

INSTITUTIONAL DESIGN AND UTILISATION OF EVALUATION RESULTS IN  
UGANDA`S PUBLIC UNIVERSITIES: A CASE STUDY OF KYAMBOGO  
UNIVERSITY

BY

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## DECLARATION

I, James Kabuye, declare to the best of my knowledge that this work is original and it has not been published and/or submitted for any other degree award to any other University before.

Signed: ..... Date .....

## APPROVAL

This is to certify that this Dissertation titled “Institutional Design and Utilisation of Evaluation Results in Uganda’s Public Universities: A Case Study of Kyambogo University” was submitted with my approval as the Supervisor:

Signature.....Date.....

**Professor Benon C. Basheka, PhD**

## **DEDICATION**

This Dissertation is dedicated to my children; Nethaneel and Joanna.

## ACKNOWLEDGEMENTS

I am so very grateful to God for enabling me to complete a Master's of Monitoring and Evaluation of UTAMU.

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## **LIST OF ABBREVIATIONS**

CLEAR	Centre for Learning on Evaluation and Results
GOU	Government of Uganda
ITEK	Institute of Teacher Education Kyambogo
KCCA	Kampala Capital City Authority
KYU	Kyambogo University
M&E	Monitoring and Evaluation
MDAs	Ministries, Departments and Agencies
NCHE	National Council for Higher Education
NDP	National Development Plan
NUEI	National Union of Education Institutions
OPM	Office of the Prime Minister
PEAP	Poverty Eradication Action Plan
SPSS	Statistical Package for Social Scientists
UEA	Uganda Evaluation Association
UFE	Utilization-Focused Evaluation
UNDP	United Nations Development Programme
UNISE	Uganda National Institute of Special Education
UPK	Uganda Polytechnic Kyambogo
USA	United States of America
UTAMU	Uganda Technology And Management University

## ABSTRACT

The study examined the relationship between institutional design and utilisation of evaluations in Uganda's public universities taking Kyambogo University as a case study. Specifically, the study interrogated institutional design in terms of procedural rules, evaluation processes and capacity with an interest of finding out how each of these affects the utilisation of evaluation results at Kyambogo University. In an effort to answer the research questions, a cross-sectional survey design was used and a sample of 118 respondents was considered to respond to the questionnaires and interviews that were supported with key informant interviews and documentary analysis. The empirical analysis of data followed non-parametric procedures using SPSS version 20. The results indicated that, procedural rules have a positive (0.033) but a statistically insignificant ( $\text{sig.} = 0.776$ ) effect on utilisation of evaluation results, while the evaluation process has negative (-0.208), albeit statistically significant ( $\text{sig.} = 0.001$ ) effect on the utilisation of evaluation results. The evaluation capacity however, has a positive (1.170) and a statistically significant ( $\text{sig.} = 0.000$ ) effect on utilisation of evaluation results. This means that the dimensions of institutional design dimensions vary in importance when explaining the utilisation of evaluation results with evaluation capacity and process being significant while procedural rules is insignificant. Therefore, we conclude, for utilisation of evaluation results in public universities, institutional evaluation capacity and processes are very critical. Consequently, we recommend strengthening of the evaluation competences and capacity of the university by beefing up the Directorate of Planning and Development so that it can coordinate and harmonise all evaluations and be charged with the follow up of utilisation of the results. Additionally, requisite policies and rules need to be put in place to clearly highlight the procedures for evaluations in the University.

# CHAPTER ONE

## INTRODUCTION

### 1.1. Introduction

The world is experiencing an increasing demand for utilisation of evaluations (Porter & Goldman, 2013: 1). This utilisation has been indexed on the design of the institutions for which evaluations are carried out. In this study, the researcher seeks to provide the nexus between institutional design and utilisation of evaluation in Uganda`s public universities with Kyambogo University as a case study. This would go a long way in improving the performance level of the higher education sub-sector through promoting administrative accountability in the public sector (Matsiliza, 2012: 67). It fits the current movement from the traditional implementation-based approach to the contemporary results-based approach (Hardlife & Zhou, 2013: 3).

Contemporary development process acknowledges the importance of evidence in decision making and data as an indispensable element of the development agenda (United Nations, 2015: 15). Uganda`s National Development Plan (NDP) (2010: 41) acknowledges the role of utilising monitoring and evaluation results in fine-tuning, reorienting and otherwise altering proposed initiatives. The evaluation results in many organisations have not been utilised (Rodríguez-Bilella & Monterde-Díaz, 2012: 2). The reason for the limited utilisation of evaluation results is that, the setting of the organisation does not match with the purpose of the evaluations (Widmer & Neuenschwander, 2004: 17).

Utilisation of evaluation results is further critical to the higher education sub-sector in order fight the mismatch between the curriculum at the tertiary institutions and the labour market

requirements, which explains the high graduate unemployment rates on Uganda's labour market (GOU, 2015: 36). In this spirit, the higher education sub-sector needs to keep responding to the varied needs of stakeholders. By way of designing tailor-made academic programmes, and hence curricula, as well as addressing the welfare requirements of the staff and students, the public universities would improve their performance.

In this study, Institutional design was interrogated as the independent variable while the utilisation of evaluation results was considered as the dependent variable. In the introductory chapter, I present the background to the study, the problem statement, the purpose and objectives of the study, the research questions that the study seeks to answer, the hypotheses, the scope of the study, its significance as well as the conceptual framework for the study.

## **1.2 Background of the study**

### **1.2.1 Historical background**

Evaluation as a field of practice is as old as mankind (Basheka & Byamugisha, 2015: 78). As an academic discipline, the authors agree with Scriven (1996: 395) to the effect that while evaluation is still a very young field of study and often claimed by several other disciplines such as philosophy, political science, psychology, sociology, anthropology, education, economics, communication, public administration, information technology, statistics, and measurement, an attempt to trace its roots as a profession brings about the 'chicken-egg dilemma' since there is hardly any science of what comes first. Ledermann (2012: 1) observes that the questions of whether or not evaluations are used are as old as the evaluation business itself.

Patton (2002: 209) shows that the history of evaluations and their utilisation are holy processes in the management cycle of organisations. He shows that from the Bible, the

first evaluation of the ten-day dietary project that got Daniel, Hannaniah, Mishael and Azariah fed on vegetables and water healthier and better fed saw its findings put to use. These were compared to the treatment group whose members were young men of Daniel's age who fed on meat and wine from the royal table. The programme director who carried out the evaluation was the chief Chamberlain who, on seeing the findings of the evaluation, fed all members on vegetables rather than food and wine they were to receive from the royal table. This dietary project was part of the training programme that was royally-funded. The programme continued for three years and they were taken to be presented before King Nabuchadnezzar of Babylon who found them worthy to enter the King's service (Daniel, 1:1-20).

Højlund (2014: 28) traced the utilisation of evaluations from rationalism and noted that evaluation itself was born in a time of belief in a better world through rational interventions and social engineering. His argument is that evaluation is inherently rationalist, causal and evolutionary in nature. His argument is borrowed from Cousins, Goh and Clark's (2004: 105) whose definition of evaluation takes it as a systematic inquiry leading to judgements about a project, programme, policy or organisation's merit, worth, and significance, and support for programme (or organisational) decision making has important implications for evaluation.

Sandison, Vaux and Mitchell (2006: 92) aver that the utilisation of evaluation has been a topic of lively debate in the development and public sector since the 1970s. They demonstrate that since the 1970s, the neat, linear connection between evaluation findings and policy or programme improvement has been increasingly challenged. Relatedly, Cousins and Leithwood (1986: 2) in defending their choice for the time scope for their current research on

evaluation utilisation argued that research on evaluation utilization was comparatively new and it was unlikely that many relevant empirical studies were reported before 1970.

The evaluation utilisation debate to date has greatly focused on the need to continuously utilise the evaluation results (Firme, Letichevsky, Dannemann & Stone, and 2009: 177). To this end, the authors advise that whoever makes decisions in evaluation interventions needs to align evaluation policies with the evaluation culture and evaluation practice. Relatedly, Rodríguez-Bilella et al. (2012: 1) focus on how institutions can use of their evaluation results to improve planning and decision making. The authors build on a case of an evaluation of a rural development programme in Argentina. Their results point to the consolidation of an evaluation culture in the region for utilisation of results since it generates an environment of learning and transformation. In addition, Mayne (2008: 1) argues for building an evaluation culture to support attempts at building an effective evaluation and results management regimes where information on performance is deliberately sought in order to learn how to better manage and deliver programmes and services and hence utilisation of results of the evaluation.

### **1.2.2 Theoretical background**

This study was underpinned by the utilisation-focused theoretical framework proposed by Patton (2008). Patton (2008: 37) avers that Utilization-Focused Evaluation (UFE) begins with the premise that evaluations should be judged by their utility and actual use. He argues that UFEs should advocate for close collaboration between evaluators and intended evaluation users. His argument stems from the fact that close collaboration enhances understanding and buy-in by the intended users of evaluations which results into increased commitment to use evaluation findings. It further allows stakeholders to improve the quality of their evaluation processes

through joint planning, implementation, monitoring and self-evaluation (Widmer & Neuenschwander, 2004: 8).

Patton`s theory is the learning-oriented also known as the interactionist theories of evaluation. These theories argue that intensive utilization of the results of evaluations is a result of close cooperation between the evaluators and the evaluatees. This promotes ownership of the evaluation processes and the findings and thus warrants use of the evaluation. King and Stevahn (2013: 17) assert that interactions with stakeholders make or break any evaluation process. Their argument is that utilisation of evaluation hinges on the process for conducting an evaluation. They add that, effective interactions among the stakeholders of the evaluation results into a more effective evaluation process.

Smits and Champagne (2008: 2) argue for practical participatory evaluation as an antidote to evidence-based decision making and accountability in policy making. This in turn contributes to learning among the stakeholders with the intention of reinforcing understanding and the ownership of results and a sense of obligation to follow through on the results. Their argument is built on Turnbull (1999: 131) who educates that participative processes warrant stakeholders to be involved in evaluation decision making early enough and to share joint responsibility for the evaluation report with the evaluator.

In the light of the current study, utilisation-focused evaluation theory requires that the institutional design in terms of procedural rules, the evaluation processes as well as the evaluation capacity are adequate to support the utilisation of evaluation results as in the conceptual framework.

### **1.2.3 Conceptual background**

This study considered utilisation of evaluations as the dependent variable and institutional design as the independent variable. Utilisation of evaluation is the use of the findings of an evaluation as well as the implementation of the recommendations of the evaluation. To Johnson, Greenseid and Toal (2009: 378), evaluation use is, “any application of evaluation processes, products, or findings to produce an effect”. Evaluation utilisation demonstrates the consequence of evaluation studies. It answers the question, “so what?” after presenting the findings of an evaluation. It therefore underscores the linkage between evaluation and policy. This is because; the aim of evaluation is to assist people and organizations to improve their plans, policies and practices on behalf of citizens (Weiss 1999: 469). Utilisation of evaluation results also ensures sustainability (Schaumburg-Müller, 1996: 7).

In this study, utilisation is treated from its five strands as seen in the conceptual framework. These strands are: instrumental, conceptual, process related, symbolic and general utilisation (Balthasar, 2008: 11-12).

Instrumental utilisation of an evaluation is the implementation of the recommendations. This is the intended, targeted and direct use of evaluation by the decision makers in the intervention. According to Rich (1991: 333), Instrumental Utilisation refers to “utilization that can be documented”. However, Mayne (1994: 19) regards instrumental utilisation of evaluations as the implementation of evaluation results and recommendations and Vedung (1997: 269) describes it as utilising evaluations as means in goal-directed problem-solving processes.

Conceptual utilisation, on the other hand, is change their opinions, attitudes, or ideas regarding certain aspects of the evaluated programme as the consequence of an evaluation (Balthasar,

2009: 11). Vedung (1997: 269) shows that Conceptualisation occurs when cognitive and normative insights are gained through evaluations. In the same way, Weiss (1977: 535) observes that it is ongoing sedimentation of insights, theories, concepts, ways of looking at the world and enlightenment. Conceptual utilisation as presented by Rossi, Lipsey, and Freeman (2004: 411) is the utilisation made of evaluation findings to enhance knowledge about the type of intervention under study with an intention of influencing the thinking about issues in a general way.

Process-related utilisation as given by Patton (1997) is one that results in sharing of the problem under investigation and develops strong networks for the commissioners of the evaluations. This same concept is taken by Henry and Mark (2003) to the action(s) or learning that takes place as a result of evaluation findings or as a result of participation in evaluation procedures.

Symbolic utilisation is when decision makers use evaluations to confirm their perspective and to obtain legitimation for themselves (Henry & Rog, 1998: 90). Henry and Mark (2003) educate that it is the use of evaluation to claim a rational basis for action, or inaction, or to justify pre-existing positions. Moleko (2011: 45) relates the symbolic utilisation of evaluation results where evaluation becomes an instrument of political manoeuvring to The Pork-Barrel approach. In this recourse, evaluations are used as a justification for what decision makers are interested in doing. Relatedly, Patton (2008: 112) regards Symbolic utilisation as the utilisation made of an evaluation result to fulfil a requirement to do evaluation or to show support for an intervention area; token use. A combination of all these four types of evaluation utilisation gives the general utilisation; therefore, in this study general utilisation was used for the general benefit of utilisation.

