**Research Article**

# Challenges and Coping Mechanisms of Criminology Interns during their Internship: A Basis for an Enhancement Plan

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**ABSTRACT**

Family-owned and managed businesses play a critical role in the global and local economy, yet they face unique ethical and governance challenges due to the interplay of family dynamics and business operations. This study investigates these challenges specifically within the context of family-owned higher educational institutions (HEIs) in the Philippines. By examining the current state of governance, decision-making, and succession planning, the research highlights how issues like nepotism, emotional investments, and conflicting family-business interests can impact organizational sustainability. Anchored on Agency, Stewardship, Ethical Decision-Making, and Sustainability theories, the study seeks to bridge the gap between traditional management frameworks and the specific needs of family-led academic enterprises. The ultimate aim is to propose an ethics-based governance and decision-making framework that aligns family values with institutional goals to ensure long-term viability, harmonious governance, and operational excellence across generations.

***Keywords:*** *Family Business Governance, Ethical Decision-Making , Succession Planning*

## Introduction

Globally, family businesses are considered to be important to the economy and the society at large. Family business represents a significant segment of the global economy, characterized by the integration of family and business dynamics (Miller & Le Breton-Miller, 2021). Statistics shows that, family owned businesses represent 90% of all businesses in the world and that 35% of Fortune 500 listed companies are family-controlled corporations (Nurunnabi, 2021). Family businesses play a crucial role in the global economy, contributing significantly to job creation and innovation.

These businesses are characterized by the involvement of family members in the ownership, management, and decision-making which poses unique challenges making them different from their non family owned-managed business counterparts (Sharma, Chrisman, & Chua, 2020). Family businesses are unique business organization as its structure blends family dynamics with entrepreneurial ventures to create unique organizational composition. Despite their significant role in the economy and society, these businesses are often faced with complex ethical dilemmas as family diversify and management id handed down to subsequent generations owing to growing family interests and conflicts. Their distinctive challenges are due to the interplay between familial relationships and business

operations, creating a complex environment in decision-making. When family members are both stakeholders and decision-makers, dilemmas in these businesses can involve intricate issues related to succession planning, conflict resolution, and resource allocation (Bammens, Voordeckers, & Van Gils, 2020).

Family businesses must balance the needs and expectations of both the varied family generational needs and the business itself, which can lead to conflicts of interest and ethical dilemmas not typically encountered in non-family firms (Gersick et al., 2022). For example, decisions about succession planning not only affect the future of the business but also involve sensitive family dynamics that can impact relationships and legacy (Sharma, Chrisman, & Chua, 2020), if there is no formalized and accepted succession plan in place. Furthermore, the merging of personal values with business objectives can complicate decision-making processes, making it crucial for family businesses to put robust ethical frameworks in place (Miller & Le Breton-Miller, 2021).

Quinco's (2024) qualitative case study of a family business in the Philippine traces how cultural norms, family relationships, and practical constraints shape succession choices. The study highlights governance tensions arising when founders' privilege, family loyalty, and continuity become the norm sacrificing meritocratic criteria. Problems documented include unclear selection criteria for successors, delayed formalization of succession plans, and ad-hoc delegation that creates perceptions of unfairness among non-family employees. Quinco argues that these ethical weak such as favoritism, lack of transparency, among others undermine organizational continuity, thus recommends formal succession mechanisms including, written plans, training programs, participatory decision forums and the like to mitigate conflicts and align family interests with sound governance.

In Asian economy, family-controlled businesses play a significant role as well. In Japan for example, the country's economic landscape, often demonstrates unique characteristics shaped by Japan's cultural and corporate governance systems. Many of Japan's family-owned firms, some of which are centuries old,

emphasize long-term stewardship, community ties, and strategic relationships with employees and customers. This longevity is partly attributed to Japan's traditional family system, where succession is often passed on to the eldest son, although adoption of capable successors is also a common practice. Such practice, distinct in some ways, is also true in China and in Singapore (Caspary, Rüsen, Kleve and PD Köllner, 2024). Despite their strengths, family businesses in these countries face challenges due to societal changes, including shifting demographics and evolving business environments. Addressing succession planning and adapting to global economic trends remain critical for these firms to continue thriving in the future (Ke, 2018).

In the Philippines, family-owned businesses, also play a critical role in the country's economy, contributing significantly to the country's overall business landscape. Studies indicate that family-controlled enterprises dominate the Philippine business and industry, representing about 80% of all businesses. Many of the country's largest conglomerates are family-run. These businesses, however, face unique challenges related to governance, leadership transitions, and inter-generational conflicts. One key dynamics in family-owned businesses in the Philippines is that they often struggle with succession planning, especially as they move into the third generation of leadership onwards, where performance tends to decline dropping to about 6.5% in older family-run firms, as governance issues become larger over time (Oliver, 2021). Family governance is a critical concern for many of these enterprises as family businesses in the Philippines are deeply influenced by cultural factors, such as close family ties, religious traditions, and a mix of patriarchal and matriarchal leadership models. Along governance, an investigative study in 2023 show how nepotism operates in Philippine family owned-managed firms and its effects on organizational resilience. While its empirical findings suggest that nepotism does not automatically reduce resilience but can introduce ethical dilemmas like conflicts of interest, erosion of meritocracy, lowered staff morale that, if not managed well can degrade performance over time. The study recommend

transparent hiring/promotion policies, merit-based appraisal systems, and mechanisms to separate family from business decisions by having enforce family charters (Barrios, Galvez & Mijares, 2023). Family relationships are enduring and consequential for well-being across the life course. Thus, understanding family business dynamics requires understanding the complexities of these relationships with greater attention to diverse family structures, unexpected benefits of relationship and the unique intersections of social statuses which are factors to business governance (Thomas, Liu and Umberson, 2017).

This governance challenge has led to growing awareness among Filipino family businesses, with conferences and advisory services helping these firms implement better structures for decision-making and leadership transitions. In terms of governance, maintaining a balance between family interests and business objectives is critical. Effective governance practices, such as formal succession planning and clearly defined roles for family members, are often emphasized to ensure business continuity (Manala and Gerial, 2019). In conclusion, while family-owned businesses in the Philippines continue to thrive, many are working towards strengthening governance structures to ensure long-term sustainability and to manage the complexities of family dynamics.

Family-owned and managed academic institutions in the country highlight the unique dynamics that influence their operations, particularly in higher education. A notable study by Maria Luz T. Macasinag (2019), explored three successful family-owned higher educational institutions (HEIs), revealing key themes that contribute to their longevity and success. These include strong corporate culture, shared values, effective governance, leadership, and family culture. Institutions maintained sustainability across generations through innovation, corporate social responsibility, and following a clear succession plan. The study emphasized that family ownership tends to instill a deep sense of stewardship among the leadership, extending to the care for students and staff. Another study examined the attributes of a non-sectarian, family-owned institution operating for over 50 years and found that the

institution's success hinged on key factors, such as corporate culture, family values, and strategic planning. These factors allowed it to navigate generational transitions and maintain operational excellence. These family owned-managed institutions reflect broader global trends in private higher education, where family-managed universities are prevalent in developing regions like Asia. In the Philippines, such institutions play a vital role in education, blending family-driven leadership with professional management practices to ensure long-term viability (Morales, 2019).

## Rationale

The rationale for this study was to bridge the gap between traditional management frameworks and the unique needs of family businesses in general and the family owned-managed academic institutions. While existing frameworks provide valuable insights into ethical decision-making, they often fall short in addressing the specific challenges faced by family owned and manged enterprises. This study sought to develop and refine decision-making frameworks that incorporate the complexities of family dynamics alongside conventional business ethics. The output of this study can assist family-owned businesses in general and family owned and managed academic institutions in particular in making informed decisions aligned to both ethical corporate principles and the long-term goals of the enterprise.

Moreover, this study contributes to the growing body of knowledge on family business governance and ethics - specifically to family owned and managed academic institution businesses . As family businesses continue to play a pivotal role in the global economy, understanding how to effectively manage decision making challenges is essential for their sustainability and success. The development of tailored frameworks will provide practical guidance for business leaders, helping them navigate decision making dilemmas and ensure that their governance practices are both effective and aligned with their values (Eddleston & Keller-manns, 2023). The study intends to bridge the gap between theoretical decision making and practical application within the context of family owned-managed enterprises. By creating a

tailored framework, the research can assist family businesses in making informed, ethical decisions that promote long-term success and harmonious governance. Result of this thesis would contribute to broadening academic knowledge on the one hand, and providing practical guidance on the other hand, by offering valuable insights for family business leaders, scholars, and practitioners committed to ethical and sustainable business practices. By addressing the unique challenges these institutions face, they can promote sustainable governance, providing valuable insights for family business leaders and contribute to the broader understanding of decision making practices in this important economic sector, thus, this study was pursued.

