? If so, in which ways?

     ○   Yes   ○   No

Section C. Characteristics of the University top governance committee

*Circle the response that **best** reflects your opinion. The rating scale for each statement is: Strongly Disagree (1); Disagree (2); Maybe or Not Sure (3); Agree (4); strongly Agree (5).*

	Strongly disagree	Disagree	Not sure	Agree	agree
Members have any of the following backgrounds; accountancy, finance, public policy, technology or others the appointing authority might deem desirable.	1	2	3	4	5
Qualifications & experience are put forth in writing prior to becoming a member.	1	2	3	4	5
There is ethical corporate culture and an independent special investigative counsel to investigate activities that might implicate the conduct of university executives.	1	2	3	4	5
The tenure given to them is just enough.	1	2	3	4	5
They have sufficient functional backgrounds.	1	2	3	4	5
They act independently and openly without interference.	1	2	3	4	5
They are very competent and reliable	1	2	3	4	5

Section D. Quality of the governance structure of the university

*Circle the response that **best** reflects your opinion. The rating scale for each statement is: Strongly Disagree (1); Disagree (2); Maybe or Not Sure (3); Agree (4); strongly Agree (5).*

	Strongly disagree	Disagree	Not sure	Agree	agree
There is a tiered evaluation process by top management; evaluation of performance of top management as a whole, performance of each committee, performance of each individual manager, and performance of the VC.	1	2	3	4	5
Evaluation is done at least once a year by a non-executive chairperson.	1	2	3	4	5
There is strong stakeholder involvement in the election process of top managers as well as stakeholder proposals related to university governance	1	2	3	4	5
There is an appropriate governance structure that duly ensures that managers have appropriate authority and resources to perform their duties.	1	2	3	4	5
There is an independent audit committee on the university board.	1	2	3	4	5
There is an independent compensation committee on the board.	1	2	3	4	5
There is an independent nominating committee for top management.	1	2	3	4	5
Our top management leadership is sufficient.	1	2	3	4	5
Information between governance structures flows easily.	1	2	3	4	5
There is formality on all committee proceedings.	1	2	3	4	5

Section E1. How well has the current management done its job

*Circle the response that **best** reflects your opinion. The rating scale for each statement is: Strongly Disagree (1); Disagree (2); Maybe or Not Sure (3); Agree (4); strongly Agree (5).*

	Strongly disagree	Disagree	Not sure	Agree	agree
This university has a three to five-year strategic plan or a set of clear long range goals and priorities.	1	2	3	4	5
The university decisions clearly reflect our strategic plan or priorities.	1	2	3	4	5
University management has insured that the organisation has a one-year operational or business plan.	1	2	3	4	5
University management gives direction to staff on how to achieve the goals primarily by setting or referring to policies.	1	2	3	4	5
Management ensures that the organisation's accomplishments and challenges are communicated to members and stakeholders.	1	2	3	4	5
Management has ensured that members and stakeholders have received reports on how our organisation has used its financial and human resources.	1	2	3	4	5

SectionE2. Participation of the university board

*Circle the response that **best** reflects your opinion. The rating scale for each statement is: Strongly Disagree (1); Disagree (2); Maybe or Not Sure (3); Agree (4); strongly Agree (5).*

	Strongly disagree	Disagree	Not sure	Agree	agree
Board members are aware of what is expected of them					
The agenda of board meetings is well planned so that everyone is able to get through all necessary board business.	1	2	3	4	5
It seems like most board members come to meetings prepared.	1	2	3	4	5
Board members receive written reports to the board in advance of meetings.	1	2	3	4	5
All board members participate in important board discussions.	1	2	3	4	5
All decisions made are supported by different managers	1	2	3	4	5
The board has taken responsibility for recruiting new board members.	1	2	3	4	5
The board has planned and led the orientation process for new board members.	1	2	3	4	5
The board has a plan for director education and further board development.	1	2	3	4	5
A good job is done encouraging and dealing with different points of view.	1	2	3	4	5