To understand the concept of institutional design, it is paramount that we clearly get the term institution at the onset. North (1989: 1321) treats institutions as the formal and informal rules,

enforcement characteristics of rules, and norms of behaviour that structure repeated human interaction, between individuals, within or between organizations, through incentives, disincentives, constraints and enhancement. Institution is used relatedly to organisation; that means groups of individuals bound together by some common purpose to achieve certain objectives. Therefore, institutional design is a more or less formalized practice which defines how evaluations are to be prepared and carried out (Balthasar, 2006:1). According to Balthasar (2009: 1), institutional design demonstrates the formal organization of processes, competencies and procedural rules that are applicable independently of individual evaluation projects. As a whole, it highlights the evaluation practice of an institution.

The researcher in the current study interrogated the dimensions of institutional design that impact on the utilisation of evaluations. This was done by borrowing from Balthasar (2007) although with improvement to suit the study. Klijn and Koppenjan (2006: 7) defined institutional design as both to the institutional features of the organisation, the activity to changes these features and the content of the institutional change that is aimed for. The dimensions that were considered include the institutional Procedural rules, Processes and Capacity. The procedural rules that were studied are those that govern evaluations regardless of who does the evaluation. These rules define the planning and implementation of evaluations, the assumption of costs as well as the involvement and participation of stakeholders in the evaluations. The institutional competences addressed the structure and the framework of the institution that commissions the evaluations. This was also closely studied. Under this, the researcher was interested in the following indicators: a unit responsible for evaluations, the staff of the institutional in terms of the numbers as well as their qualifications in the light of evaluations. The institutional Processes that are followed for the evaluations were also examined. These included the triggering of evaluations,

allocation practice as well the publication practice. The interest of the researcher was to establish whether the dimensions as a whole or the specific indicators in each of the dimensions of institutional design influence the utilisation of evaluations.

Evaluation is strongly dependent on its social and organizational context (Dahler-Larsen, 2012: 34). This shows that the extent to which evaluation results are utilised is indexed on the institutional context. In this regard, the researcher`s choice of institutional design is supported by the empirical studies of Balthasar (2006: 2), Balthasar (2008: 5) and Højlund (2014: 30) that suggest for the use of institutional design to explain the utilisation of evaluation findings. Their empirical contribution in this regard motivated the researcher to study the institutional explanation for the utilisation of evaluation results.

Other studies in the field of evaluation utilisation have dwelt on environment and process related factors (Cousins and Leitherwood, 1986: 347). For example, Lester and Wilds (1990: 315) talk of contextual variables such as: the nature of the political environment where policy analysis occurs: nature of the problem, issue salience and bureaucratic variables, user characteristics, clear definition of objectives by decision maker, decision-maker interest, decision maker style, decision maker participation. While, Bayley (2008: 3) presents the characteristics of the evaluation as factors that influence utilisation of evaluation results.

#### **1.2.4 Contextual background**

Centre for Learning on Evaluation and Results (2012: 10) shows that the public sector in Uganda still experiences limited utilisation evaluation results. The limited utilisation is based on poor information dissemination and the inability of public institutions to build capacity for the timely

generation and distribution of information. It is against this backdrop that the researcher seeks to study the public sector, and specifically the public universities.

Uganda has seven public universities (NCHE, 2013) including; Makerere University, Mbarara University of Science and Technology, Gulu University, Kyambogo University, Busitema University, Muni University and Soroti University (<http://www.unche.or.ug/institutions/public-universities>). These public universities were considered because even when they are fewer in number, they are popular with bigger students' population of 55,763 students or 71.4% of students in the University sub-sector (NCHE, 2005: 19). Available information shows that in 2013, 156,747 post-secondary students, of whom 67.3 per cent enrolled in universities, with 60 per cent of these are in Public Universities (GOUb, 2015: 64).

Out of all these universities, this study was carried out at Kyambogo University. Kyambogo University (KYU) is one of the public universities in Uganda. It was established by the Universities and Other Tertiary Institutions Act (2003) as amended. This was done by merging three institutions: Uganda Polytechnic Kyambogo (UPK), Uganda National Institute of Special Education (UNISE) and Institute of Teacher Education Kyambogo (ITEK).

This University has faced numerous challenges, some of which would have been solved with good evaluation practices and utilisation of the findings. For instance, the University has had a multiplicity of strikes by both the students, faculty, administrative and other staff demanding for welfare packages. Eight students' as well as five staff strikes have been recorded according to GOU (2015: 7). One notable staff strike demanded for the release of the report of a study on issues raised by the NUEI members. This report had been written and completed in 2010 but findings had not been made known to the stakeholders.

In an effort to address the issues raised by the concerned stakeholders, the University management as well as government has always instituted ad hoc committees to evaluate the issues and suggest recommendations.

Other evaluations are carried out on academic programmes every five years with aspirations of reviewing the curriculum to suit the current needs of the economy and the labour market. The programmes delivered at Kyambogo are well thought through, organized or in conformity with international best practice. In this regard, the most recent review of curriculum in the 2009/2010 academic year was not put to use. In 2011, the National Council for Higher Education (NCHE) monitoring team found that out of 165 courses taught at the time, only 20 (12%) were fully accredited, which was unacceptable to the NCHE. The reasons given for the non-accreditation were basically institutional in nature, including fear that if programmes were given to NCHE they would be pirated and made public, the unsettled period after the merger could not allow the accreditation process to proceed, many lecturers were part-time and not interested in writing programmes, staff demanded for extra payments to write out the academic programmes and that takes long for programmes to reach NCHE for accreditation yet Kyambogo University is neighbouring NCHE (GOU, 2015: 87).

A Cabinet Committee in March 2007 evaluated the various grievances that resulted into the sit-down strike of academic staff and support staff of Kyambogo University. They reported that the grievances that led to the strike included: the unending integration process, dissatisfaction among members of staff with the manner in which top officials of the University were appointed, absence of Master and Strategic Plans, limited academic representation on the Senate, inadequate infrastructure, inadequate preparation in starting the University, poor administration, inadequacy in handling academic issues, and insufficient funding (GOU, 2015: 23).

The Committee recommended that: As a matter of priority, KYU management should put in place Master and Strategic Plans; the Vice Chancellor whose irregular appointment had been complained about be given an early retirement; financial regulations, policies and laws should be strictly adhered to; the integration process be expedited following which a revalidation exercise of all staff be done; infrastructure be improved and the academic concerns relating to recruitment of qualified staff be addressed including the introduction of a practice whereby students assess lecturers' performance (GOU, 2015: 24). Some of these have been put in place but many are not yet. This study established how the design of the University has always influenced the use of those proposals.

The Office of the University Secretary (2015: 1-5), narrates how the Mutazindwa evaluation report of 2011 on the negotiations of National Union of Education Institutions (NUEI) employees in the University had not been released and disseminated to concerned stakeholders. This created curiosity and culminated into a staff strike early in July 2015. It is against such a backdrop that the researcher intends to unravel the linkage between the design of Kyambogo University and the utilisation of such evaluations at the University.

### **1.3 Statement of the problem**

The strength of an evaluation is measured from the extent to which the findings and recommendations are utilised (Patton, 1997: 20). Utilisation of evaluations has been appreciated by numerous scholars in the field of evaluations (Rebora & Turri, 2011: 9; Patton, 1997: 20 & Widmer et al., 2004: 4). The extent to which these evaluations are utilised has been associated to the design of the institutions for which and in which evaluations are carried out. On this subject,

Balthasar (2006, 2007 &2009) has systematically presented the influence of the institutional design on the utilization of evaluations.

In addition, for the case of KYU, notwithstanding the numerous evaluations that have been carried out, available evidence indicates that the utilisation level for the evaluation results is still weak. This has resulted into perpetual low performance levels as indicated by the copious strikes from both the students and staff fraternity (GOU, 2015: 58). This low utilisation level has been blamed on the institutional design. Therefore, through this study, the researcher intended to build on the work of Balthasar (various years) to empirically interrogate the effect of the institution`s procedural rules, processes and capacities on the utilisation of evaluations at Kyambogo University.

#### **1.4 Purpose of the study**

The purpose of this study was to find the effect of institutional design on evaluation utilisation at Kyambogo University.

#### **1.5 Specific Objectives**

The study was guided by the following objectives:

- i. To determine the relationship between the institutional procedural rules and the utilisation of evaluations in Uganda`s public universities;
- ii. To establish the effect of institutional evaluation processes on the utilisation of evaluations in Uganda`s public universities;
- iii. To find out whether the institutional capacity has an effect on the utilisation of evaluations in Uganda`s public universities.

## **1.6 Research questions**

The study intended to answer a broad research question thus: What is the relationship between institutional design and utilisation of evaluation at Kyambogo University? However, the following explicit research questions were explored;

- i. How are the institutional procedural rules related to the utilisation of evaluations in Uganda`s public universities?
- ii. What is the effect of institutional evaluation processes on the utilisation of evaluations in Uganda`s public universities?
- iii. How does the institutional capacity effect the utilisation of evaluations in Uganda`s public universities?

## **1.7 Research Hypotheses**

The researcher sought to test the following null hypotheses through this study:

- i. Procedural rules have a negative relationship with evaluation utilisation in Uganda`s public universities.
- ii. Evaluation processes of the institution have a negative relationship with evaluation utilisation in Uganda`s public universities.
- iii. Capacity of the institution has a negative relationship with evaluation utilisation in Uganda`s public universities.

## **1.8 Justification of the Study**

This study is defensible on the ground that in a public university, many evaluations take place. These range from evaluation of the teaching and learning processes by both internal and external examiners who at the end of the process suggest recommendations that would need to be implemented for performance improvement. Other evaluations take forms of periodic reviews of programmes and projects that are implemented by the universities. For instance, the academic programmes are reviewed every five years. In Kyambogo University for instance, evaluations are done right from Sections, to Departments, Schools and/or Faculties, Senate, Top Management and University Council. At all these levels, recommendations are suggested that would follow up and recommendations, but with trifling levels of utilisation. This has resulted into numerous strikes from both students and staff GOU (2015: 7). Some of the strikes have demanded for utilisation of the results with a case in point of the Mutazindwa evaluation report (Office of the University secretary, 2015: 1-5). This study interrogates how the extent of utilisation of the evaluation results is indexed on the design of the University which is defined as institutional design and conceptualised as institutional evaluation procedural rules, processes and capacity.

## **1.9 Scope of the study**

The current study was on the nexus between institutional design and the utilisation of evaluations at Kyambogo University. The consideration of the institutional design was informed by the fact that recent studies found that performance issues in the University were largely concerned with the systems that are in place for the governance of the institution (GOU, 2015). It considered the period of twelve years to cover the whole life of Kyambogo University from its inauguration in 2003.