**Current State of Research in the Field**

The current state of research on family-owned academic institutions is an emerging field, particularly as family-owned businesses in the education sector become more prevalent in regions like Asia and Latin America. Historically, studies on higher education have focused primarily on public and non-profit private institutions, but recent interest has shifted towards for-profit and family owned and managed academic institutions as competition is accelerating and becoming more stiff. Along side this, decision making and succession planning among family-owned and managed institutions have also been the more researched topics in the field. It is also seen that both researchers from the academe, students and teaching faculty, are mostly interested in conducting studies. Corporate management researchers were also found to be in the roster of interested individuals and organizations.

While the field is still developing, the research on family-owned academic institutions provides valuable insights into the unique governance, leadership, and sustainability challenges faced by these entities, particularly in the context of private higher education in developing economies as the most researched topic in the field.

**Review of Related Literature**

The aim of this study is to investigate issues and their implications for governance and sustainability of family owned academic institutions. The ultimate aim is to develop and propose an ethics-based governance and decision-making framework. Particularly, academic private family-owned institutions, encounters distinctive challenges in ethical decision-making due to the interplay of family dynamics, business operations and the complexities of the business world brought about by technology. This review explores these challenges, focusing on governance, decision-making, conflict resolution, resource allocation, and succession.

On *Governance* of family owned business - the family owned academic institutions in particular, faces such challenges according to literature reviewed. There is a unique challenge which is often influenced by family dynamics. Key issues include balancing family interests with institutional goals and managing conflicts of interest. This is so because socio-emotional wealth affects governance practices in family firms, emphasizing that family members' personal interests can shape governance structures (Gómez-Mejía et al. (2020). Further, literature highlights how family influence can lead to governance practices that prioritize family needs over institutional goals, affecting long-term business sustainability of a private family owned learning institution, according to Lubatkin et al. (2020).

It is also found that *decision making* in family-owned institutions is often complicated by family politics and emotional factors, which can diverge from purely business considerations. So much so with academic institution as it also has another mandate of molding its learners as human capital of the country. This aggravates financial issues in family management decision making. Kellermanns & Eddleston (2019) explored and explained how family involvement impacts decision-making, taking note that family members' emotional investments can skew rational decision-making processes. They further cited the need for a strong policy and implementing guidelines understood by members of the family in the management that are involved in decision making. There must be a clear-cut mechanisms on proper decorum and consensus decision making process to lessen friction. Further, family

influence on decision-making, the article stressed that there is great impact in decision making the family values on strategic choices. It also explore how family involvement impacts decision-making, noting that family members' emotional investments can skew rational decision-making processes (Kellermanns & Eddleston, 2019).

Along ***conflict resolution***, family firms face unique conflict resolution challenges due to overlapping family and business roles, which can exacerbate tensions and governance red flags. Keer and Kuo (2021) said that, there is a need to investigate how conflicts arise in family-owned educational institutions and the strategies employed to manage them. But, another articles says that the complexities of conflict resolution in academic institutions, noting that family conflicts often require distinct approaches compared to non-family organizations that are managed more professionally than popularity in the organization. Conflict is inevitable, that private schools must have an effective professional approach in managing the conflicts faced to increase the effectiveness and achievement of the school. A study conducted found that conflict does not always have a negative impact on school life, but the existence of conflict can encourage creativity, adaptation, and school innovation if managed well. There are several styles of conflict management that can be used in the handling of conflict in schools. The application of conflict management in schools, according to the study, can ultimately improve harmony between family and school governance effectiveness to precisely and effectively achieve intended goals (Larasati and Raharja. 2020).

Another areas of concern in school management is ***resource allocation.*** Resource allocation especially among family-owned institutions is most likely influenced by family interests, which may lead to inefficiencies and conflicts. Chrisman et al. (2021) in their exploratory study suggests that family owned academic institutions must explore how family values impact resource allocation decisions and the implications on their operations and family relations - where ethics is of utmost value. Resource allocation challenges family

firms, with emphasis on the need for transparent and fair processes (Starr & Yadav, 2023).

***School management Ssuccession*** is another pressing concern for private schools. Thus, succession planning is critical in family-owned institutions but most of the time is complicated. Complication usually arises from the desire to preserve family legacy and at the same time family interest gets in - and that the family dynamics is avoidance. Zellweger & Eddleston in 2020, discussed the impact of family dynamics on succession planning - the conflicts and challenges in preparing the next generation of school administrators from within the family. One article reviewed said that there is a need to highlight strategies for effective succession planning in family-owned institutions, focusing on balancing legacy concerns with institutional goals and needs, ensuring competitiveness and sustainability of the legacy (Vormedal and Taran, 2022).

On ***decision-making framework*** for family owned schools. Reviewed literature shows that private family-owned schools - with dual intention of providing services while operating in business framework already has defined Decision-Making Frameworks. Literature also plot out their Implications, such as: In Governance, existing governance frameworks in family-owned institutions often reflects the influence of family members and their values. And it was noted that socio-emotional wealth impacts governance frameworks which is influential leading to decisions that prioritize family over business needs (Gómez-Mejía et al., 2020). On Decision Making frameworks in family owned and operated firms are influenced by family dynamics, which mostly affects the consistency and objectivity of decisions. Miller & Le Breton-Miller (2019) suggests that family values play a significant role in shaping their decision-making frameworks. And they suggests such frameworks has great impact on business strategy and business operations. Conflict resolution framework according to Gordon & Hsu (2022**)**, is that there is argument that conflict resolution frameworks must account for both family and institutional interests to be effective. It will not be effective without the balance between family and business factor in resolving conflict. While on resources

allocation, Chrisman et al., (2021) examine how resource allocation frameworks are shaped by family values and their implications for institutional performance. That's what makes family businesses resources allocation framework distinct from other business organization. Lastly, on succession planning frameworks in family-owned institutions must address both family and business considerations. Although it is challenging integrating family values into succession planning frameworks, in which family owned privates schools should look into (Zellweger & Eddleston, 2020).

On the *effectiveness of current strategies in promoting sustainable governance*, literature has this to say. Analyze how governance strategies impact the long-term sustainability of family-owned institutions, Lubatkin et al. (2020) suggests that it involves assessing how well the family interest and institutional operation interests is balanced. Further, they found that a well performing family-owned school that is effectively managed by the founder because it prioritizes the school's growth is challenged when the third generation fails to effectively balance family and school needs. Effective decision making on the other hand, a well established framework may lessen family friction while effectively attaining school goals. Effective decision-making strategies of a framework can be assessed through the schools governance framework's ability to align family and business goals which contributes to sustainable governance.

An *ethics-based governance and decision-making framework* is very important on effective and sustainable school management system. According to Chrisman et al. (2021), An ethics-based governance framework must be able to integrate family values within the institutional goals in order to ensure sustainable governance. They propose frameworks that align ethical considerations with governance practices to enhance sustainability. An ethics-based decision-making framework, on the other hand, should balance family values with ethical business practices to improve decision quality that can ensure sustainability. Thus, the development of ethical decision-making frameworks that address both family and business

interests is very necessary in sustainable governance and management of the school.

The aforementioned literature concluded that family-owned academic institutions face unique challenges in governance and decision-making due to the interplay of family dynamics and business operations. Addressing these challenges through effective governance, decision-making, conflict resolution, resource allocation, and succession planning is crucial for ensuring sustainability. Developing an ethics-based framework can help balance family values with institutional needs, promoting long-term success.

With that, literature suggests that the management of family owned schools to explore the principles and practices of governance in family-owned institutions, including the unique challenges and benefits they face compared to non-family businesses (Gomez-Mejia et al., 2020; Lubatkin et al., 2020). Also to investigate how decision-making in family-owned organizations differs from other types of organizations, focusing on factors like family involvement, emotional factors, and long-term orientation according to Kellermanns & Eddleston (2019) and MIller & Le Brenton-MIller also in 2019. Literature also says that there are specific issues faced by family-owned academic institutions, including governance structures, succession planning, and balancing academic and business interests (Kerr & Kuo, 2021; Gordon & Hsu, 2022). Then, there is the need to analyze how ethical decision-making frameworks are applied in family firms, considering the influence of family values and socio-emotional wealth. And explore strategies for maintaining effective and sustainable governance practices in family-owned academic institutions (Zellweger & Eddleston, 2020 and Vormedal & Taran, 2022).