Section F. Obstacles met when implementing effective governance

In implementing an effective governance system, there are always obstacles which are met. *Kindly circle the response that **best** reflects your opinion. The rating scale for each statement is: Strongly Disagree (1); Disagree (2); Maybe or Not Sure (3); Agree (4); strongly Agree (5).*

Problem	Strongly disagree	Disagree	Not sure	Agree	agree
Internal politics among participating officers	1	2	3	4	5
Lack of commitment by administrators to implement their own decisions	1	2	3	4	5
Stakeholder problems like disagreements among stakeholders on common issues affecting the university and how to solve them	1	2	3	4	5
Bureaucracy in management procedures leading to delay in decision making and implementation	1	2	3	4	5
Conflicting values and culture in the institution	1	2	3	4	5
Centralisation of authority and decision making where decisions are made by top managers without consulting other administrators	1	2	3	4	5
Insufficient financing to implement decisions	1	2	3	4	5
Globalisation has increased competition for quality human resources and students.	1	2	3	4	5
Insufficient staff remuneration and low morale in implementing decisions	1	2	3	4	5

Section G. Performance of individual members in sustaining effective university governance

*Circle the response that **best** reflects your opinion. The rating scale for each statement is: Strongly Disagree (1); Disagree (2); Maybe or Not Sure (3); Agree (4); strongly Agree (5).*

	Strongly disagree	Disagree	Not sure	Agree	agree
I am aware of what is expected of me as a participant in university governance.	1	2	3	4	5
I read the minutes, reports and other materials in advance of any meetings.	1	2	3	4	5
I am very familiar with what is in the university's by-laws and governing policies	1	2	3	4	5
I maintain the confidentiality of all matters that come to my attention.	1	2	3	4	5
When I have a different opinion than the majority, I raise it.	1	2	3	4	5
I support decisions once they are made even if I do not agree with them.	1	2	3	4	5
I promote the work of our organisation in the community whenever I have a chance to do so.	1	2	3	4	5
I stay informed about issues relevant to our mission and bring information to the attention of the relevant administrators.	1	2	3	4	5

Section H. Quality of the current risk management & internal controls.

*Circle the response that **best** reflects your opinion. The rating scale for each statement is: Strongly Disagree (1); Disagree (2); Maybe or Not Sure (3); Agree (4); strongly Agree (5).*

	Strongly disagree	Disagree	Not sure	Agree	agree
Governance committees continuously review effectiveness of the present risk management and internal controls.	1	2	3	4	5
The current risk management procedures cover material, financial, operational & compliance controls to safeguard university funds.	1	2	3	4	5
All university expenditures follow an approved budget and results are compared against agreed budgets.	1	2	3	4	5
Management sticks to well established procedures.	1	2	3	4	5
Management controls have significantly reduced fraud and misuse of university funds.	1	2	3	4	5
The audit committee usually discusses process for financial reporting risks	1	2	3	4	5
Our risk management function is highly facilitated to perform its functions.	1	2	3	4	5
Governance committees continuously review the present risk management strategies	1	2	3	4	5
There is adequate accountability on each and every shilling spent	1	2	3	4	5
The audit committee continuously reviews integrity of	1	2	3	4	5

financial statements					
The audit committee also continuously monitors and reviews the effectiveness of the University internal audit function	1	2	3	4	5
The audit committee also continuously reviews and monitors external auditor independence and objectivity.	1	2	3	4	5
There is adherence to a policy that checks the supply of non audit services by the external auditor	1	2	3	4	5
The audit committee is continuously consulted when appointing, reappointing or removal of external auditor.	1	2	3	4	5

Section I. Governance models

Please choose any governance models that you think might be suitable for this institution and provide any justifications for your answer.