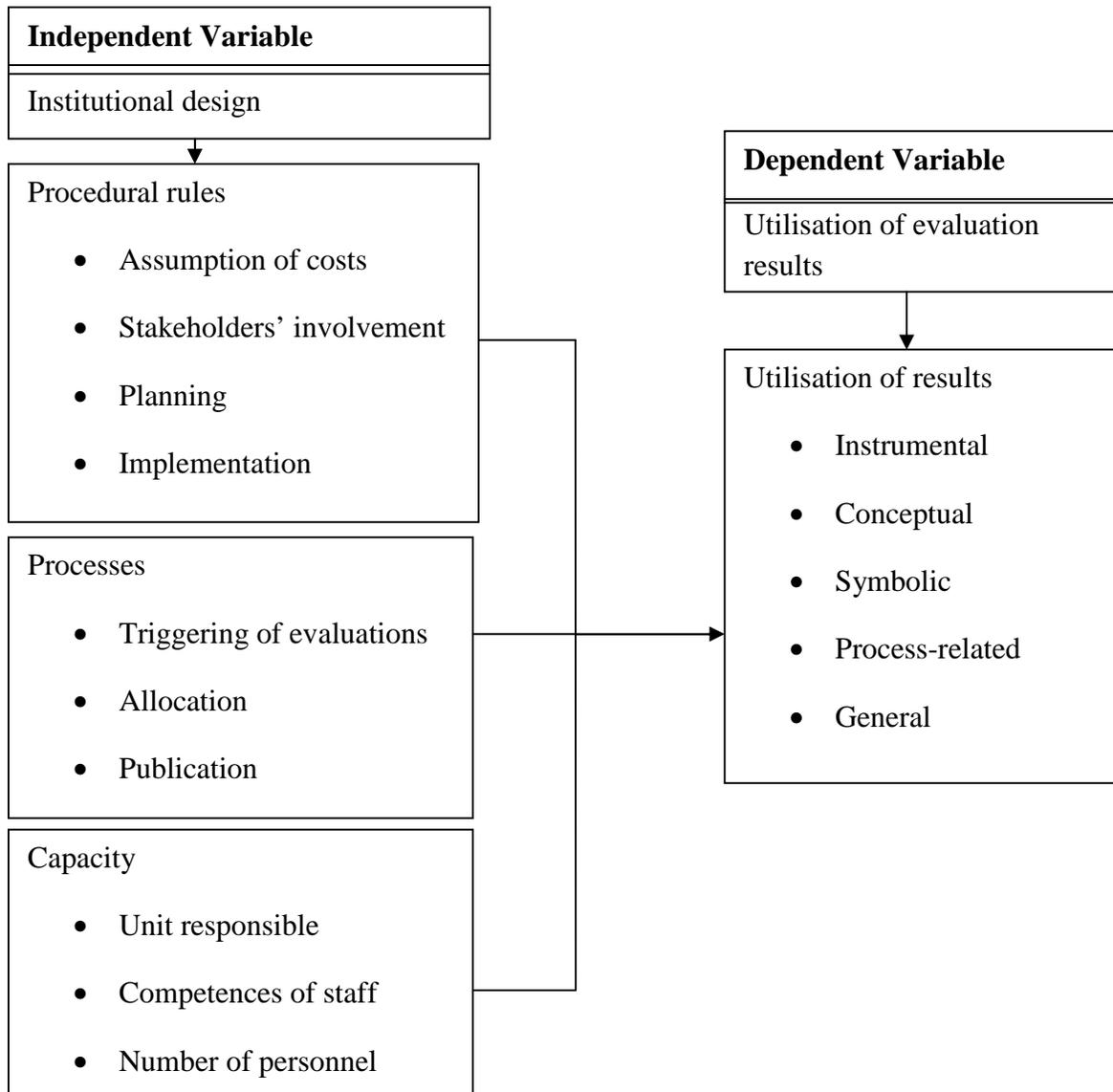
### **1.10 Significance of the study**

This study identified the institutional arrangements that promote utilisation of evaluations in public universities in Uganda. The significance of this study was in its conceptualisation as well as the methodological orientation that was followed in the process of data collection and analysis. This is because, in the field of evaluation, very few studies have been carried out by Balthasar (2006, 2007 & 2009).

### **1.11 The conceptual framework**

The conceptualisation of this study is diagrammatically presented in Figure 1 below. It clearly spells out the dimensions of the independent and the dependent variables as well as their respective indicators.

**Figure 1. 1 The Conceptual Framework**



Source: Balthasar (2007) with author's input.

Figure 1 above shows how the researcher conceptualises the study of institutional design and utilisation of evaluations. Utilisation of evaluation is the dependent variable, while institutional design is considered as the independent variable.

The evaluation utilisation dimension is conceptualised in terms of the known indicators and types of utilisation as explained in the conceptual background. These include instrumental, process related, conceptual, symbolic and general utilisation in line with Balthasar (2007).

Institutional design is conceptualised in terms of three dimensions that include procedural rules, processes and capacity. Procedural rules relate to four indicators that were studied; assumption of costs, stakeholders' involvement and participation, as well as planning and implementation. However, processes for evaluation included the triggering of evaluations, allocation and publication practices of the evaluation in the institution. Institutional capacity was interrogated in terms, a unit responsible for evaluation in the institution, staff competences as well as the number of personnel in charge of evaluation in the institution. This is because evaluations normally require expertise to determine appropriate methodologies to use with other important aspects in the evaluation process (Cooksy et al, 2001).

These three variables including: institutional procedural rules, processes and capacity constituted the independent variable of the current study (institutional design). This is critical in the use of evaluations because organisations seek, above all, consistency and predictability. Therefore, institutions are not likely to use evaluations that deviate from the beliefs of the organisation. As well as evaluation utilisation was studied with a major objective of finding an answer to the major research question.

## **CHAPETER TWO**

### **LITERATURE REVIEW**

#### **2.1 Introduction**

The design of an institution in terms of rules of procedure, processes, capacity and outcomes is crucial in informing whether Evaluation results are utilized by organizations. This forms the organisation context of evaluation. It is critical to note that this context is heterogeneous but not homogeneous. Therefore, the utilisation of evaluation needs to be pegged on the institutional framework of the evaluation. This chapter presents the literature that has been reviewed concerning the current study. The purpose of literature review in this study is to establish the theoretical underpinning of the study so that it is not carried out in a vacuum. The chapter is written following the objectives of the study.

#### **2.2 Institutional procedural rules and utilisation of evaluation results**

Klijn and Koppenjan (2006:14) considered rules as the institutional characteristics of networks with rules of the networks probably making certain strategies more likely than others to warrant utilisation of results because of proven ways of doing, of power differences or other characteristics that are connected to the set of rules in a certain network to guide the behaviour of actors within the network and henceforth influence the utilisation of evaluations. Scott (1995: 48) advises that the formal and informal rules shape social action, constraining actors and limiting their choice of action, and might be the subject of conflict between competing interests.

Firme, Letichevsky, Dannemann and Stone (2009: 172) guide that a set of guidelines establishes rules and procedures to properly conduct planning, implementation and effective utilization of

evaluation results, in all levels of possible implementation. The rules need to be directive enough to ensure consensus for achieving a major common purpose in a disciplined way. Also critical is that the guidelines ought to be well documented and transparent for both the evaluator and evaluatees. As well, they must answer questions such as: “What makes up the evaluation? Who is responsible for what? What standards do we use? Without clear answers to these questions, conflicts arise that sabotage the evaluation process.

Balthasar (2008: 26) educates us that procedural rules define stakeholders who are involved in the evaluation process along with the extent to which they are involved. This eventually helps to influence the type and intensity of the utilization of the results. In addition, institutional elements impose restrictions on action with regard to the planning and implementation of evaluations, with the diverse alternatives for action that influence the utilization of the evaluations.

De Coning (2014: 143) shows that stakeholders` involvement is critical in the utilisation of evaluations as with the other participatory approaches. In addition, the utilisation approach regards the evaluator not as a distant judge in this process. Therefore, potential stakeholders or users of the evaluation data that could participate in the evaluation process need to actively work with the evaluator so that their questions can best be answered by the evaluation process.

Conley-Tyler (2005: 7) guides that institutions need to make a fundamental choice of whether to use internal or external evaluation. She educates that the choice needs to be based on factors that include cost, knowledge, flexibility, objectivity, accountability, willingness to criticise, ethics and utilisation of results. Greene (1987: 393) posited for the involvement of stakeholders in the evaluation process by highlighting the benefits of such involvement and participation to include enhanced utilization without necessarily compromising technical quality, and as such argued that

benefits substantially outweigh perceived costs. He added that, during the utilization and results phases of these evaluations, it was critical to have effective communication of results.

UNDP (2002: 56) presents strategic engagement of stakeholders as a key checklist of learning from monitoring and evaluations. Stakeholders are able to participate in the continuous process of generating and applying evaluative knowledge. Institutional leaders together with the evaluator ought to choose who participates in this process and to what extent they are involved that is informed, consulted, actively involved, equal partners or as the key decision-makers. These are strategic decisions for managers that have a direct bearing on the learning and the ownership of results. A framework that generates knowledge, promotes learning and guides action is, in its own right, an important means of capacity development and sustainability of evaluation results.

Mayne (2008: 1) advocates for institutions to have institutionalised learning events. He looks at a learning event as one that is structured around a current issue of concern where the available information and evidence are brought together in a digestible format for an informed discussion by the interested parties of the issue and what the available evidence implies for future actions. This would require rules defining the timing and nature of the events. The study results tell the answer whether Kyambogo University has such forum such as quarterly reports, annual reviews and mid term comprehensive review of the mid term strategic plan, for stakeholders to share lessons from the various interventions.

Balthasar (2008: 7) appreciates that the administrative units have very widely differing regulations regarding the assumption of costs for an evaluation. On page 18 in his findings, he shows assumption of costs by a superior unit has a negative influence on utilisation of evaluation findings, which means that the assumption of costs by a superior unit reduces the chances of

utilization. Balthasar (2008: 26) however, reveals that, the assumption of costs by those responsible for the measures has a positive effect on instrumental utilization.

Managers of evaluations can promote the use of evaluation results by taking some time to carefully plan the evaluation so that it meets the needs of decision-makers. Typically, evaluation results can be used to improve organization and management, improve planning, assist decision-making, assist policy-making, indicate where action is needed, improve monitoring, indicate where technical assistance and training are needed (<http://mymande.org/howto-recomm-page?q=node/19>).

### **2.3 Institutional processes and utilisation of evaluation results**

Mayne, Divorski, and Lemaire (1998, 30) argue that once evaluations are triggered by those responsible for implementation of the measures, difficulties are faced in asking questions of effect and relevance of the measures and programmes. This is because; diverse forms of institutionalization disagree in their ability to deal with the varying information requirements of the target groups. In this case, Balthasar (2008: 8) says that there would be greater distance between the evaluator and the valuees.

Balthasar (2008: 8) interrogated the question of triggering evaluation from the different points of view. These were: the triggering of an evaluation by a unit responsible for evaluations, by a monitoring body, or by those responsible for the measures. Balthasar (2008: 26) `s results show that, triggering of the evaluation by the unit responsible for the measures or implementation of the examination within the office, promotes process-related utilization.

Williams, de Laat, and Stern (2002: 31) aver that independent evaluations should be carried out by people who are not involved in the implementation of a measure. This is contrary to Conley-

Tyler (2005: 8) who argues that internal and external evaluators can be independent depending on the evaluation role they choose. In this regard, Balthasar (2009: 235) says that the distance between the evaluators and the evaluatees would be big where evaluations are carried out by individuals who are not responsible for the implementation of the evaluated measure. Relatedly, Müller-Kohlenberg and Beywl (2003, 65) distinguish between Internal and external evaluations by appreciating that evaluation specialists either from the administration or from outside of the administration are entrusted with the evaluation.

Regarding the dissemination of evaluation findings, Bussmann (1995: 22) and Wollmann (2003: 344), advocate maximum transparency and openness in the area of evaluations, with the specific intention of enabling learning processes. In addition, Valovirta (2002: 78) argued that making reports publicly accessible provides a platform for discussing the results of evaluations and lines of argument in the studies. With regard to the dissemination of reports, Widmer, Landert and Bachmann (2000: 9) advise that attention should be paid to ensure that all people who are in any way involved in or affected by the evaluation have access to the report.

Balthasar (2008: 7) analyses the allocation practice of an organisation by asking: Is the order to implement the evaluation allocated through an invitation to tender? His hypothesis is that if a study is carried out as a self-evaluation by those directly involved who are commissioned to carry out the evaluation mandate, there is no distance between evaluatees and evaluators. On the contrary, if those responsible for the evaluated measure place the evaluation mandate directly with a third party, a certain small distance between evaluators and evaluatees can be assumed and that the distance is great if the contract is placed through a competitive process. Relatedly, if an open or selective invitation to tender is issued however, his results were insignificant.

Uganda Evaluation Association (UEA) (2013, 11) advises that findings of the evaluation should be disseminated to stakeholders of the programme under evaluation, to the extent that this is useful, feasible and allowed. This dissemination includes; provision for draft reports, timeframe for review and feedback to allow for possible technical corrections, if any. In addition, the evaluation report should be easily accessible by the stakeholders of the program under evaluation, with adequate scope and guard against misconceptions, biases, distortions, and errors. Equally important is that the evaluation process and findings should promote organizational learning in the institution whose programme is being evaluated.

#### **2.4 Institutional evaluation capacity and utilisation of evaluation results**

United Nations (2015: 14) appreciated that role of statistical capacity in improving the availability, reliability, timeliness and accessibility of data to support the post-2015 development agenda, sustainable investments are needed in statistical capacity at all levels, especially the national level. To realise the scaling-up of national statistical capacities and the strengthening and modernization of statistical systems, there is need to ensure effective institutional arrangements and internal coordination, sustainable human resources, sustainable internal and external financial resources and technical cooperation. This underlines the role that institution plays in determining whether or not evaluation results are utilised.

Dabelstein (2003: 369) shows that insufficient evaluation capacity of the institution demands that activities are carried out to support the development of the necessary capacity where the need has been identified. This can take the form of both formal and informal evaluation training within and outside the institutions from evaluation associations, consultants or universities. However, Conley-Tyler (2005: 7) advises that determination of the evaluation capacity of an organisation

needs to be assessed in terms of the size of the organisation and its likely future evaluation needs. She goes ahead to argue that building staff capacity may be a strong factor in some cases but may make no sense for an organisation that is only going to conduct one evaluation after a very long time, say a decade.

Léautier (2012: 14) educates us that evaluation capacity is unbounded and takes the forms of capacity to manage evaluations, the capacity to conduct them as well as capacity to use evaluations. However, it has always been taken to refer to the capacity to carry out evaluations. He goes ahead to advice that it is paramount to ensure enhancing individual capacities. At the same time, strengthening the capacity of the organization is equally important so that the individual experts are not frustrated by the institutional arrangement and processes. It is likewise critical that the capability of the individual and organizations to use evaluations for learning and adapting methods to objectives are also addressed.