Along the Higher Education Institution's *key result areas (KRA) effectiveness* of delivery or execution, the following literature were reviewed. Along HEI management sustainability, the study of Duran (2024) suggest that there should be clear stated institutional philosophy. However experience show that there is uneven implementation that HEIs often meet targets for instruction and community involvement but show lapses in most of its KRA. Also,

studies show that private HEIs - family 0wned and managed as well, often deliver on core VMGO-linked outputs but mostly struggle with less visible structural indicators (Quitoras 2021; Aquino 2024; Quitoras & Abuso, 2021). Along faculty competence and development, Balanquit et al. (2022) and Carvajal, Carvajal-Lascano, Aquino and Esteva (2025), said that, strengthening faculty competence, performance, productivity and culture can be done through appropriate development interventions that is need based. On standard of instruction, De Leon et al. (2025) study showed that instruction can be measured through satisfaction levels of students in private higher education institutions. Data collected from 250 students reveal that students are generally very satisfied with the quality of instruction through learning and educational experience related services provided by their institutions. And suggests that institutions can better meet student expectations and foster a more supportive experiences through engaging learning environment facilitated by trained instructors. That is why enhancing teaching effectiveness by looking into the instructional practices and faculty development needs in private higher education institutions, and training them on student-centered instruction and learning outcomes in higher education is a must (Aguilar, 2021; Bautista & Hernandez, 2022; Reyes & Domingo, 2020).

On research, development and extension, study confirm that sustainable research culture drive for the realization of educational institution's mission and vision - must think of strategic programs for faculty members that will inspire them to conduct research and publication and eventually, extension (Quitoras & Abuso, 2021). Articles says that strengthening research capability in Philippine higher education institutions can be done through institutional research colloquiums and supporting faculty to attend and present in research conferences. Also other institutional support mechanisms like write-shops to aid then in developing research and extension proposals and enhance the performance of higher education institutions (Albia & Malaga, 2020; Dela Peña & Quimbo, 2021; and Padilla & Reyes, 2022). Articles show also the challenges research culture

that includes; Financial and administrative barriers, Building sustainable research and innovation ecosystem and maintaining a research journal (Custodio, 2020; Reyes & Padilla, 2021; Lunag Jr. Et al., 2024). On KRS 5 - physical plant facilities, literature says that, private - family owned HEIs are challenged mostly on budget and school priorities. And in most cases, physical plant and facilities is first to be sacrificed among urgent need of the institution (Aguilos, 2025). And on student services, it is said to be a profession that willingly subjects itself to periodic evaluation and capacity assessment to ensure the quality of service being delivered according to UNESCO.

A study reviewed on the topic concluded that the students find that, the delivery of student development may benefit from further strategic planning (Sison, 2019). Library services is another important support service to student learning experience in an institution of learning. Effectiveness and efficient academic library services is therefore a must. But most private HEI, especially the family managed, are experiencing great challenge along technology adoption in student support delivery due to budgetary requirement (Ajith, Ramanayaka and Weerasooriya, 2023). Laboratories in the Philippine higher education maintenance and management practices recorded significant differences in perception between groups (laboratory-in-charge, science instructors, students) on adequacy and maintenance of lab resources, implying inconsistencies in quality even among public HEIs. The study concluded with a recommendation that a 5-year laboratory development plan is necessary to ensure consistent maintenance, facility upgrades, and management protocols (Mabini, 2022). On linkages and collaboration, study show that the creation of partnerships between higher education institutions (HEIs) and communities is strong in the Philippines. As their significance intensifies, the question of how to judge their value is garnering increasing attention. A framework was developed to provide a mechanism to document evidence of worth, and most importantly contributes to the continuous improvement and learning imperative of HEI-community partnerships (Plummer,

Witkowski, Smits and Dale, 2022; Bayudan-Dacuycuy, et al, 2022).

One of the distinct character of a family owned-managed higher education institutions is that, they often encounter governance challenges as they transition across generations. Along that challenge, family constitution become an essential strategy for ensuring clarity, continuity, and unity. Recent studies stressed that - a formal family constitution allows private HEIs to institutionalize shared values, outline decision-making protocols, manage conflicts, and define roles among family members, thus, reducing the risks of power struggles and safeguarding institutional sustainability. Further, family constitutions provide a structured framework that professionalizes governance, minimizes inter-generational disputes, and strengthens alignment between the family's vision and the organization's long-term goals. For family owned and managed schools, this tool becomes even more critical as leadership transitions to younger generations, ensuring stability and preserving the founding educational mission and family relations (Suess, 2021).

**Theoretical and Conceptual Framework**

**On the quest of this study to understand the** unique challenges on governance and decision-making faced by family owned academic institutions, a theory to anchor the study on is necessary. The challenges, according to literature are due to the interplay of family dynamics and business operations demand among private family owned and managed academic institution, due to conflicting interest, legacy concerns, and the preservation of family values can complicate governance and decision-making processes. Thus, the study found agency theory (Jensen & Meckling, 1976), stewardship theory (Davis, Schoorman, &

Donaldson, 1997), ethical decision making theory of Linda Treviño (1986) interactionist model and corporate sustainability theory (Dyllick & Hockerts, 2002), as appropriate theories to support and design the study.

The Agency Theory explains the relationship between owners (principals) and managers (agents). In a family business, this relationship becomes complex as family members play both roles. The conflict between family interests and business goals often leads to governance and decision making challenges that family governance (treaty) should recognize and address. The Stewardship Theory, contrary to agency theory, points out that managers (family members) act as stewards of the company, aligning their goals with the organization's long-term success. This theory helps understand how family members take responsibility for the institution's success. ethical decision making theory on the other hand, focuses on how ethical principles and values of the family member that manages the institution is influenced that also influences decisions. It is key in evaluating the ethical considerations within the family's governance framework, especially in maintaining transparency, accountability, and fairness - while considering other families who are not active in the management of the school, who are also at stake of the performance of the business with personal interests. And the last is the sustainability theory because these family owned schools, aside from their social responsibility of educating the young population also has the moral ascendancy to perpetually provide the services. This theory provides insights into how businesses can develop strategies that ensure long-term viability while balancing economic, social, and environmental factors.