Bureaucratic model: with [a culture that fosters; strict adherence to rules and regulations with defined patterns of activity]

Political model: with [a culture that fosters; existence of diverse groups with diverse interests and preferences]

Collegial model: with [a culture that fosters; staff participation, friendship, mutual understanding, shared sentiments and equal worth of knowledge in various fields]

Corporate model: with [a culture that fosters; rights and interests of stakeholders, integrity and ethical behaviour, supremacy of the board and transparency]

Shared model: with [a culture that fosters; shared authority, power and influence for academic decisions among constituencies like academic and non academic staff, management, unions and students]

As a university stakeholder, suggest features that an appropriate model for your university should have and give reasons why you feel such features should be in the new model

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Appendix E

Interview guide

1. As an administrator in this university, comment on the institution's adherence to principles of sound governance like compliance with National Council of Higher Education regulations, flow of authority in accordance with governance structures and accountability?

2. In your opinion, what do you think are the obstacles limiting effective governance at your university?

3. What activities has your university undertaken to develop and sustain effective governance?

4. Comment on the performance of the following university organs in ensuring effective university governance:

   i.   board,

   ii.   senate,

   iii.   Management.

5. How do you view the status of your university's accountability mechanism and academic freedoms?

6. What do you think your university can do different in terms of governance to get better than it is now?

APPENDIX F: TRANSCRIBED INTERVIEW

Below are the narratives of participants concerning their views and experiences related to the university governance in Ugandan universities. Due to participant confidentiality, some comments were not recorded.

Interviewer: As an administrator in this University comment on the Institution's adherence to principles of sound governance like compliance with National Council for Higher Education regulations, flow of authority in accordance with structures and accountability?

Participants: *According to Universities And Other Tertiary Institutions Act, 2003, the National council for Higher Education sets rules and regulations on admissions, recruitment of staff and in private universities, the Act, regulates the powers of the Vice Chancellor to steam line their authority, decisions on senate, council for easy flow of university structures of the university.*

Interviewer: In your opinion, what do you think are the obstacles affecting university effective governance at your university?

Participants: *As obstacles are concerned, there is internal and external interference in our university, there is no academic freedom, no delegation and more others like the problem of funding, policies are not revised, structures are not good and no guidance on rules and regulations of the university. Insufficient funding and poor remuneration have reduced performance of administrators. There are no policies on finance and accountability, budgets' are not approved in time, no checks and balances and all the above are leading to financial mismanagement.*

Interviewer: What activates has your university undertaken to develop and sustain effective governance?

Participants: *The top management has tried to improve on the quality of the board, have put good structures in place, style of management, improvement on quality of academic and other*

standards. There has been involvement of deans and heads of departments to some extent and other employees of the university. There has been involvement of other stakeholders and the community and this has led to the accomplishment of the plan.

Interviewer: Comment on the following organs in ensuring effective university governance: the board, senate and management.

Participants: *The board is a very important body of the university that regulates policies. However, in our universities, there is much interference because the board is not independent. According to the National Council for Higher Education all board members should be qualified. However with the interference from top management especially in our private universities we cannot tell the quality of the board in our universities. Since the board is working independently, it is hard even to tell their qualification. Our board does not decide on policies and does not implement. The board is not aware of its work and they are not clear of what they do and cannot help the university to develop. There should be roles and regulations according to the constitution and the board should be given powers and the law should intervene and stream line the affairs of the university. The board should be given authority to make some decisions, recruit, and say yes or no where necessary.*

In our universities, the Vice Chancellor plays a big role in the university to ensure that all the stated rules and regulations from National Council for Higher Education Act are strictly followed. When it   to private universities, the Vice Chancellor is the head of Senate, decides for council and other structures of the university. Our management does not open up, hide information and work is delays. Management does not take part in decision making especially in private institution, does not deicide on policies, rules and regulation and yet they are supposed to direct the university.

Interviewer: How do you view the status of your university accountability mechanism?

Our universities have failed to maintain the efficient and effective systems for maintaining accountability, compliance and risk management as the key components of governance. These

universities have no external auditors, budgets are not approved some times and universities have no audit committees.

Interviewer: What do you think your university can do different in terms of governance to get better than it is now?

Participants: *Our University has involved the community and other stakeholders in order to have transparency, fairness and independence.*