Schaumburg-Müller (1996: 8) shows that establishment of a unit responsible for the evaluation function in an institution is an important indicator of demand for evaluation and its utilisation. He cites some countries where evaluations are based on legislation. For instance, he shows that in Columbia, the evaluation requirement is provided for in the constitution.

Højlund (2014: 34-35) notes that an organisation with a culture of evaluation and measurement is likely to have a culture that supports its desire to increase efficiency. Such would use knowledge instrumentally to improve its efficiency, thereby increasing its legitimacy. He observes that an organization with low internal propensity to evaluate is characterized by few measurable outputs, little propensity to evaluate and few measurement practices and It will primarily use evaluation symbolically to legitimize its activities and itself.

Uganda Evaluation Association (2013: 15) argues that Persons engaged in designing, conducting and managing evaluation processes should possess core evaluation competencies which need to be maintained through a regular programme of continuing staff development. The professional capacity of staff as evaluators and commissioners of evaluations needs to be continuously developed through improved knowledge and skills; strengthening evaluation management; stimulating demand for evaluations; and supporting an environment of accountability and learning.

## **2.5 Empirical studies**

A number of studies on the subject have been reviewed at global, African and Ugandan level in the following sub headings.

### **2.5.1 At Global level**

Højlund (2014: 6-7) interrogates evaluation use in the organizational context with a focus of improving theory. His study focuses on the well-known paradox that even when evaluation is undertaken to improve policy, it rarely does so. Højlund's article found that justificatory uses of evaluation do not fit with evaluation's objective of policy improvement and social betterment using organizational institutional theory to explain evaluation use. This study also understands the role of the institutional framework in explaining the extent to which evaluation results are utilised.

Eckerd and Moulton (2010: 2) draw on data collected from diverse non-profit organizations in Columbus and Ohio in United States of America (USA) to support the institutional theory of organisations. From their study of non-profit organisations, they observe that a common theme emerging from research on non-profit evaluation is a nuanced and multidimensional approach

that is more appropriate than a one-size-fits-all approach. The authors acknowledge that different organizations are most likely to benefit from different evaluation practices and hence utilisation of evaluations. This fits in the public sector domain with peculiar features that deserve keen scrutiny as far as how these features affect the ways in which they affect the extent to which evaluations are utilised.

Karkara (2013) demonstrates that the institutional design of an evaluation ensures that a system exists to implement and safeguard the independence, credibility and utility of evaluation within an organization. It strengthens the capacity of senior management for strategically planning evaluations and to identify the key evaluation questions and to manage and use evaluations. This study is geared towards interrogating the institutional systems at KYU with a purpose of establishing whether they influence utilisation of evaluation results.

Facilitating conversation among stakeholders can also help to avoid miscommunication of findings, brainstorm strategies for how to implement recommendations, and prevent misuse of the findings (Milstein, Wetterhall & CDC Evaluation Working Group, 1999). They continue to assert that it is not sufficient to disseminate reports of findings or various communication materials to stakeholders and expect immediate application of information. Feedback and stakeholder discussions are important steps in the dissemination process that can improve both the chances and quality of utilization.

Firme, Letichevsky, Dannemann, and Stone (2009: 172) examine evaluation culture and evaluation policy as guides to practice with reflections on the Brazilian experience and appreciate the indispensability of institutions in building an evaluation culture. This culture allows overall comprehension and acceptance of the importance, need, practice and utilisation of

the evaluations. This is critical for utilisation of evaluation results for the institutions or organisations. Therefore, in this study the researcher was interested in interrogating the policies of Kyambogo University and whether they influence the utilisation of evaluation results at the university.

Rodríguez-Bilella and Monterde-Díaz (2012: 2) in their study on Evaluation, Valuation and Negotiation with Reflections towards a Culture of Evaluation from Latin America noted that the evaluation of public policies has become a topic of growing interest in multiple contexts, particularly in Latin America. Managers of public institutions and policy makers have begun to use evaluation both to streamline public spending and to comply with accountability issues.

### **2.5.2 African level**

Porter and Goldman (2013: 3) show that although the institutional design of government Monitoring and Evaluation systems in Uganda, Benin and South Africa is still young compared to that of Colombia, it goes beyond coordination, to information generation through evaluation with formal centralised Monitoring and Evaluation (M&E) function. They show that such a design is important, including the systems for capturing, processing, storing and communicating M&E information. In this regard, Monitoring helps managers and policymakers to recognize what the money invested is producing and whether plans are being followed. While, Evaluation helps to illustrate the difference being made, why a given level of performance is being achieved, what is being learned from activities, whether and how to strengthen implementation of a programme or policy. All these, when summed up, tell the ability of the institution to utilise the results of the evaluations because, unless the institution requires evaluation results in its planning and budgeting, results may not be utilised.

### **2.5.3 Ugandan level**

Uganda's development of M&E is closely woven with the need to demonstrate government performance and responsiveness to citizens' demands through the Poverty Eradication Action Plan (PEAP), which was introduced in 1997. The coordination of M&E in the country is a mandate of the Office of the Prime Minister (OPM). The OPM reviews the performance of all Ministries, Departments and Agencies (MDAs) against stipulated annual and semi-annual targets. The evaluation tools presently used by government include: ministerial policy statements, budget framework papers, semi-annual and annual cabinet retreats. These provide frameworks to review government performance, the community information system, the annual budget performance report and *Barazas* (public community meetings where results of government programme implementation are discussed) (Centre for Learning on Evaluation and Results (CLEAR), 2012: 16-17).

### **2.6 Synthesis of the Literature Review**

The literature that was reviewed indicates that the question of utilisation of evaluation results is critical in the knowledge body of evaluations. The utilisation of evaluation results has been pegged to the design of the institutions for which the evaluations are carried out. The conceptualisation of institutional design has been perceived differently and with diverse methodologies. This study sheds light on the conceptual and methodological paradigms of institutional design as it relates to utilisation of evaluation results.

## **CHAPTER THREE**

### **METHODOLOGY**

#### **3.1 Introduction**

This chapter presents the methodology that was followed in the course of the current study. It presents the research design, study population, sample size, sampling methods, data collection methods and instruments, procedure for data collection, validity and reliability, data management and analysis, measurement of variables, ethical considerations and anticipated limitations of the study.

#### **3.2 Research design**

The current study was conducted through a cross-sectional survey design. Cross-sectional survey research design is a present-oriented methodology that is used to investigate populations by selecting samples to analyse and discover occurrences (Oso & Onen, 2009: 75). It was used to study a group of people just one time, in a single session, focusing on the institutional design and utilisation of evaluations at KYU. Surveys are designed to provide a picture of how things are at a specific time. Cross-sectional survey design was adopted because it helps the researcher gather data from a sample of a wider population at a particular time (Amin, 2005: 212) and use such data to make inference about the wider population.

#### **3.3 Study population**

The study was carried out at KYU, Kampala. The study population included all the staff in Kyambogo University. These included academic staff as well as the administrative staff of the University as given in Table 3.1 below:

**Table 3.1 Staff Population at Kyambogo University**

<b>Category</b>	<b>Population</b>
Academic Staff	385
Administration Staff	188
Total	573

Source: Kyambogo University (2013: 10)

The table shows that Kyambogo University has a total of 573 staff who belong to two categories. 385 belong to the Academic staff and 188 belong to the Administrative staff. The figure for Academic staff represents the 36 per cent of the teaching posts that were filled (GOU, 2015: 67). The Academic staff constituted the target population and respondents were selected from this population. The rationale for consideration of Academic staff was underpinned by the fact that this cadre of staff is directly engaged in the core function of the university and they also participate in most of the evaluations at the University.

### **3.4 Sample size determination**

Oso and Onen (2009: 79) advise that it is impossible to study the whole targeted population. Therefore the researcher decided on a sampled population. A sample size of 196 respondents was determined using Yamane's (1967) statistical formula as shown below.

$$n = \frac{N}{1 + Ne^2}$$

Where n= sample size

N= population size

e= level of significance (0.05) therefore, by substituting, the sample size was:

$$n = \frac{385}{1 + 385(0.05)^2}$$

$$n = \frac{385}{1 + 385(0.0025)}$$

$$n = \frac{385}{1.9625}$$

$$= \underline{196}$$

### **3.5 Sampling Methods**

The study employed simple random sampling to select the sample. Simple random sampling selects a sample without bias from the target or accessible population (Oso & Onen, 2009: 84).

The sampling frame used was a list of University staff that was sought from the Directorate of Human Resources to help in determining the respondents. Names of each staff were written on pieces of paper and they were contacted to be involved in the study.

The study also used purposive sampling of administrative staff in the Directorate of Planning and Development (DPD) that houses the M&E function since they are specific and known in the University; hence key informant interview instruments were administered on them. Purposive sampling enables the researcher to decide who to include in the sample based on their typicality (Oso & Onen, 2009: 85).

### **3.6 Data Sources**

This study benefited from both primary and secondary data sources. Primary data was got from the University staff on whom questionnaires and key informant interview instruments were administered.

The secondary data was got from the reading literature and existing records of the University that included the Strategic and Master plans, evaluation reports and other relevant reliable documents.

### **3.7 Data Collection methods**

The study used both Questionnaire survey for quantitative data, Key Informant Interviews for qualitative data and Document analysis.

#### **3.7.1 Questionnaire survey**

This method was used by way of self-administered questionnaires to respondents in relation to the indicators of institutional design as well as those of utilisation of evaluation results. Closed-ended questions in a Likert scale were used. It followed a five category response continuum: Strongly Agree, Agree, Not Sure, Disagree and Strongly Disagree respectively. Questionnaires are oftentimes a one-time data gathering device on the variables of interest to the researcher (Amin, 2005: 269).

#### **3.7.2 Key informant Interviews**

The interview method was used to explore which and how institutional design affects the utilisation of evaluations at KYU. These were given to the staff of the DPD as well as members of top management of the University. Interview method was used because it provides an excellent opportunity for the study to take note of issues that can not be directly observed or difficult to put down in writing, and hence capture the meanings beyond the words (Oso & Onen, 2009: 90).

### **3.7.3 Document analysis**

This was used in sourcing for secondary data in all relevant documents in relation to the influence of institutional design to the Utilisation of Evaluations at Kyambogo University. These were sourced from the Strategic and Master Plan, evaluation reports and other relevant reliable documents.

## **3.8 Validity and Reliability**

It is imperative that the researcher ensures validity and reliability of the instruments. In this regard, the data collection instruments were pretested on a smaller number of respondents from each category of the population to ensure that the questions were accurate and clear in line with each of the study objectives.

### **3.8.1 Validity**

Validity is the accuracy and meaningfulness of inferences, which are based on research results. It is the degree to which results obtained from the analysis of the data actually represents the phenomenon under study. It allows inference to be made once instruments serve the purpose for which they are intended (Amin, 2005: 284). The researcher consulted the supervisor for proper guidance after which, the researcher pre-tested the instruments and after pre-testing ambiguous questions were removed so as to remain with the finest questions.

### **3.8.2 Reliability**

Amin (2005: 293) describes reliability as the extent to which the instrument consistently measures what it is measuring. The researcher tested for reliability using the Cronbach`s Alpha

coefficient test of the instrument using SPSS. The instrument was considered reliable once the coefficient was 0.7 and more as shown in Table 3.2 below.

**Table 3.2 Reliability results**

Variable	Alpha	Number of items
Utilisation of evaluation results	0.892	5
Procedural rules	0.734	4
Evaluation process	0.858	5
Institutional evaluation capacity	0.852	6

Basing on the results in Table 3.2 above, all variables passed the Cronbach`s Alpha coefficient test and hence were reliable enough to be used as measures of utilisation of evaluation results and institutional design.

### **3.9 Procedure for data Collection**

After the construction of the data collection instruments, the researcher took them for approval to the supervisor. At this point, the researcher obtained a letter of introduction from UTAMU to help with introductions to various respondents. Thereafter, the instruments were taken for pretesting among selected few respondents. Pretesting helps to know whether respondents interpret phrases and questions as the researcher wants them. It also helps to obtain a general assessment of respondents' ability to perform the required tasks, for example, recall relevant information, estimate the frequency of specific behaviours and also help to obtain ideas for question wording in case rephrasing of the original statements is needed.

### **3.10 Data Analysis**

In this study, after respondents answered questionnaires and key informant interviews, raw data was cleaned, sorted and condensed into systematically comparable data. Analysis was done as elaborated below.

#### **3.10.1 Quantitative data analysis**

In handling all the objectives of the study, the researcher used Statistical Package for Social Scientists (SPSS) where data was entered, edited, cleaned and sorted. This programme was used to do Univariate analysis (Amin, 2005: 321). Through this, the study described the demographic attributes of respondents as well as the attributes of utilisation of evaluation results, institutional evaluation procedural rules, processes and capacity. Univariate analysis of these objectives was used to obtain descriptive data in form of means, frequencies and percentages of the respondents. In establishing the relationships among variables, this was followed with Bi-variate analysis that is done using correlation and regression to establish relationships among the study variables (Amin 2005: 322). Bivariate analysis in form of Spearman rank order correlation and regression analysis was used to ascertain the magnitude of effect the dependent variable has on independent variable.