**Agency Theory**
**Stewardship Theory**
**Ethical Decision Theory**
**Sustainability Theory**

**The Case Higher Education Institution's Key Result Areas (KRAs)**

**STRATERGIC DIRECTION/ PLAN**

**- Governance**

**- Sustainability**

**Effectiveness of KRAs**

**Governance practices and challenges**

**Issues besetting management & employees**

**Sustainable Governance Framework**

**for**

**Family Owned-Managed Higher Educational Institutions**

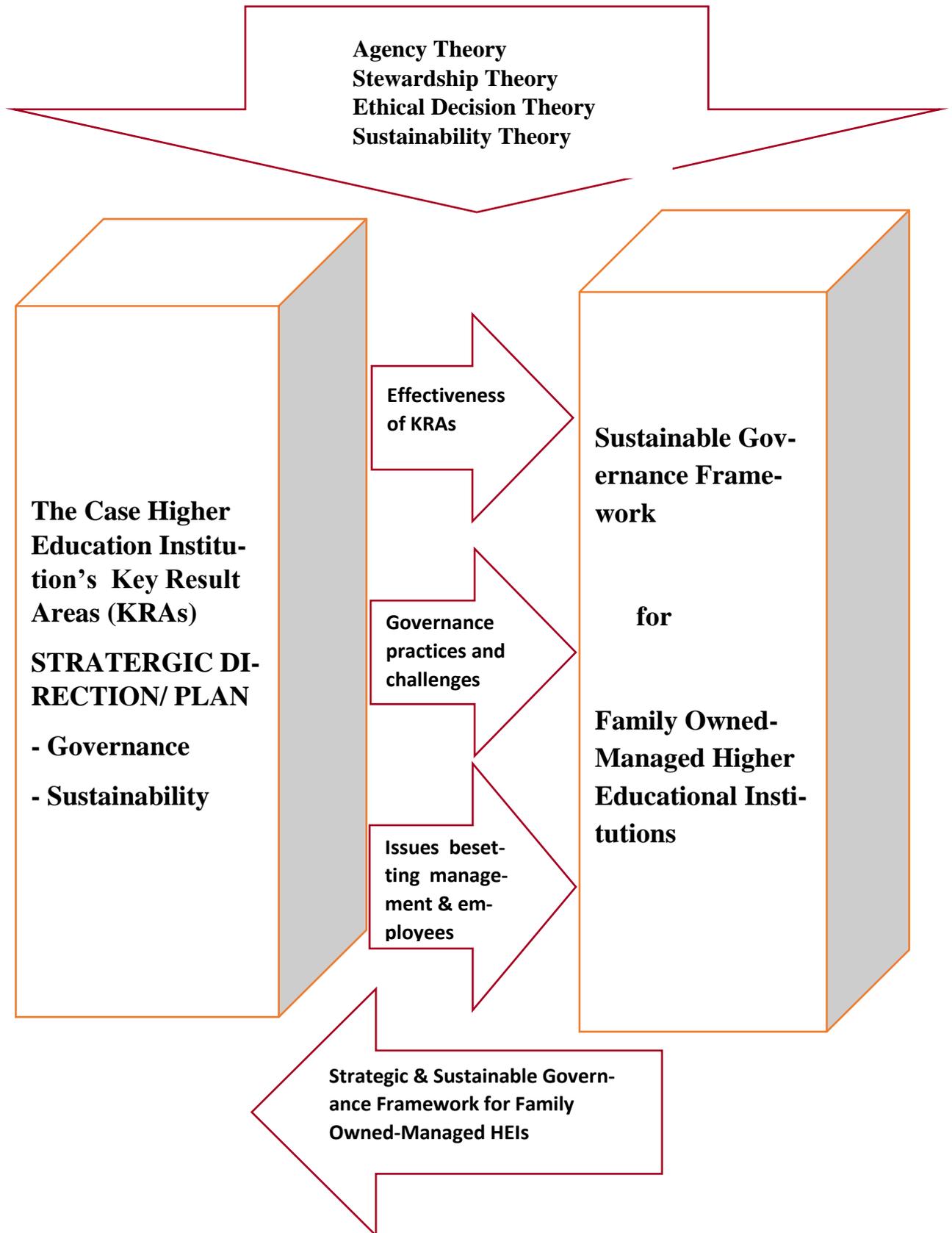**Strategic & Sustainable Governance Framework for Family Owned-Managed HEIs**

***Figure 1.*** *Paradigm of Conceptual Framework*

As to the conceptual framework, guided by the four theories mentioned, the information that the study shall look into: The family dynamics, which includes the roles of family members in the governance and decision-making; The existing decision making framework that includes balance between family needs and the academic performance and delivery needs. Current processes used for decisions within the institution has to be scrutinized; Governance challenges. These are conflicts, succession issues, lack of clear governance, etc.

Upon approval by the management to conduct the study, it proceed by assessing the HEI's existing governance framework through the following sub processes: First, the evaluation of the family-owned institution's governance system using agency and stewardship theory was conducted by determining the effectiveness of their strategic plan by reviewing their identified key result areas (KRA). Then, guided by sustainability and ethical frameworks, current governance practices and challenges were analyzed and the issues and challenges besetting the management and employees were determined. Finally, the proposal of a Sustainable Framework that incorporates ethical decision-making principles for long-term governance

**Synthesis of the art**

The literature and studies reviewed yielded the following insights: Family businesses are a significant force in the global economy, blending family values with business operations. Having unique nature it has challenges require tailored decision-making frameworks to navigate effectively. Ethical decision-making in family businesses is important (Miller & Le Breton-Miller, 2021; Sharma, Chrisman, & Chua, 2020). Specific ethical dilemmas, such as conflicts of interest between family and business objectives and issues related to succession planning (Gersick et al., 2022). And that these challenges arise from the intertwining of personal and professional spheres, which can complicate decision-making processes (Bammens, Voordeckers, & Van Gils, 2020). For instance, succession planning not only involves selecting a capable successor but

also addressing family dynamics that can affect the business's future.

Family dynamics play a crucial role in ethical decision-making within family businesses - family members' values and relationships often influence business decisions (Eddleston & Kellermanns, 2023), thus, the importance of incorporating family values into ethical frameworks to ensure decisions align with both ethical standards and family expectations (Miller & Le Breton-Miller, 2021). For example, the Stakeholder Theory and the Agency Theory have been adapted to consider family dynamics (Chrisman, Chua, & Litz, 2014). These frameworks provide insights into balancing the interests of family members with business objectives, but they often need to be tailored to address the specific challenges faced by family-owned enterprises (Bammens et al., 2020).

Integrating ethical principles with business goals is crucial for family businesses to ensure sustainable governance (Zellweger, Eddleston, & Kellermanns, 2021), frameworks should incorporate both ethical and business considerations to address the unique challenges of family firms (Miller & Le Breton-Miller, 2021). The application of ethical decision-making frameworks in family businesses implementing frameworks to navigate ethical challenges while maintaining family harmony (Gersick et al., 2022). These case studies demonstrate the practical benefits of tailored frameworks in managing ethical dilemmas and ensuring sustainable governance.

Implementing ethical decision-making frameworks in family businesses can be challenging due to resistance from family members and the complexity of integrating personal values with business goals (Sharma et al., 2020). Research indicates that successful implementation requires clear communication, commitment from family leaders, and regular review of the framework to adapt to changing circumstances (Eddleston & Kellermanns, 2023). Studies could explore the impact of emerging trends such as digital transformation and globalization on ethical decision-making in family firms (Miller & Le Breton-Miller, 2021). Additionally, research should examine how different cultural contexts influence the

effectiveness of ethical frameworks in family businesses (Zellweger et al., 2021).

## Gap Bridged by the Study

Despite the increasing emphasis on ethical practices and sustainable governance more in the corporate world in general and in the academic institutions on their business side of the operation, there is limited research focusing specifically on family owned academic institutions and their distinct ethical dilemmas along governance and towards sustainability. This gap in the literature highlights the need to understand how family businesses navigate ethical decision-making and develop frameworks that address these challenges while ensuring long-term sustainability.

## Problem in the Field

One significant problem in this field of study along governance and sustainability for private academic institutions is the complexity between academic as a service oriented endeavor and at the same time as a business - which is profit generating endeavor at the same time. And as seen in the literature, these complexity is even aggravated by the family dynamic which is a process or structure that values more relationship than profit - suppose to be. But since it is a business that generates huge profit that supports the families which is growing from generation to generation - issues and conflict as to interest in management and allocation do arises (Jaffe and Grubman, 2020).

Professional management against family sentiment is another problem in the field that has ethical underpinning, which is also a prevalent problem seen in the reviewed literature. These problem has great impact on governance and sustainability, which is very much related to the management of family owned and managed schools (Ward, 202). Another aggravating issues is management succession succession that has growing impact on the succeding generations of heirs to the the institutions.

## Objective of the Study

The study investigates the effectiveness and challenges that family-owned and managed higher education institutions (HEIs) encounter that has implication on the HEI's governance and sustainability. The specific objectives are;

1. To determine the current level of effectiveness of the case higher education institution's key result areas (KRAs) based on their strategic plan, from the perspectives of the management and employees.
2. To analyze the current governance practices and challenges faced by family-managed higher education institutions in achieving sustainability.
3. To determine the issues and challenges besetting the management and employees of the family owned-managed higher education institution.
4. To propose an enhanced sustainable governance framework for family owned-managed higher educational institutions.

## Methods

This section outlines the methodology for investigating the unique governance and decision-making challenges faced by family-owned academic institutions, the effectiveness of their existing frameworks, and the development of an ethics-based governance model to promote sustainable business practices. The data gathering instrument used is also presented in this section.

## Research Design

The study is descriptive mixed method, case approach to understand the intricate governance and decision-making dynamics in the family owned and managed academic institution. The case study method is appropriate in deepening the understanding of the complexities of family businesses in the context of academic business, where both family values and business objectives intersect. The study provided an in-depth, holistic insights through detailed examination of the case HEI on their governance challenges and decision-making frameworks as an higher education institution.

The case study approach is particularly effective for examining family owned and managed academic institutions, as it allows for an in-depth analysis of complex governance issues while considering the unique familial dynamics that influence decision-making. By focusing on real-world scenarios, the study

delved into the interplay between familial relationships and sustainable business governance practices. This method provides rich qualitative data, enabling a comprehensive understanding of challenges and strategies specific to the context of the case HEI. According to Yin (2018), case studies are invaluable for exploring phenomena in their natural context, making them ideal for institutions where personal and professional realms intertwine. Utilizing this design can significantly contribute to the field by highlighting best practices and lessons learned in sustainable governance (Yin, 2018).