The correlation coefficient ( $r$ ) takes a value between -1 and 1, with 1 indicating perfect positive linear correlation and -1 indicating a perfect negative linear correlation. A positive correlation shows a positive association between the variables (increasing values in one variable correspond to increasing values in the other variable), while a negative correlation shows a negative association between the variables (increasing values in one variable correspond to decreasing

values in the other variable). A relationship value close to 0 shows no association between the variables (Amin, 2005: 381-382). In correlation analysis, the level of significance will be,  $P=0.05$  for one tail. Thereafter, Multivariate analysis was done using a multiple regression (Amin, 2005: 405). Under this, all independent variables (procedural rules, evaluation processes and evaluation capacity) were regressed on the dependent variable (Utilisation of evaluation results).

### **3.10.2 Qualitative data analysis**

For qualitative data, various responses from respondents were categorised into common responses that related to the objectives of the study as advised by Amin (2005: 324). This was qualitative data that was obtained from interviews and various documents and analysed by content analysis (Kothari, 2004: 110). This helped to corroborate the data obtained through the questionnaires. Therefore, each piece of work was read through thoroughly to identify where the themes belonged and hence presented, interpreted and analysed.

### **3.11 Ethical Considerations**

Data was collected from respondents only after seeking consent for their participation. All research participants were of informed consent and the participation in this study was purely voluntary. Therefore, no respondent was coerced to participate in the current study.

The researcher ensured confidentiality of the information given by the respondents. This was reaffirmed on the data collection instruments throughout the data collection, analysis and dissemination of findings.

## **CHAPTER FOUR**

### **PRESENTATION, ANALYSIS AND INTERPRETATION OF RESULTS**

#### **4.1 Introduction**

This chapter presents the findings, analyses and then interprets the results so that a conclusion is reached. It covers the response rate, the demographic characteristics and the empirical results.

#### **4.2 Response rate**

The researcher hoped to consider responses from 196 respondents and hence gave out 196 questionnaires as explained in the sampling framework in the third chapter of this study. However, due to non-response by some, only 118 responded to the questionnaires and key informant interviews used in data collection, giving a response rate of 60.2 percent. This rate is good enough basing on Richardson (2005: 409) who argues that response rates of 60% or more are regarded acceptable for social science studies. Earlier studies on response rate found that, on average, many studies considered response rate of 55.6 (Baruch, 1999: 9), making a response rate of over 50 percent acceptable for a study, although preference is for higher response rates.

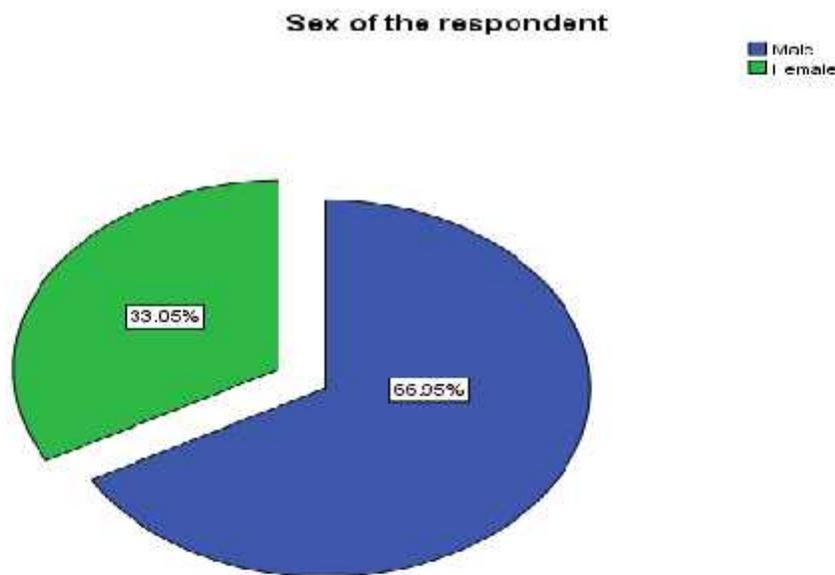
#### **4.3 Demographic results**

This section gives the general characteristics of the respondents to the study. These characteristics indicate the gender, faculty or school where the respondent belongs, the highest education qualification attained and the age bracket of the respondent. The demographic results in the current study included the following:

### 4.3.1 The gender distribution of the respondents

This study intended to consider the perceptions and views of both males and females. The argument is that the appreciation of reality may differ depending on the respondent's sex. The findings reveal as portrayed in Figure 4.1.

**Figure 4.1 The gender distribution of the respondents**



The results in the Figure 4.1 above indicate that the males who participated in the study were 79, constituting 66.9 per cent, while the females were 39, representing 33.1 per cent. Therefore, the majority of the respondents were male, a fairly true reflection of Kyambogo University. This implies that enhancing the utilisation of evaluation results at the University will involve a gender-aware component by getting more men on board.

### 4.3.2 The Faculty/School distribution of the respondents

Kyambogo University is divided into six faculties and two schools. The faculties are: Arts and Social Sciences, Vocational Studies, Engineering, Science, Education and Special Needs, while the schools are: Graduate Studies and School of Management and Entrepreneurship (SOME). Therefore, the respondents were asked to indicate the faculty/school where they belong and their distribution was.

**Table 4.1 The Faculty/School distribution of the respondents**

<b>Faculty/School</b>	<b>Frequency</b>	<b>Percent</b>
<b>Arts and Social Sciences</b>	36	30.5
<b>Management and Entrepreneurship</b>	22	18.6
<b>Education</b>	16	13.6
<b>Special Needs</b>	16	13.6
<b>Vocational Studies</b>	11	9.3
<b>Sciences</b>	9	7.6
<b>Engineering</b>	8	6.8
<b>Total</b>	118	100.0

The results in Table 4.1 show that Faculty of Arts and Social Sciences had 36 (30.5per cent) respondents, while the School of Management and Entrepreneurship had 22 (18.6 per cent), the Faculties of Education and Special Needs each had 16 (13.6 per cent) and other faculties Vocational studies, Sciences and Engineering each had 11 (9.3 percent), 9 (7.6 per cent) and 8

(6.8 per cent) respondents to the study respectively. This implies that the majority of the respondents were selected from the Faculty of Arts and Social Sciences. The distribution gives a reflection of size of the faculties in the University and the respondents for the current study were selected from the faculties or schools in the University and thus, utilising evaluation results involves equitable representation of the faculties and/or schools.

### 4.3.3 The Highest Academic Qualification of the respondents

Respondents were asked about their highest education attainment in terms of the conventional higher education structure in Uganda. This was because it was presumed that the education qualification could inform knowledge on the subject of study and general knowledge in Uganda's public universities sub-sector. The respondents possessed the academic qualifications shown in Table 4.2 below.

**Table 4.2 The Highest Academic Qualification of the respondents**

<b>Qualification</b>	<b>Frequency</b>	<b>Percent</b>
<b>Master's</b>	77	65.3
<b>Bachelor's</b>	17	14.4
<b>Post Graduate Diploma</b>	13	11.0
<b>PhD</b>	11	9.3
<b>Total</b>	118	100.0

The respondents selected had different academic qualifications according to the results in Table 4.2. Those who had the Master's degree were 77, constituting 65.3 per cent of all respondents that participated in the study. This category was followed by those who had the Bachelor's

degree who were 17 (14.4 per cent). These were followed by respondents with Post Graduate Diploma and PhD who were 13 (11.0 per cent) and 11 (9.3 per cent) respectively. This shows that the majority of the respondents were young academics holding lower staff positions of Assistant Lecturers. This is because, the minimum requirement for appointment as a lecturer is possession of Master's degree and evidence of enrolment for a PhD (GOU, 2015:18). This implies that participation and inclusiveness of the staff who constitute the majority is critical for buy-in and ownership and hence utilisation of the evaluation results. It is noted that this is a good minimum requirement but does not cut across all Uganda's public universities. It is one of the highest requirements in the country because, in other public universities in Uganda, people with only the Master's degree are recruited at Lecturer level. This signifies a need for harmonisation of minimum requirements for academic positions.

#### **4.3.4 The Age distribution of the respondents**

Age is critical to University staff since appointment to some positions and/or retirement from service is anchored on age. Therefore it was necessary that age distribution of the respondents be clearly understood. In the current study. Age distribution of respondents was as highlighted in Table 4.3 below.

**Table 4.3 The Age distribution of the respondents**

<b>Age bracket</b>	<b>Frequency</b>	<b>Percent</b>
<b>18-35</b>	52	44.1
<b>36-45</b>	34	28.8
<b>46-59</b>	29	24.6
<b>60 and above</b>	3	2.5
<b>Total</b>	118	100.0

The results in Table 4.3 show that most of the respondents were between 18-35 years. These were 52 constituting 44.1 per cent of all respondents who participated in the study. These were followed by those between 36-45 years who were 34 (28.8 per cent). Those who were between 46-59 years were 29 (24.6 per cent), while respondents who were 60 and above years were only 3 making 2.5 per cent. This implies that most of the respondents were junior academics who the university needs to target for the evaluation utilisation culture. It buttresses the finding that most of the respondents were having the Master's degree which is fairly a true reflection of KYU.

#### **4.4 Descriptive results**

Descriptive statistics were used to summarise and describe the respondents' perceptions regarding their degree of agreement or disagreement on the importance of institutional design and utilisation of evaluations at Kyambogo University. The descriptive statistic values regarding the degree of agreement or disagreement on the importance of institutional design and utilisation of evaluations at Kyambogo University was constructed as follows; 1.00-1.99 = Strongly Agree:

2.00-2.99 = Agree: 3.00-3.99 = Undecided (Neither agree nor disagree): 4.00-4.99 = Disagree and 5.00 = Strongly Disagree. The results are presented below;

#### **4.4.1 Utilisation of evaluation results**

The present study considered utilisation evaluation results as the dependent variable. This variable was interrogated in terms of the types of utilisation: instrumental, symbolic, process related, conceptual and general utilisation as explained the conceptual background of this study. The descriptive results are presented in Table 4.4 below where M = Mean, SA = Strongly Agree, A = Agree, UD = Un Decided, DA = Disagree and SD = Strongly Disagree; f = frequency and % = percentage.

**Table 4.4 The descriptive results for Utilisation evaluation results**

<b>Statement</b>	<b>M</b>	<b>SA</b>	<b>A</b>	<b>UD</b>	<b>D</b>	<b>S D</b>
		<b>f (%)</b>				
The Evaluations` results have been Implemented	2.2991	39 (33.1)	40 (33.9)	9 (7.6)	22 (18.6)	7 (5.9)
The evaluations have led to change in attitude, opinions and insight at hand	2.569	21 (17.8)	43 (36.4)	23 (19.5)	23 (19.5)	6 (5.1)
Through evaluations, the commissioners of the evaluations have shared the problems and developed strong network	2.819	23 (19.5)	32 (27.1)	12 (10.2)	41 (34.7)	8 (6.8)
Generally, the institution has benefited from the numerous evaluation studies that have been carried out	2.7179	11 (9.3)	53 (44.9)	21 (17.8)	22 (18.6)	10 (8.5)

The results in Table 4.4 show that on average, 33.9 of the respondents agreed that the recommendations are implemented at a mean of 2.2991, while 33.1 strongly agreed. At a mean of 2.569, 36.4 per cent of the respondents believed that the evaluations have led to change in attitude, opinions and insight at hand compared with 27.8 per cent who strongly agreed. Additionally, with a mean of 2.819, 27.1 percent of the respondents agreed that through evaluations, the commissioners of the evaluations have shared the problems and developed strong network whereas 19.5 strongly agreed. In terms of general utilisation of evaluation results, with a mean of 2.7179, 44.9 per cent of the respondents agreed that generally, the institution has benefited from the numerous evaluation studies that have been carried out, while 9.3 strongly agreed.

The results imply that the dimensions of utilisation of evaluation results vary in importance with instrumental having a mean of 2.27 and general utilisation with a mean of 2.71 being perceived to be more pronounced than symbolic, process related and conceptual utilisation. This implies that in Kyambogo University, utilisation of evaluation results is mostly perceived in form of implementing the recommendations.

#### **4.4.2 Institutional procedural rules**

This variable was studied as one of the independent variables for the current study. It was studied in terms of rules pertaining to assumption of costs, stakeholders' involvement, planning and implementation of the evaluations and the evaluation results. The descriptive statistics regarding the indicators for the dimensions are presented below.

**Table 4.5 Descriptive statistics for Procedural rules guiding evaluation**

<b>Statement</b>	<b>M</b>	<b>SA</b>	<b>A</b>	<b>U D</b>	<b>D</b>	<b>S D</b>
		<b>f (%)</b>				
The institution has rules governing the evaluation costs	1.8983	52 (44.1)	36 (30.5)	21 (17.8)	8 (6.8)	1 (0.8)
The rules require effective participation of stakeholders throughout the evaluation	2.0522	28 (23.7)	62 (52.5)	16 (13.6)	9 (7.6)	0 (00)
The university has rules that guide the implementation of the recommendations from the evaluations	2.0593	25 (21.2)	65 (55.1)	25 (21.2)	2 (1.7)	1 (0.8)

The results in Table 4.5 indicate that on average, 44.1 per cent of the respondents strongly agreed that the University has rules governing evaluation costs at a mean of 1.8983 compared to 30.5 per cent who agreed. With a mean of 2.0522, 52.5 per cent of the respondents agreed the rules require effective participation of stakeholders throughout the evaluation, while 23.7 per cent agreed; and with a mean of 2.0593, 55.1 per cent agreed that the university has rules that guide the implementation of the recommendations from the evaluations, while 21.2 per cent strongly agreed.

These results imply that the respondents appreciated the existence of rules guiding evaluations as well as utilisation of the evaluation results. It is worth noting that the respondents to the study perceived these procedural rules to vary in importance with the rules regarding assumption of costs having a mean of 1.89 being ranked above all the other procedural rules considered in the current study.

#### **4.4.3 Institutional evaluation processes**

Studied in terms of triggering of evaluations, allocation and publication practice processes, institutional evaluation process was considered in the present study as the second independent variable. The descriptive statistics are presented in Table 4.6 below.

**Table 4.6 Descriptive statistics for institutional evaluation processes**

<b>Statement</b>	<b>M</b>	<b>SA</b>	<b>A</b>	<b>UD</b>	<b>D</b>	<b>SD</b>
		<b>f (%)</b>				
The University triggers evaluations on ad hoc basis	2.2393	43 (36.4)	26 (22.0)	28 (23.7)	17 (14.4)	3 (2.5)
The Evaluators trigger the evaluations at the University	2.3403	15 (12.7)	60 (50.8)	31 (26.3)	8 (6.8)	1 (0.8)
Evaluators are selected through a competitive process at the University	2.735	22 (18.6)	29 (24.6)	34 (28.8)	22 (18.6)	10 (8.5)
The results of the evaluations are disseminated to all stakeholders in the University	2.8376	13 (11.0)	41 (34.7)	26 (22.0)	26 (22.0)	11 (9.3)
The dissemination is frequently done in a timely manner	2.7500	31 (26.3)	25 (21.1)	19 (16.1)	24 (20.3)	17 (14.4)

The results in Table 4.6 show that with a mean of 2.2393, 36.4 per cent of the respondents strongly agreed that the University triggers evaluations on an ad hoc basis, while 22 per cent agreed to it. On average, 50.8 per cent of all respondents believed that the evaluators trigger the evaluations at the University with a mean of 2.3403 compared to 12.7 per cent that strongly agreed. On average, 24.6 per cent of the respondents agreed and 18.6 per cent strongly agreed that Evaluators are selected through a competitive process at the University at a mean of 2.735.

However, at a mean of 2.8376, 34.7 per cent and 11 per cent respectively of all respondents agreed and strongly agreed that the results of the evaluations are disseminated to all stakeholders in the University, while 26.3 per cent and 21.1 per cent of the respondents strongly agreed and agreed respectively that as part of the evaluation process, the dissemination is frequently done in a timely manner.

The results imply that respondents ranked triggering evaluations above the other institutional processes. Triggering of evaluation was studied in terms of who triggers evaluations at the University, and whether it is planned or done on an ad hoc basis. The descriptive results show that the respondents perceived the evaluators to be triggering evaluations with a mean of 2.23 and the triggering to be done on an ad hoc basis with a mean of 2.3. Respondents were not very sure about the allocation and publication practices of the university regarding evaluation results.

#### **4.4.4 Institutional capacity**

Institutional capacity was the third independent variable and was premeditated in terms of a unit responsible for evaluations at the University, competence of staff and the number of staff. The descriptive statistics are highlighted in Table 4.7 below.

**Table 4.7 The descriptive statistics for institutional capacity regarding evaluations**

<b>Statement</b>	<b>M</b>	<b>SA</b>	<b>A</b>	<b>UD</b>	<b>D</b>	<b>SD</b>
		<b>f (%)</b>				
The University has a unit responsible for evaluations	2.2034	30 (25.4)	50 (42.4)	25 (21.2)	10 (8.5)	3 (2.5)
The unit has an adequate number of staff to manage evaluations at the University	2.8761	12 (10.2)	31 (26.3)	37 (31.4)	25 (21.2)	8 (6.8)
The staff have adequate competencies to manage the evaluations at the university	2.6306	19 (16.1)	34 (28.8)	32 (27.1)	21 (17.8)	5 (4.2)
The University has a culture of benefiting from evaluation evidence	2.6838	24 (20.3)	31 (26.3)	29 (24.6)	24 (20.3)	9 (7.6)
I am Involved in evaluations at the university	2.8644	26 (22.0)	41 (34.7)	5 (4.2)	15 (12.7)	31 (26.3)
I have adequate capacity or capability to manage evaluations	2.0684	38 (32.2)	59 (50.0)	4 (3.4)	6 (5.1)	10 (8.5)

The descriptive statistics in Table 4.7 above show that, on average, 42.4 per cent of the respondents agreed, while 25.4 per cent strongly agreed that the University has a unit responsible for evaluations at a mean of 2.2. However, 26.3 agreed and 10.2 strongly agreed that the unit has an adequate number of staff to manage evaluations at the University at a mean of 2.9. Relatedly, 28.8 per cent agreed, while 16.1 per cent of all the respondents strongly agreed that the staff have adequate competencies to manage the evaluations at the university at a mean of 2.63. In addition, 26.3 per cent of the respondents agreed on average that the University has a culture of benefiting from evaluation evidence, but 20.3 per cent strongly agreed at a mean of 2.68. Averagely, 34.7 per cent agreed and 22.0 per cent strongly agreed that they were involved in evaluations at the university at a mean of 2.9, while 50 per cent and 32.2 per cent of all the respondents agreed and strongly agreed respectively that they had adequate capacity or capability to manage evaluations at a mean of 2.06.

The results imply that most of the respondents perceived themselves to possess adequate capacity to manage evaluations, that there was a unit responsible for evaluations and that the staff had sufficient competences to manage evaluations at the university with respective means of 2.06, 2.20 and 2.63.

#### **4.5 Empirical results**

The analysis of empirical analysis was informed by the results of the normality test. Before conducting any parametric tests, there is need to check that data values come from an “approximately normal” distribution. This compares the frequency distribution of data values with those of a normalized version of these values. Where the data are approximately normal, the distributions should be similar. The null hypothesis is that “the distribution on your data is not different from a normal distribution” while, the Alternative hypothesis is that “the distribution on

your data is different from a normal distribution”. We reject the null hypothesis if the P-Value is less than 0.025 for 2 tails.

**Table 4.8 One-Sample Kolmogorov-Smirnov Test results**

			Utilisation evaluation	Procedural rules	Evaluation processes	Evaluation capacity
N			104	105	104	96
Normal	Mean		2.6442	2.1048	2.6904	2.5434
Parameters <sup>a,b</sup>	Std. Deviation		1.17381	.70266	1.40038	.92945
Most	Extreme	Absolute	.150	.178	.137	.150
Differences		Positive	.150	.178	.137	.150
		Negative	-.090	-.099	-.124	-.074
Kolmogorov-Smirnov Z			1.527	1.827	1.399	1.471
Asymp. Sig. (2-tailed)			.019	.003	.040	.026
a. Test distribution is Normal.						
b. Calculated from data.						

The results indicate that  $p = 0.019 < 0.025$  for utilisation of evaluation results,  $p = .003 < 0.025$  for procedural rules,  $p = 0.040 < 0.025$  for evaluation processes and  $p = 0.026 < 0.025$  for evaluation capacity. Therefore we reject the null hypothesis and conclude that the distribution of the data for the variables studied is different from a normal distribution implying that variables do not follow a normal distribution. There was an attempt to transform the data so that we could see whether the transformed data conforms to normal distribution in the following Table 4.9.

**Table 4.9 One-Sample Kolmogorov-Smirnov Test results for transformed data**

		Log utilisation evaluation	Log Procedural rules	Log evaluation process	Log evaluation capacity
N		104	105	104	96
Normal	Mean	.3813	.2994	.3823	.3747
Parameters <sup>a,b</sup>	Std. Deviation	.19131	.14542	.19988	.16771
	Most Extreme				
	Absolute	.159	.115	.093	.142
	Positive	.159	.115	.093	.142
Differences	Negative	-.126	-.103	-.077	-.115
Kolmogorov-Smirnov Z		1.625	1.174	.943	1.391
Asymp. Sig. (2-tailed)		.010	.127	.336	.042
a. Test distribution is Normal.					
b. Calculated from data.					

The results reveal that  $p = 0.010 < 0.025$  for utilisation of evaluation results,  $p = .127 > 0.025$  for procedural rules,  $p = .336 > 0.025$  for Evaluation processes and  $p = 0.042 > 0.025$  for evaluation capacity. The results indicate that not all variables pass the test; for instance, utilisation of evaluation fails to pass the test. Therefore, it being the dependent variable, the study adopted nonparametric statistics for analysis of the empirical results. It is critical to note that nonparametric statistics are statistics not based on parameterised families of probability

distributions. The typical parameters are the mean, variance, etc. Unlike parametric statistics, nonparametric statistics make no assumptions about the probability distributions of the variables being assessed. The difference between parametric models and non-parametric models is that the former has a fixed number of parameters, while the latter grows the number of parameters with the amount of training data (Murphy, 2012: 16).

#### **4.5.1 Institutional procedural rules and the utilisation of evaluations**

The first objective of the current study was to determine the relationship between the institutional procedural rules and the utilisation of evaluations. Institutional rules were studied in terms: assumption of costs, stakeholders` involvement, planning and implementation. The results are presented in Table 4.10 below”

**Table 4.10 Institutional procedural rules and the utilisation of evaluations**

			Utilisation evaluation	Procedural rules
Spearman's rho	Utilisation evaluation	Correlation	1.000	.459**
		Coefficient		
		Sig. (2-tailed)	.	.000
		N	104	101
	Procedural rules	Correlation	.459**	1.000
		Coefficient		
Sig. (2-tailed)		.000	.	
	N	101	105	

\*\* . Correlation is significant at the 0.01 level (2-tailed).

The results show that a Spearman's Rank Order correlation,  $r = 0.459$  with  $P = .000$  revealing that the relationship between procedural rules and utilisation of evaluation results. There was a low, positive correlation between institutional capacity and utilisation of evaluation results, which was statistically significant.

From documentary review, we realise that rules in public universities are informed by the Universities and other Tertiary Institutions Act 2001 as amended in 2003 and 2006 (GOU, 2006). This Act apart from establishing these universities guides the operations of the institutions. It also establishes and develops a system governing institutions of higher education. Other laws governing the country also affect the working of public universities such as the Uganda Public Finance Management Act that relates to the assumption of costs in evaluations (GOU, 2015)

This Act has been operationalised in terms of policies and resolutions that are consistent with the mother law. For example, numerous policies and manuals are passed by the University Council to ensure smooth running of the university. As a case in point, KYU now has the Human Resource Manual, Financial Management Policy, Research and Innovations Policy, ICT Policy, Records Information Management Policy, Quality Assurance Policy, Disability and Gender Mainstreaming Policies (GOU, 2015: 70) and the Strategic and Master plans (<http://kyu.ac.ug/new2016/>).

**Table 4.11 Bivariate regression between utilisation of evaluation results and procedural rules**

Coefficients <sup>a</sup>						
Model		Unstandardized Coefficients		Standardized Coefficients	t	Sig.
		B	Std. Error	Beta		
1	(Constant)	1.419	.347		4.091	.000
	Procedural_rules	.593	.156	.356	3.794	.000

a. Dependent Variable: Utilisation of evaluation results

The regression results in Table 4.11 above reveal a positive and significant effect of procedural rules on utilisation of evaluation results. Specifically, they show that with  $p = 0.000$ ; Utilisation of evaluation results =  $1.419 + 0.593$  (procedural rules)

This implies that an improvement in procedural rules regarding evaluations is likely to increase the utilisation of the results by 0.593. However, on further analysis, the  $r^2$  is 0.127 which is low

and hence shows that the procedural rules on their own may not influence the utilisation of evaluation results in the university.

The above is buttressed by interview findings that agreed to the fact that the University has rules of procedure that eventually affect the evaluations and hence the utilisation of the evaluation results. One key informant remarked that,

“What we do is guided by the Kyambogo University budget which is approved by the parliament of the republic of Uganda and the work plans as well as the procurement plans. Some things may automatically be non priorities and therefore unfunded in the budget. Such things cannot be implemented since, implementing them may results in financial impropriety” (May, 2016).