The quantitative part of the study is on the establishment of the current level of effectiveness of the case HEI's key result areas (KRAs) based on their strategic plan. The qualitative part is the random interviews conducted to probe on some aspect of the KRA survey result to deepen understanding that the case study demands. For the the governance and decision making practices and challenges, key informant interviews was conducted for more

**The Case HEI and Sampling Method**

The study focused on the case HEI, a private, family owned - managed academic institution in Daraga, Albay with accredit programs and is working on their Universityhood. The respondents will be drawn from three key groups: First, *Family Members involved in Governance* - they are members of the family (the Tabuena clan) who are actively participating in the governance of the institution or holding managerial positions both in the academic and the business management. The second groups are those holding *Senior Leadership* role deans, directors who are involved in decision-making but are non-family members. And the third group are *Other Stakeholders* such as staff, faculty, or external advisors who have a role or insight into governance and decision-making processes or are directly observes the the governance and decision making in the case school.

Given the in-depth nature of the case study, purposive sampling was used. A quota sample of 81 respondents were chosen based on their involvement in key governance and decision-making in the institution. The sample was large enough to capture the diversity of

views: 3 from the top management (3rd generation), 3 middle managers (3rd generation) from the academe and from the operation. 11 handling supervisory level from academe and operation - 5 are 3rd generation. The remaining 64 is composed of teaching and non-teaching employees.

**Data Collection Methods**

One of the primary data gathering methods implemented was the distribution and retrieval of survey questionnaire that facilitated the gathering of statistical data on the **current level of effectiveness of the case HEI's key result areas (KRAs)**. Key informant interview is another data collection method used in the collection of data that allows flexibility to explore respondents' personal experiences and perceptions while ensuring that key topics are covered. Interviews are focused on the school's governance and decision-making processes, family dynamics and business relations, conflict resolution and resource allocation processes and procedures, succession planning and family legacy that provided rich and nuanced insights. It also explored participants' perspectives while maintaining the flexibility to probe deeper into specific topics. These methods enhance the validity and reliability of the findings, as noted by Yin (2018), who emphasizes their importance in qualitative research data. Secondary data complemented the data from the survey and interviews. Relevant documents were accessed and reviewed to understand the formalized decision-making structures and governance processes in the case HEI.

**Data Analysis**

For the quantitative data gathered through the four scale Likert survey questionnaire, simple statistical analysis was performed by computing the mean scores. The interpretation is as follows: *4 - Very Effective*, that is when the institution consistently achieves or exceeds expectation, demonstrating high levels of performance and success in academic, administrative, and extracurricular activities. The stakeholders frequently express satisfaction and positive outcomes related to the institution's objectives and goals along the KRAs; *3 -*

*Moderately Effective*, the institution achieves most of its key result areas with occasional lapses or challenge, but generally meets its targets and outcomes. Stakeholders show moderate satisfaction, with some areas requiring improvement to fully meet expectations; *2 - Slightly Effective*, the institution struggles to meet key result areas consistently, with significant gaps in achieving desired outcomes. Stakeholder feedback indicates dissatisfaction, and multiple areas of improvement are needed to align with the institution's goals; and, *1 - Not Effective,* the institution fails to meet most or all of its key result areas, with poor performance in essential academic and operational objectives. Stakeholders express widespread dissatisfaction, and the institution faces severe challenges in achieving its goals and fulfilling its mission.

The data collected through interviews and document analysis, will be analyzed using thematic analysis method. The process involves: First, coding the data, where transcribed interviews,and document excerpts will be coded based on emerging themes such as governance, conflict resolution, resource allocation, succession and other themes that may arise from the data. Second will be categorization, here the codes will be grouped into categories that reflect the research objectives, such as challenges in governance, effectiveness of decision-making. The the pattern identification follows, where prominent patterns or recurring themes in governance challenges and decision-making will be identified.

The study used a framework analysis to assess the effectiveness of existing governance structures. Each element of governance (decision-making, resource allocation, conflict resolution, etc.) will be assessed against ethical and sustainability frameworks, drawing from Stewardship Theory and Ethical Decision-Making Theory. Several theoretical frameworks guided the study in the analysis of data. The Agency Theory was used to examine the conflict of interest between family owners and professional managers. The Stewardship Theory was explored how family members act as stewards, ensuring long-term sustainability. The Ethical Decision-Making Theory provided a basis for understanding how ethical principles are incorporated into governance decisions. And the Sustainability Theory helps the study assess the effectiveness of current strategies in promoting long-term viability for the institution.

## Validation of Findings

To ensure the reliability and validity of the findings, data and respondent triangulation was be employed. Data triangulation is to cross-check information from interviews, documents, and observations to validate key themes. Respondent validation on the other hand, can provide feedback from interview participants will be sought to ensure that the researcher's interpretations align with their experiences. And before finalizing the analysis, the researcher engaged in peer debriefing with academic peers to review the codes, categories, and themes to mitigate researcher's bias.

## Ethical Considerations

Because of the sensitive nature of family business dynamics and some sensitive data may be revealed, the study will adhere to strict ethical standards. On confidentiality, the name of the institution and the respondents was anonymized to protect privacy. Informed Consent is of utmost important and priority in this study. Participants was fully informed about the research objectives the methods and their nature of participation, and their informed consent was obtained before data collection, through consent form that they are going to sign in. On avoiding harm, utmost care was taken to avoid causing distress, especially when discussing sensitive issues such along decision making, conflict resolution and succession planning.

## Result And Discussion

This section of this paper presents the analysis and interpretation of data gathered for this study that investigates on the effectiveness and challenges that family owned and managed higher education institutions (HEIs) encounters along the case HEI's governance and sustainability issues.

The most current strategic plan of Bicol College (BC) is a 5 year strategic plan that covers School Year 2024 to 2028. The BC

Strategic Plan was crafted in ____ which was participated by the ___, ___ and the ___. During the planning, the participants were able to identify 10 key result areas (KRAs), these are: The institutional Philosophy or the VMGO; Faculty competence and development; Standard of instruction; Research and extension; Physical plant and facilities; Student Services; Library services; Laboratories; Community involvement and Linkages & collaboration.. Their KRAs, according to the top management, was identified and agreed upon to consider performance and competitiveness of the institution, and in consideration of the areas the HEIs are being evaluated by accrediting agencies and certification bodies, as well as the mandate of governing bodies. Data and analysis on the measure of its effectiveness are presented in the succeeding tables and discussions.

## The Current Level of Effectiveness of the Case Higher Education Institution's Key Result Areas (KRAs) of their Strategic Plan

In this section, data on the level of effectiveness of the KRAs of the case HEI were measured according to how the top management, the senior managers and other stakeholders perceived the strategic plans per key result area. Indicators per KRAs were rated using the following range and interpretation: *1.00 - 1.49 is Not Effective*, meaning that the institution fails to meet most or all of its key result areas, with poor performance in essential academic and operational objectives. There is widespread dissatisfaction, and the institution faces severe challenges in achieving its goals and fulfilling its mission; *1.50 to 2. 49 - Less Effective*, interpreted as, the institution struggles to meet key result areas consistently, with significant gaps in achieving desired outcomes. Feedback indicates dissatisfaction, and multiple areas of improvement are needed to align with the institution's goals and direction: *2.50 - 3.49 is Moderately Effective* that is the institution achieves most of its key result areas indicators with occasional lapses or challenges, but generally meets its targets and outcomes. A moderate satisfaction I s observed, with some areas requiring improvement to fully meet expectations; and, *3.50 - 4.00 is Very Effective* which means that the institution consistently achieves or exceeds expectation. demonstrating high levels of performance and success in academic, administrative, and extracurricular activities. The stakeholders (students, staff, parents, and the community) frequently express satisfaction and positive outcomes related to the institution's objectives, goals and directions. The results and discussions are presented in the succeeding tables.

### Institutional Philosophy (VMGO)

Institutional philosophy is the the Vision, Mission, Goals, and Objectives of an academic institution. It is the collective expression of what the institution believes in, what it aims to achieve, and how it intends to operate and serve its stakeholders. For higher education institutions (HEIs), the VMGO serves as the guiding framework for governance, academic programs, decision-making, and long-term development. It is very important in studying and developing a governance framework for a family owned and managed institution of learning. Table 1 below presents the perceived effectiveness of the case HEI on their KARA #1, the VMGO.