#### **4.5.2 Institutional evaluation processes and the utilisation of evaluations**

The second objective of the present study was to establish effect of institutional evaluation processes on the utilisation of evaluations at Kyambogo University. Institutional evaluation capacity was interrogated in terms of ad hoc triggering of evaluation, evaluators` triggering evaluations, competitive selection of evaluators, dissemination of results to all stakeholders and timely dissemination. The results are presented in Table 4.12 below;

**Table 4.12 Institutional evaluation processes and the utilisation of evaluations**

			Utilisation evaluation	Evaluation processes
Spearman's rho	Utilisation evaluation	Correlation	1.000	.486**
		Coefficient		
		Sig. (2-tailed)	.	.000
		N	104	100
	Evaluation processes	Correlation	.486**	1.000
		Coefficient		
		Sig. (2-tailed)	.000	.
		N	100	104

\*\* . Correlation is significant at the 0.01 level (2-tailed).

The results show that a Spearman's Rank Order correlation  $r = 0.486$  with  $P = .000$ . There was a weak, positive and statistically significant correlation between institutional evaluation processes and utilisation of evaluation results at Kyambogo University.

**Table 4.13 Regression result for Institutional evaluation processes and the utilisation of evaluations**

Model		Coefficients <sup>a</sup>				
		Unstandardized Coefficients		Standardized Coefficients	t	Sig.
		B	Std. Error	Beta		
1	(Constant)	2.174	.253		8.591	.000
	Evaluation processes	.163	.083	.196	1.977	.051

a. Dependent Variable: Utilisation of evaluation results

The results in Table 4.13 show that the institutional evaluation processes have a positive but statistically insignificant effect on the utilisation of evaluation results. They show that with sig. Of 0.051; Utilisation of evaluation results = 2.174 + 0.163 (evaluation process)

This implies that an improvement in the evaluation processes would increase the chances of utilisation of the evaluation results. However, the  $r^2$  is low at 0.038 which shows that the process on its own may not influence the utilisation of evaluation results in the university.

From review of available documents at the University, it was evident that the university has a lot of ad hoc tendencies. Many committees work on ad hoc basis; a case in point is the Ad hoc Committee of Senate Investigating Irregular Admissions of Students at Kyambogo University formed at the 7<sup>th</sup> session of the 48<sup>th</sup> meeting held on Tuesday 12<sup>th</sup> June, 2012. Another one was the Ad Hoc Committee set up by the University on 22nd August 2012 to investigate the staff associations' allegations including mismanagement of the University by the Vice Chancellor

then. Others include the Ad hoc committee for KYU envisioning Kyambogo University Colleges 2015-2030 and Ad hoc committee on capital development for the mid-term (2009/2010-2011/2012). In addition, there was an ad hoc committee that was established to document the number of affected students in a scandal where 5.5 billion shillings were lost through a tuition scam. The money was deposited on a fake account and siphoned by some university staff (<http://www.redpepper.co.ug/kyambogo-university-introduces-software-to-monitor-tuition>). In addition, GOU (2015: 73) noted an Ad hoc Committee that was appointed to look into and streamline the management of the workshops in October 2013, but whose recommendations had not been implemented by 2015. This was based on a background that these workshops were run by technicians employed on temporary terms and the workshops were generally yielding benefits to individuals rather than the university; and also that, Heads of Academic Departments had paltry involvement in the management of workshops.

#### **4.5.3 Institutional capacity and the utilisation of evaluations**

The third objective of the present study was to establish whether institutional capacity has any effect on utilisation of evaluations at Kyambogo University. Institutional capacity was studied in terms of Individual capability to manage evaluations, a unit responsible for evaluations, the staff have adequate competencies, a culture of benefiting from evaluation evidence and the unit has an adequate number of staff. The results are presented below.

**Table 4.14 Institutional capacity and the utilisation of evaluations**

			Utilisation evaluation	Evaluation capacity
Spearman's rho	Utilisation evaluation	Correlation	1.000	.765**
		Coefficient		
		Sig. (2-tailed)	.	.000
		N	104	94
	Evaluation capacity	Correlation	.765**	1.000
		Coefficient		
		Sig. (2-tailed)	.000	.
		N	94	96

\*\* . Correlation is significant at the 0.01 level (2-tailed).

The results show that a Spearman's Rank Order correlation was run to determine the relationship between institutional capacity and utilisation of evaluation results. There was a strong, positive correlation between institutional capacity and utilisation of evaluation results, which was statistically significant ( $r = 0.765$ ,  $P = .000$ ).

**Table 4.15 Bivariate regression results on Institutional capacity and the utilisation of evaluations**

Model		Unstandardized Coefficients		Standardized Coefficients Beta	t	Sig.
		B	Std. Error			
1	(Constant)	.055	.214		.255	.799
	Evaluation capacity	1.025	.080	.801	12.8	.000
					48	

a. Dependent Variable: Utilisation evaluation

The Bivariate regression results in Table 4.15 above show that the institutional evaluation capacity has a positive and statistically significant ( $p = 0.000$ ) effect on the utilisation of evaluation results. Specifically, the results show that with  $r^2$  high at 0.642, Utilisation of evaluation results =  $0.055 + 1.025$  (evaluation capacity). This implies that an improvement in the evaluation capacity would increase the probability for utilisation of the evaluation results at the university.

From interviews, it was clear that Kyambogo University has capacity to manage evaluations. A key informant was quoted saying,

“We have the evaluation competencies in various fields of speciality. Our staff members have the competences to manage the evaluations. Some of them even

consult to government ministries, department and agencies as well as other organisations that seek their expertise” (May, 2016).

This shows that the individual members agree to possession of the capacity as well appropriate guidelines that direct the processes of Monitoring and Evaluation in the university.

From document review, it is seen that the unit responsible for evaluations is grappling with capacity challenges to coordinate all the monitoring and evaluation of university programmes and projects. For instance, it has only one officer in charge of Monitoring and Evaluation who only concentrates on financial monitoring and evaluation yet the core function of the University is academics. Probably, this is why it is possible that the course units are not harmonised across departments; so you find Project Planning and Management or Entrepreneurship for the same academic level, for example Bachelor’s in different departments with different course contents and hence examinations.

**Table 4.16 Multivariate regression results on Institution Design and Utilisation of Evaluation Results**

Model		Coefficients <sup>a</sup>				
		Unstandardized Coefficients		Standardized Coefficients	t	Sig.
		B	Std. Error	Beta		
1	(Constant)	.202	.256		.790	.432
	Procedural rules	.033	.114	.020	.286	.776
	Evaluation processes	-.208	.059	-.254	-3.555	.001
	Evaluation capacity	1.170	.098	.916	11.99	.000
1						

a. Dependent Variable: Utilisation of evaluation results

The multivariate regression in Table 4.16 above shows that procedural rules have a positive but statistically insignificant (sig. = 0.776) effect on utilisation of evaluation results while the evaluation process has negative albeit statistically significant (sig. = 0.001) effect on the utilisation of evaluation results. However, the evaluation capacity has a positive and statistically significant (sig. = 0.000) effect on utilisation of evaluation results. Therefore, the regression equation is:

$$\text{Utilisation of evaluation results} = 0.202 + 0.033 (\text{Procedural rules}) - 0.208 (\text{evaluation process}) + 1.170 (\text{evaluation capacity})$$

This implies that without institutional design dimension, utilisation of evaluation results would stand at a constant of 0.202, although it is not statistically significant. It further reveals that the procedural rules explain 0.033 of the utilisation of evaluation while the evaluation process explains -0.208. However, the evaluation capacity contributes 1.170 of the utilisation of evaluation results.

On further analysis, the predictive power of the overall model as given by ANOVA is given below as:

**Table 4.17 ANOVA for the Multivariate regression model**

ANOVA <sup>a</sup>						
Model		Sum of Squares	df	Mean Square	F	Sig.
1	Regression	85.594	3	28.531	60.690	.000 <sup>b</sup>
	Residual	39.490	84	.470		
	Total	125.084	87			

a. Dependent Variable: Utilisation evaluation

b. Predictors: (Constant), Evaluation processes, Procedural rules, Evaluation capacity

From table 4.17 above, we see the sig. of ANOVA is 0.000 which is less than 0.05 and indicates that; overall, the model applied is significantly good enough in predicting the outcome variable.

In addition, looking at the model summary, we see the explanatory power of the model as given in the table below.

**Table 4.18 Multivariate Model Summary**

Model	R	R Square	Adjusted R Square	Std. Error of the Estimate
1	.827 <sup>a</sup>	.684	.673	.68565

a. Predictors: (Constant), Evaluation capacity, Procedural rules, Evaluation processes

This implies that explanatory power of the regression has increased since the value of  $r^2$  is now 0.684 with the adjusted  $r^2$  being 0.673 compared to the values of  $r^2$  presented in the earlier bivariate models. This implies that interrogating institutional design in term of the three independent variables gives a better model and, therefore, it is what the researcher bases on to make conclusions.

## **CHAPTER FIVE**

### **SUMMARY, DISCUSSIONS, CONCLUSIONS AND RECOMMENDATIONS**

#### **5.1 Introduction**

In this final chapter of the dissertation, the study presents the summary of findings, discussion of the findings, conclusion(s) and suggests recommendations based on the findings.

#### **5.2 Summary**

This study set out to establish the effect of Institutional design on the Utilisation of evaluation results in Uganda's Public Universities with a case of Kyambogo University. The study employed a cross-sectional research design and collected data using questionnaires, interviews and documentary analysis. The major findings were:

##### **5.2.1 Institutional procedural rules and the utilisation of evaluations**

The results show that procedural rules have a positive but insignificant effect on utilisation of evaluation results but are less likely to influence the utilisation of evaluation results because it was statistically insignificant (sig. = 0.776). The procedural rules were perceived to vary in importance, with the rules regarding assumption of costs having a mean of 1.89 being ranked above all the other procedural rules considered in the current study.

##### **5.2.2 Institutional evaluation processes on the utilisation of evaluations**

The results show that institutional evaluation processes have a negative effect on the utilisation of evaluation results and that this effect is statistically significant (sig. = 0.001). From this, triggering evaluations was ranked above the other institutional processes. The respondents

perceived the evaluators to be triggering evaluations with a mean of 2.23 and it was evident that the triggering of evaluation at the university is mostly done on an ad hoc basis with a mean of 2.3.

### **5.2.3 Institutional capacity has an effect on the utilisation of evaluations**

The results show that the institutional evaluation capacity has a positive and statistically significant (sig. = 0.000) effect on utilisation of evaluation results. Regarding the issue of institutional capacity, most of the respondents perceived themselves to possess adequate capacity to manage evaluations; there was a unit responsible for evaluations; and the staff had sufficient competences to manage evaluations at the university with respective means of 2.06, 2.20 and 2.63.

### **5.3 Discussion of findings**

The present study reveals that institutional design carries critical weight that influences the utilisation of evaluations in public organisations especially universities. From the demographic results, it was clear that most the respondents were young academics. This corroborates earlier findings by GOU (2015: 9) that posited that Kyambogo University did not have full professors but only a handful of associate professors, including visiting professors, coupled with the dearth of senior lecturers in the institution. It is supported by Kyambogo University (2013: 10) that showed the proportion of PhD holders to the total number of academic staff at the university to be below NCHE standards and blamed the situation on the ban on recruitment from 2011/12. In addition, Baryamureeba (2015) observed that in Uganda, PhD training is still undeveloped. He added that most universities lack sufficient qualified academic staff which makes faculties, schools, institutes and departments to be headed by Master's holders because of lack of PhD

holders yet these units are mandated to promote research and postgraduate training, including PhD training.

The results for dimensions of Institutional design indicate that the dimensions do not carry equal importance in explaining the Utilisation of evaluation results. Specifically;

### **5.3.1 Institutional procedural rules and the utilisation of evaluations**

The results show that procedural rules have a positive effect on utilisation of evaluation results but are less likely to influence the utilisation of evaluation results because it was statistically insignificant (sig. = 0.776).

The insignificance of procedural rules is rooted in the ineffective legal framework. Baryamureeba (2015) noted that the UOTIA has a number of issues that compromise the functioning of public universities and hence do not allow it to support effective utilisation of evaluation findings. The author cites Section 40 of the Act that provides for functions of the University Council and specifically provides that the council shall be the supreme organ of a Public University and shall be responsible for overall administration of the objects and functions of the university. On the contrary, most Councils have failed to function as supreme organs of public universities and always refer their decisions to government for guidance instead of them guiding the government. In addition, he mentions Section 38 of the Act which provides for the composition of the University Council that makes more than 50% of the members of the Council of a public university to be staff and students of the University. The effect of that is that University Council meetings are degraded to internal University staff meetings. This contravenes the basic doctrines of corporate governance that puts the University Council as the supreme body charged with policy making. In addition, Section 41 (c) that empowers councils of public

universities to fix scales of fees and boarding charges and in many cases, the government has not allowed the councils of public universities to exercise these powers. As a result, fees paid in public universities are below the unit cost, which compromises functioning of public university. Relatedly, GOU (2015: 75) observed that respondents interviewed by the IG investigation team were unanimously of the view that the current composition of the University Council is unmanageable. The 27 (minimum) University Council members are diverse, including the following: i) Representatives of a sector relevant to the University depending on its objectives and mission, appointed by the relevant body of that sector ii) Representative of the Ministry of Education iii) Three (3) appointees of the Minister of Education from the public iv) Three (3) representatives of the administrative staff associations v) Two (2) representatives of the students' association vi) Three (3) members appointed by the University Council from the public vii) Representative of the Ministry of Finance viii) Representative from Ministry in charge of higher education ix) Representative of the district Council in whose jurisdiction the University is found; for the case of Kyambogo University, this is Kampala Capital City Authority (KCCA). Such composition has always resulted into University Councils being dominated by members of staff of the University with at least 16 of the total number. This makes it very difficult to take firm policy decisions towards streamlining the administration of the University.