**Table 1:** *Case HEI Level of Effectiveness on KRA#1- Institutional Philosophy (VMGO)*

| Indicators | Mean | Interpretation |
|---|---|---|
| 1. Conduct of focus group discussion (FGD) involving different stakeholders in crafting the institution's VMGO | 3.16 | Moderately Effective |
| 2. Translation of VMGO to Filipino for better understanding of all stakeholders | 2.83 | Moderately Effective |
| 3. Cascading of VGMO to the lowest level of the organization to intensify its implementation | 3.16 | Moderately Effective |

| | | |
|---|---|---|
| 4. Inclusion of the VMGO in the syllabuses in all courses and other pertinent documents and forms used by the institution | 3.35 | Very Effective |
| 5. Consistently monitoring through meetings & survey commitment and adherence of teaching and non-teaching personnel to the VMGO | 3.17 | Moderately Effective |
| *Overall Mean* | *3.13* | *Moderately Effective* |

Legend: 1.00 - 1.49  Not Effective, 1.50 to 2. 49  Slightly Effective, 2.50 - 3.49  is Moderately Effective, 3.50 - 4.00 Very Effective

The table show that, as to the effectiveness of the KRA #1 of the case institution's strategic plan, which is the HEI's Philosophy, it got an overall mean of 3.13 which is moderately  effective only. And, the practice of having it required to be in place in the syllabus got the highest mean  of 3.35 - which is very effective. On the other hand translating the VMGO to Filipino, or probably to the vernacular, got the lowest mean of 2.83 but still within the range of somewhat effective.

The survey result could mean that, the case HEI achieves most of its key result areas indicators with occasional lapses or challenges, but generally meets its targets and outcomes. A moderate satisfaction is observed and felt by the people in the organization. Also, they feel that there are some areas requiring improvement to fully meet their expectations. These can be  considered a very loud voice from the internal community of the HEI to guide the administration down the rank in their actions and decisions with a clear direction from the philosophy of the institution. The study of Duran and Mariñas (2024) found a growing alignment between institutional philosophy and the HEI's measurable outputs, specially in their course offerings, their community engagement activities and others, but also reiterated that the implementation is uneven. Such finding support the claim of this study as the case institution meet many targets that visibly reflect their philosophy, but occasional lapses occur in deeper, institutionalized indicators.  Quitoras (2021) and Aquino (2025), in their respective studies, said that high-performing private HEIs typically demonstrate a clear VMGO alignment in public documents and curricula but  periodic lapses in research metrics or in long-term financial planning. The study further claim that private HEIs often deliver on core VMGO-linked outputs while struggling with less visible structural indicators.

On the indicator that, inclusion of the VMGO in the syllabuses in all courses and other pertinent documents and forms used by the institution found to be very effective, which means that the institution consistently achieves or exceeds expectation. demonstrating high levels of performance and success in academic, administrative, and extracurricular activities. The stakeholders (students, staff, parents, and the community) frequently express satisfaction and positive outcomes related to the institution's objectives, goals and direction. That could be due to the intense dissemination of the VMGO to student student and that they are constantly reminded, and the other stakeholders both internal and external are informed through document, letters and other materials bearing the philosophy of the institution. On the downside, the stakeholders lowest rating is on the VMGO being translated to Filipino for better understanding of all stakeholders. This could further mead to have it in the vernacular for better understanding of every stakeholders of the institution.

### Faculty Competence and Development

The faculty complement was identified as one important KRA of the HEI's strategic plan. The strength of the faculty line-up defines quality of education that the institution of learning offers (Balanquit, Ladia &  Nool, 2023). Result of the survey is for this KRA is presented in table 2.

**Table 2.** *Case HEI Level of Effectiveness on KRA#2- Faculty Competence and Development*

| Indicators | Mean | Interpretation |
|---|---|---|
| 1. There is a clear policy and standard for faculty competence measure and development program | 3.11 | Moderately Effective |
| 2. There is an approved Faculty Development Program with clear policy, budget allocation, incentives and programs to develop faculty competence | 3.12 | Moderately Effective |
| 3. There is a clear faculty ranking and promotion program aligned with the institution's VMGO. | 3.03 | Moderatelyt Effective |
| 4. Faculty are encouraged and supported in attending seminars and conferences, in the conduct of research and extension and are being given commensurate points in the faculty ranking | 3.33 | Very Effective |
| 5. Faculty loading is based on faculty's field of specialization and their teaching load units is based om performance evaluation | 3.29 | Very Effective |
| ***Overall Mean*** | ***3.17*** | ***Moderately Effective*** |

*Legend: 1.00 - 1.49 Not Effective, 1.50 to 2. 49 Slightly Effective, 2.50 - 3.49 is Moderately Effective, 3.50 - 4.00 Very Effective*

It can be gleaned from table 2 that as to the effectiveness of the KRA of the strategic plan on HEI's faculty complement, it is only moderately effective, with an overall mean of 3.17. But the indicator that the institution is supporting its faculty to attend enhancement seminars, conferences and in the conduct of research and extension which is being considered in ranking, got the highest mean of 3.33 - very satisfactory. The presence of a clear faculty ranking and promotion program aligned with the institution's VMGO got the lowest mean of 3.03 (moderately effective).

A recent study by Carvajal, Carvajal-Lascano, Aquino, and Esteva (2025) found that, in the Philippines, many higher education institutions systematically support their faculty's research capacity by providing professional development opportunities. Faculty members expressed strong satisfaction with their engagement in scholarships, seminars, training, conferences, and symposium. The study concluded that institutions invests in its faculty's enhancement in research/extension work as the administration recognizes the faculty and employees need for enhancement intervention along their respective areas of expertise.

In relation to that, he indicator that got the highest mean is that their faculty are encouraged and supported in attending seminars and conferences, in the conduct of research and extension and are being given commensurate points in the faculty ranking with a mean of 3.33 very effective. The respondents recognizes this program towards faculty development as they need to be provided with opportunity for development by the administration. As according to De Leon, et al., (2024), student satisfaction on their holistic development in the institution, could be attributed mostly to their teachers and mentors, thus continuous development should be provided to them the school. On the other hand, the indicator with the lowest mean of 3.03 is the presence of a clear faculty ranking and promotion program aligned with the institution's VMGO - somewhat effective. This result also speaks very loud for the administration to consider. These could be a manifestation that the faculty need to see the direction and career path fr their investment of time and effort for personal and professional growth. These could be in the form of policies and programs linking their effort and performance - and ultimately, to the development of a faculty ranking system that provides points for the efforts.

### Standard of Instruction

Student satisfaction is an essential component in the assessment of the quality of education in private higher education institutions (De Leon, Sibayan, Dinamling and Passol, 2024). For the case HEI, standard of instruction is identified as their number three KRA. This is a KRS of paramount importance for HEIs. Result of the survey on effectiveness of standard of instruction as KRA component is presented in table 3.

**Table 3:** *Case HEI Level of Effectiveness on KRA#3- Standard of Instruction*

| Indicators | Mean | Interpretation |
|---|---|---|
| 1. Applied for Center of Development for criminology and education programs | 3.30 | Very Effective |
| 2. Conduct periodic course evaluation, curriculum enhancement and adopt an outcome-based learning reflected in the syllabus. | 3.09 | Moderately Effective |
| 3. Sponsor curriculum planners, department chairs and faculty to instruction delivery enhancement seminars and workshops | 3.08 | Moderately Effective |
| 4. Produce faculty researches based instructional materials in their discipline | 3.08 | Moderately Effective |
| 5. Conduct in-service training and invite experts in the field of instruction delivery | 3.32 | Very Effective |
| ***Overall Mean*** | ***3.17*** | ***Moderately Effective*** |

*Legend: 1.00 - 1.49 Not Effective, 1.50 to 2. 49 Slightly Effective, 2.50 - 3.49 is Moderately Effective, 3.50 - 4.00 Very Effective*

Table 3 shows that standard of instruction in the case HEI is moderately effective only with an overall mean of 3.17. And the conduct in-service training and invite experts in the field of instruction delivery is the indicator with the highest mean of 3.32, but is closely followed by the application of the institution to be the Center of Development for criminology and education programs with the mean of 3.30 - both are within the range of very effective. For the indicator with the lowest rating are; Sponsor curriculum planners, department chairs and faculty to instruction delivery enhancement seminars and workshops and produce faculty researches based instructional materials in their discipline - where both have a mean rating of 3.08 or moderately effective only.

Evaluating student satisfaction is an essential component in the assessment of the quality of education in private higher education institutions (De Leon, Sibayan, Dinamling and Passol, 2024), thus standard of instruction is of paramount necessity to higher education institutions. But the study result show that the case HEI is only moderately effective with an overall mean of 3.17, which could mean that the institution achieves most of its KRA indicators with occasional lapses or challenges, but generally meets its targets and outcomes. A moderate satisfaction is observed, with some areas requiring improvement to fully meet expectations. The rating of somewhat effective can be an indication that while the institution demonstrates acceptable instructional practices, notable gaps are still identified and felt, which to them limits full effectiveness of instruction. The result suggests that faculty members are generally capable in delivering lessons, but there could be issues along classroom management, and instructional innovation that may have hindered the optimal learning outcomes of learners based on the standard of instruction. Along with that, literature says that instructional effectiveness in Philippine private HEIs is strongly influenced by faculty preparation, alignment of teaching strategies with learner needs, and institutional support for pedagogical improvement - and is connected to faculty development in part Aguilar (2021). And, when any of these elements are

only partially met, instructional quality may become flat and do not respond well to changing educational landscape. Another factor may be is that the case HEIs faces challenges, such as limited teaching resources, uneven faculty qualifications, and the need for stronger continuous professional development. It was noted in the literature that, institutions often struggle with integrating modern teaching technologies, implementing outcomes-based education consistently, and ensuring regular classroom observations and feedback mechanisms in their study on instructional quality (Bautista and Hernandez (2022). These constraints may be mirrored in the case institution, contributing to its moderately effective rating. Reyes and Domingo (2020), emphasized that instructional effectiveness requires a strategic balance of content mastery, student-centered approaches, and quality assessment systems. When these components are only partially implemented, instructional delivery tends to fall short of being rated very effective.

The conduct in-service training and inviting experts in the field of instruction delivery (3.32) and the application of the institution to be the Center of Development for criminology and education programs (3.30) got the highest mead and rating of very effective. This could be an indicator that the HEI sees the importance of inviting experts to help them improve on their instructional delivery and the teaching, non-teaching personnel and the administration sees its importance. Also the application for Center of Development guides them in enhancing their standard of instruction as it provides them with guidelines and the indicators they need to comply as far as COD certification is concern (Bautista and Hernandez (2022). For the indicators; Sponsor curriculum planners, department chairs and faculty to instruction delivery enhancement and produce faculty researches based instructional materials in their discipline - where both have a mean rating of 3.08 or somewhat effective only. Enhancement programs and activities along standard of instruction must be towards addressing these weaknesses.

### Research and Extension

Sustainable and dynamic research and extension culture are significant drivers towards the realization of the mission and vision of an educational institution. It is one of the mandate of higher education institution aside from instruction. Therefore, these component should be in-place and functional. For the case HEI, survey result is presented in table 4.

*Table 4: Case HEI Level of Effectiveness on KRA#4- Research and Extension*

| Indicators | Mean | Interpretation |
|---|---|---|
| 1. There is a research and extension office that programs research and extension activities of the institution alongside the faculty and non-teaching personnel to implement them | 3.18 | Moderately Effective |
| 2. There is a publication journal in every department to publish faculty and non-teaching research and extension reports | 3.01 | Moderately Effective |
| 3. Conduct of research and extension colloquiums and sponsor faculty in local to national research presentations | 3.24 | Moderately Effective |
| 4. Sponsors membership to research associations | 3.09 | Moderately Effective |
| 5. Provides attractive incentives to encourage all regular full-time faculty members to conduct research | 3.20 | Moderately Effective |
| *Overall Mean* | *3.14* | *Moderately Effective* |

Legend: 1.00 - 1.49 Not Effective, 1.50 to 2. 49 Slightly Effective, 2.50 - 3.49 is Moderately Effective, 3.50 - 4.00 Very Effective

For research and extension, table 4 shows that this component KRA is also moderately effective with an overall mean of 3.14. All of its indicators fall under the same interpretation of moderately effective. The indicator that got the highest mean of 3.24 is the conduct of research and extension colloquiums and sponsor faculty in local to national research presentations. While the indicator with the lowest mean is that there is a publication journal in every department to publish faculty and non-teaching research and extension reports with the mean of 3.01 - both are moderately effective.

If an institution of higher education intends to achieve its desired direction, it is important that a sustainable and dynamic research and extension culture be developed and continually nurtured (Quitoras & Abuso, 2021). Therefore academic leaders must act and continually think of strategy and that will make the faculty members and the whole community inspired to conduct research and extension. Along that, the case institution should seriously consider this finding on the overall mean of 3.14 which is somewhat effective only. And, that means that the institution achieves most of its key result areas indicators with occasional lapses or challenges, but generally meets its targets and outcomes. A moderate satisfaction is observed, with some areas requiring improvement to fully meet expectations. Such improvements must be defined properly and contextually to be able to come up actionable strategy.

According to studies, many private higher education institutions (HEIs) in the Philippines regularly conduct research and extension colloquiums as part of their strategy to foster a culture of inquiry, scholarship, and community engagement. It can serve as institutional platforms for the faculty, non teaching personnel and students disseminate their research undertaking and receive academic feedback to strengthen their research capability and ultimately inspire them which is related to the present study indicator that gets the highest mean of 3.24. According to Albia and Malaga (2020), research colloquiums enhance institutional research capability by providing continuous opportunities for presenting and critiquing scholarly work, which ultimately contributes to the institution's overall academic quality. HEI's now recognizes that sponsoring faculty members to participate and present in local and national research conferences is a critical investment on faculty development. It was found that faculty involvement in research conferences significantly improves academic productivity, promotes innovation, and strengthens institutional research performance and ultimately in developing and sustaining research culture (Dela Peña and Quimbo (2021). Aside from that, institutionalize research incentives and conference sponsorship demonstrate stronger compliance with quality assurance frameworks and exhibit better alignment with their research and extension mandates (Padilla and Reyes (2022).

On the other hand, the indicator, publication journal in every department to publish faculty and non-teaching research and extension reports, got the lowest the mean of 3.01 (somewhat effective). For private HEI that relies only on student fees, maintaining a journal is cost challenging aside from having good harvest of researches and articles to be published is very much a challenge for the case HEI. According to the study of Reyes and Padilla (2021), private higher education institutions finds it financially challenging to maintain even institutional research journals due to the high costs of peer review management, editorial staffing, publication processing, and digital archiving and others - how much more a departmental journal. Studies proved that sustaining scholarly journals requires continuous investment in editorial systems and publication technology - and that is burdensome for private HEIs with limited budgets. Recurring expenses associated with journal maintenance can strain the financial capacity of private institutions which can be used to other research capability building on the department level instead. Thus, making it a long-term sustainability problem. These are very significant issue in building sustainable research and innovation ecosystem in Philippine higher education institutions and in developing a strong research and innovative culture within. Also, the production of tangible outcomes to aid on industry-related partnership improvements that addresses the nation's most pressing issues. The paper hopes to serve

as springboard in formulating policy and practice toward enhancing research and innovation efficiency among the Philippine HEI's that could contribute to the overall nationwide progress (Lunag Jr. Et al., 2023).

### Physical Plant and Facilities

The physical plant and facilities of a higher education institution play a crucial role also in supporting quality instruction, research productivity, and overall student learning experiences. Adequate, safe, and well-maintained facilities enhance institutional effectiveness by providing an environment conducive to teaching, learning, and service delivery (Dela Cruz & Caballes, 2021; Mendoza, 2020). Result of the survey is presented in table 5.