The results, however, are in disagreement with Firme, Letichevsky, Dannemann and Stone (2009: 172) who guided that a set of guidelines establishes rules and procedures to properly conduct planning, implementation and effective utilization of evaluation results, in all levels of possible implementation.

### **5.3.2 Institutional evaluation processes on the utilisation of evaluations**

The results show that institutional evaluation processes have a negative effect on the utilisation of evaluation results and that this effect is statistically significant (sig. = 0.001). The negative sign could be due to the bureaucratic tendencies of public administration with vertical administrative structure.

This significant effect shows that the process through which an evaluation is carried out is very important in explaining whether the results will be implemented. So critical is the issue of participation of stakeholders which informs ownership of results. The process of doing the evaluations needs to be participatory and consultative so that an input of stakeholders is sourced and where possible is considered (Kyambogo University, 2013: 63). Short of that, results are referred to as the evaluators', which increases the distance between the evaluators and the evaluatees (Balthasar, 2008: 8).

Regarding the triggering of evaluations, it is evident that who triggers the evaluation matters a lot. Mayne, Divorski, and Lemaire (1998, 30) argued that once evaluations are triggered by those responsible for implementation of the measures, difficulties are faced in asking questions of effect and relevance of the measures and programmes. This is because diverse forms of institutionalization disagree in their ability to deal with the varying information requirements of the target groups. In this case, relatedly, Balthasar (2008: 8) posited that, triggering of the evaluation by the unit responsible for the measures or implementation of the examination within the office, promotes process-related utilization.

Williams, de Laat, and Stern (2002: 31), on the other hand, averred that the independent evaluations need to be carried out by people who are not involved in the implementation of a

measure; contrary to Conley-Tyler (2005: 8) who argued that internal and external evaluators can be independent depending on the evaluation role they choose.

### **5.3.3 Institutional capacity has an effect on the utilisation of evaluations**

The results show that the institutional evaluation capacity has a positive and a statistically significant (sig. = 0.000) effect on utilisation of evaluation results. Evaluation capacity enhances the ability of the organisation to carry out good evaluations and hence utilise results.

This is line with Conley-Tyler's (2005: 7) finding that building staff capacity may be a strong factor in some cases, but may make no sense for an organisation that is only going to conduct one evaluation once in a very long time, say a decade. In the same line, Léautier (2012: 14) educates us that evaluation capacity to conduct evaluations as well as capacity to use evaluations is very critical.

In this regard, Schaumburg-Müller (1996: 8) showed that establishment of a unit responsible for the evaluation function in an institution is an important indicator of demand for evaluation and its utilisation. He cited Colombia where evaluations are based on legislation or constitution. Interestingly, Højlund (2014: 34-35) noted that an organisation with a culture of evaluation and measurement was likely to have a culture that supports its desire to use knowledge instrumentally.

## **5.4 Conclusions**

Based on the findings of the current study, the following conclusions are drawn:

#### **5.4.1 Institutional procedural rules and the utilisation of evaluations**

The current institutional procedural rules are not very essential in explaining the utilisation of evaluation results in Kyambogo University. This is because the law that establishes and guides the governance of public universities is marred by issues that complicate the functioning of these universities. The positive sign would nevertheless, signify that once rules are improved on, then, they guide the planning, the costs incurred in the evaluations as well as the implementation of the recommendations from the evaluations. Amongst the procedural rules, those ranked highly by respondents are the rules that pertain to the assumption of costs and it is followed by the participation and involvement of stakeholders. Therefore, the cost implications need be clear and the stakeholders need to actively participate in the evaluations so that they own up the results and support the utilisation of the findings in improving the performance of the public universities in Uganda. Therefore, the research question is answered that Procedural rules relate positively with utilisation. However, the null hypothesis stated in chapter one is rejected.

#### **5.4.2 Institutional evaluation processes and the utilisation of evaluations**

The current institutional evaluation process has a negative and significant relation with the utilisation of evaluation results at Kyambogo University. The significant relation implies that evaluation process informs the utilisation of evaluation results according to the current study. This implies that when the evaluation is carried out through a good process, then the results will be good and acceptable and therefore utilisable, hence utilisation. Amongst the processes for evaluation, it is critical that the evaluators are selected on merit through a competitive process. This is deemed to increase confidence in the evaluation results. At Kyambogo, it was vivid that many evaluations are commissioned on an ad hoc basis, but, what is clear is that the membership

is on merit and the evaluators try as much as possible to consult widely prior to the generation of the final report to the commissioners of the evaluation. The null hypothesis relating to institutional evaluation process in chapter one is accepted

### **5.4.3 Institutional capacity and the utilisation of evaluations**

The issue of institutional evaluation capacity was found to be highly related to the utilisation of evaluation results at Kyambogo University. Amongst the indicators of institutional evaluation capacity, the competences of the individuals to manage evaluation was ranked over and above all others in as far as evaluations are concerned. The individual respondents to the study questionnaire themselves believed in their competences to manage evaluations which is critical in self-esteem. Otherwise, it would be bad if they doubted their skills and abilities to manage evaluation. Therefore, it is paramount to strengthen the institutional evaluation capacity such that good evaluations are commissioned, overseen and the results are utilised.

Another key issue regarding capacity is the issue to do with a unit responsible for evaluations. This helps to coordinate and harmonise evaluation issues in the university especially in the field of academic evaluation so that quality assurance is enhanced in the higher education sub sector. The null hypothesis relating to the institutional evaluation capacity in chapter one is hence rejected.

### **5.5 Recommendations**

The present study provides useful departure for high education technocrats and public university managers in Uganda to examine the policies and practices so that evaluation results are utilised: There is need to strengthen the unit responsible for Monitoring and evaluations at the University. This is expected to provide the much needed assurance on quality of services provided at the

University. In addition, it will enhance the harmonisation of the University as one organisation such that, for example, all students who do a course unit are facilitated on a uniform course outline, write the same exam, are marked using one marking guide and even the grading follows a uniform scale.

The rules that govern the public universities will need to be re-examined to suit the best practices of corporate governance. The need for inclusiveness and participation does not need to take precedence over the cardinal principles of who supervises who? Therefore, the composition of stakeholders that constitute the University top organs needs to be re-examined to support utilisation of evaluation results.

## **5.6 Contribution of the study**

The study contributes to conceptualisation of institutional design by building on Balthasar (2006, 2007 & 2009). Hence it interrogates how institutional design influences the utilisation of evaluation results in Uganda`s public universities, especially Kyambogo University that was chosen as a case study as well as the methodological orientation that was followed in the process of data collection and analysis. This is because in the field of the evaluation, very few studies have been carried out.

Generally, this dissertation makes invaluable contribution on the scientific literature regarding institutional design and utilisation of evaluation results in Uganda`s Public Universities. This covers a visible need in supporting the argument for continuous improvement of the high education teaching and learning processes.

It supplements already available scholarly efforts in the developed world by introducing the local or African content in the study of utilisation of evaluation; more so, by relating to the institutional design in which the evaluation is commissioned, undertaken and disseminated.

### **5.7 Limitations**

Although this study represents an important stride in having useful insights regarding the influence of institutional design on utilisation of evaluation findings, it is not free of some limitations. The study was exploratory in nature, had only one contact with the sampled population and relied on respondents' perceptions regarding the influence of institutional design variables on utilisation of evaluation findings at Kyambogo University. As such, the actual influence of variables under investigation on utilisation of evaluation findings is hard to tell. In this light, we propose replication of the study in a similar or different environment using before and after research design.

Furthermore, the study was limited in terms of content scope and sample composition as it concentrated on institution design as a factor influencing utilisation of evaluation results and, hence, largely members of the academic staff. Utilisation of evaluation results can be influenced by many other factors like the quality of evaluation results and the management style, as well as the objectives of the organisation. At the same time, more members of administrative staff, students could be involved in a similar or related study.

### **5.8 Areas for further Research**

Further research needs to be done on:

- The other predictive factors that influence utilisation of evaluation results such as management style and objectives of the organisation;

- The longitudinal or before and after methodology could be employed to study the utilisation of evaluation results on a case by case basis of each of the evaluations that are carried out the universities.

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## APPENDICES

### Appendix 1: Language Certificate

**MUKOTANI RUGYENDO**

**P.O. BOX 31178**

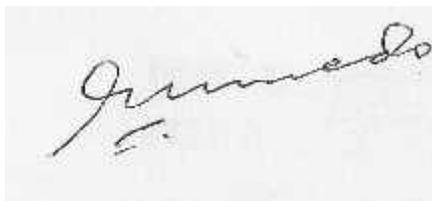
**KAMPALA**

**TEL: 0701707093**

**26 August 2016**

#### **CERTIFICATE OF PROOF THAT DISSERTATION HAS BEEN EDITED**

This is to certify that the Master's Degree dissertation entitled, **Institutional Design and Utilisation of Evaluation results in Uganda`s Public Universities, a Case of Kyambogo University by J. Kabuye**, has been reviewed and corrected in order to ensure clarity of expression and consistency regarding key style aspects like general grammar, sentence structure to enhance meaning and logical flow, all-round punctuation, use of tenses in literature review and results reporting, citation and referencing.

A handwritten signature in black ink, appearing to read 'Mukotani Rugyendo', is written over a light grey rectangular background.

**Mukotani Rugyendo**

**Professional Editor**

**Appendix 2: Questionnaire**

Dear respondent, I am James Kabuye a student of Masters of Monitoring and Evaluation of Uganda Technology and Management University (UTAMU). This research is a partial requirement of that Academic Program. Kindly answer this questionnaire is on a topic; “Institutional Design and Utilisation of Evaluation Results in Uganda’s Public Universities: a Case Study of Kyambogo University.” Please, be assured that your responses will only be used for ONLY academic purposes and will be treated with utmost confidentiality.

- 1. Sex: Male  Female
  
- 2. Faculty/School: Arts  Management and Entrepreneurship   
 Vocational  Science  Engineering  Education  Special Needs
  
- 3. Highest Education Qualification: PhD  Masters  Post Graduate Diploma   
 Bachelors
  
- 4. Age bracket: 18-35  36-45  45-59  60 and above

**Instruction:** Select one option for each question, and tick the option selected where; SA: Strongly Agree, A: Agree, UD: Undecided, DA: Disagree and SD means Strongly Disagree.

<b>Utilisation of evaluation results</b>	SA	A	UD	DA	SD
The evaluations recommendation have been implemented					
The evaluations have led to change in the attitude, opinion and insight of issues at hand					

Through evaluations, the commissioners of the evaluations have shared the problems and developed strong network					
Evaluations have confirmed earlier thoughts and hence led to legitimacy of the administrators					
Generally, the institution has benefited from the numerous evaluation studies that have been carried out.					
<b>Institutional procedural rules</b>	SA	A	UD	DA	SD
The institution has clear rules governing the evaluation costs					
The rules requires effective participation of stakeholders throughout the evaluations					
The University has rules that require effective Planning for the evaluations					
The University has clear rules that guide the implementation of the recommendations from evaluations					
<b>Institutional processes</b>	SA	A	UD	DA	SD
The University triggers evaluations on ad hoc basis					
The evaluators trigger the evaluations at the University					

Evaluators are selected through a competitive process at the University					
The results of evaluations are disseminated to all stakeholders in the University					
The dissemination is frequently done in a timely manner					
<b>Institutional evaluation capacity</b>	SA	A	UD	DA	SD
The University has a Unit responsible for evaluation					
This unit has an adequate number of staff to manage evaluations at the University					
The staff have adequate Competences to manage the evaluations at the University					
The University has a culture of benefiting from evaluation evidence					
I am involved in evaluations at the University					
I have adequate capacity or capability to manage the evaluations					

**THANK YOU VERY MUCH!**

**God Bless You!**

### **Appendix 3: Key Informant Interview**

Dear respondent, kindly answer this Interview on a topic; “Institutional Design and Utilisation of Evaluation Results in Uganda’s Public Universities: a Case Study of Kyambogo University.”

Please, be assured that your responses will only be used for academic purposes only and will be treated with confidentiality.

#### **a) Institutional Procedural Rules**

What rules govern the evaluation process in the University?

How do the University rules affect the extent to which evaluation results are utilised or used?

#### **b) Institutional Evaluation Processes**

What is the process the University goes through every time an Evaluation is being carried out?

How do the University evaluation process affect the extent to which evaluation results are utilised or used?

#### **c) Institutional Evaluation Capacity**

How does the University rate in terms of its Evaluation Capacity?

How does the University Evaluation Capacity affect the extent to which evaluation results are utilised or used?