**Table 5:** *Case HEI Level of Effectiveness on KRA#5- Physical Plant and Facilities*

| Indicators | Mean | Interpretation |
|---|---|---|
| 1. Allocation of annual budget for renovation and expansion of physical pant and facilities | 3.06 | Moderately Effective |
| 2. Continuous renovation and upgrading of offices, laboratories, library and other facilities | 3.14 | Moderately Effective |
| 3, Allocation of funds for the construction of additional building and classrooms | 3.16 | Moderately Effective |
| 3. Renovation of classrooms and facilities to upgrade its standards | 3.04 | Moderately Effective |
| 4. Acquisition of generator and maintenance of cleanliness and beautification of the vicinity of the campus | 2.92 | Moderately t Effective |
| ***Overall Mean*** | ***3.06*** | ***Moderately Effective*** |

*Legend: 1.00 - 1.49  Not Effective, 1.50 to 2. 49  Slightly Effective, 2.50 - 3.49  is Moderately Effective, 3.50 - 4.00 Very Effective*

In this section, the results of the assessment on the institution's physical plant and facilities are presented to determine their adequacy, functionality, and alignment with academic and administrative needs. The data in table 5 says that on the case HEI's physical plant and facilities, they rated themselves as moderately effective only with an overall mean of 3.06. The indicator that  that says that allocation of funds for the construction of additional building and classrooms got the highest rating among the indicators with a mean of 3.16. While the indicator on the acquisition of generator and maintenance of cleanliness and beautification of the vicinity of the campus got the lowest mean of 2.92. But both are within the somewhat effective range.

Considering that physical plant and facilities of HEIs is crucial in supporting quality instruction, research productivity, and overall student learning experiences and development (Dela Cruz & Caballes, 2021), and that, an adequate, well-maintained facilities that assure safety enhance institutional effectiveness by providing an environment conducive to teaching, learning, and service delivery, this KRA need actionable direction. With the result of this study that the case HEI's physical plant and facilities is only somewhat effective - meaning that the institution achieves most of its key result areas indicators with occasional lapses or challenges, but generally meets its targets and outcomes. A moderate satisfaction is observed, with some areas requiring improvement to fully meet expectations. Thus, such lapses and challenges and the moderate satisfaction need to be dealt with in planning and board decisions. It can be seen also as there are components that needs to be enhanced that the administration should look at. Thus, the case HEI may consider further modernization that includes technology driven facilities responding to the current demand of time. Recent literature affirms that modern and functional campus infrastructure contributes significantly to academic performance and student satisfaction. Facility evaluation is an essential

component of institutional assessment according to Mendoza (2020).

The indicator that case HEI allocation of funds for the construction of additional building and classrooms got the highest rating among the indicators with a mean of 3.16 (somewhat effective) - meaning that the institution achieves most of its key result areas indicators with occasional lapses or challenges, but generally meets its targets and outcomes. A moderate satisfaction is observed, with some areas requiring improvement to fully meet expectations. This sentiment could mean that the community observes improvement of classrooms but other important facilities are left behind. These is evident in the former discussion that there is uneven distribution of funds among HEIs according to literature. The indicator that received the lowest mean of 2.92 about equipment, campus maintenance of cleanliness and beautification but also falls under somewhat effective. This could be that the community sees also the importance of maintaining the facilities that are not functional anymore and that cleanliness of the campus is aesthetically important as well. According to Aguilos

(2025), private schools usually have inadequate funding for educational resources and facilities that continues as a significant challenge, not only in the country but globally. Financial constraints, being dependent on students fees, limits from supplying students with the essential tools, infrastructure, and opportunities needed to cultivate effective learning environments. It was also noted that a number of educational establishments are functioning in aging structures with inadequate safety protocols, limited classroom capacity, and poorly cared-for facilities - in the country and globally.

### Student Services

Student services is another KRA that is important in shaping the overall educational experience, as they are the one that provides academic, social, psychological, and developmental support beyond the classroom. This section assess how the HEI effectively responds to the diverse needs of its students and their academic success and holistic development and is presented in table 6.

***Table 6:** Case HEI Level of Effectiveness on KRA#6- Student Services*

| Indicators | Mean | Interpretation |
|---|---|---|
| 1. All needed/required student support services (medical,guidance,testing,counselling,career development, etc.) are present and functional | 2.95 | Moderately t Effective |
| 2. Individual inventory of students is regularly conducted | 3.03 | Moderately t Effective |
| 3. Conduct of regular orientation, information drive and general assembly | 3.23 | Moderately t Effective |
| 4. Organizing students and overseeing student organization election,oath taking and other student activities | 3.32 | Moderately t Effective |
| 5. Operationalization of student publication as provided for in RA 7079 as Campus journalism Act of 1991 | 3.28 | Moderately t Effective |
| ***Overall Mean*** | ***3.16*** | ***Moderately Effective*** |

*Legend: 1.00 - 1.49 Not Effective, 1.50 to 2. 49 Slightly Effective, 2.50 - 3.49 is Moderately Effective, 3.50 - 4.00 Very Effective*

Overall,The case HEI level of effectiveness on Student Services is 3.16 which is within the scale interpretation of somewhat effective. The indicator on organizing students and overseeing student organization election, oath taking and other student activities go the highest

mean rating of 3.32, while the indicator that - all needed/required student support services (medical,guidance,testing,counselling,career development, etc.) are present and functional receive a mean rating of 2.95. It is noted that both also are with in the range interpretation

of moderately effective and also worth to note that all it indicators are with in the same range on interpretation.

Looking at the case HEI level of effectiveness on Student Services of a mean of 3.16 which is within the scale interpretation of moderately effective has much concerns to look at to. It means that this KRA, according to the community is that most of its key result areas' indicators are achieved but with occasional lapses or challenges although it generally meets its targets and outcomes and only a moderate satisfaction is observed and that there are areas requiring improvement to fully meet expectations. And according to Estacio, Abarientos and Banguete (2022), student services usually includes; guidance & counseling, scholarship & financial aid programs, health & wellness assistance, career development, co-curricular engagement and other services that are important in the total well-being and holistic development of learners. Further, they said that it has impact on student student performance and on the enhancement of students' educational experience through that meet student needs. In the Philippines, all higher education institutions are required to provide a set of student-centered activities and services in support of academic instruction intended to facilitate holistic and well-rounded student development. The study found that, the services and programs provided by the different student support offices of the their university fostered student performance and make it a policy ensure that these student support offices remain committed to providing services and programs that matter to student performance and for the administration support for these service providing offices. Another university here in the Philippines conduct similar study and concludes that the students find the delivery of services as very satisfactory and that the student development is the area that benefit due to well taken area during their strategic planning. The study recommendation is that other ideas be considered in further enhancing their student support services programs (Malinog et al., 2023).

On the indicator that organizing students and overseeing student organization election, oath taking and other student activities go the highest mean rating of 3.32 (moderately effective) could mean that the students, the administration and the teaching and non-teaching personnel saw the importance of having an office that directly over see the student affairs and activities for guidance. For the indicator with the lowest mean of 2.95, is that all needed/required student support services (medical, guidance, testing, counselling, career development, etc.) are present and functional receive a mean rating, although it is with the range of moderate effective but must be given attention by the management. It must be evaluated from time to time as these might be not functional anymore that needs to be addressed. Or there could be some that are no longer compliant to government regulations. According to Maslang et al.(2021), student services, fundamentally, is a profession that subjects itself to periodic evaluation and capacity assessment to ensure the quality of service being delivered and benefit from further strategic planning. Further, researchers conclude that the students' awareness and satisfaction rests on how the school is able to deliver student services faster, stress-free and at the most convenient possible way, even during disruption like the pandemic. They recommend that a "One – Stop Shop" student services office that can provide all the necessary services needed by the student is essential to total learning experience of learners. Development of online student services is also recognized in the present and ever changing educational landscape. Thus it is also highly recommended that on-line links for virtual information and support like student study group program (SSGP) through virtual meetings and enhancement of the activities of the guidance and counseling team and other services be made accessible to students in whatever form. Also, a regular and periodic evaluation is necessary to monitor the changing and varying needs of student of present time.

### Library Services

Amid the changing education landscape, the library remains to be a vital academic resource that supports teaching, learning, and research practical in any institution of learning. Its effectiveness is reflected in the relevance of

its collections, accessibility of information resources, availability of digital services, and the quality of assistance provided by library staff. The findings in this section examine the extent to which the institution's library services meet the needs of students and faculty and is presented in table 7.

***Table 7.*** *Case HEI Level of  Effectiveness on KRA#7- Library Services*

| Indicators | Mean | Interpretation |
|---|---|---|
| 1. Construction of a state of the art, air-conditioned library building conducive for learning | 2.85 | Moderately Effective |
| 2. Continuous development and updating of library collection, including library software, electronic resources and enhancement of e-library system | 3.22 | Moderately Effective |
| 3. Accessibility of library collection with on-line public access catalog (OPAC) and publication of library newsletter | 3.23 | Moderately Effective |
| 4. Library services office is managed by a licensed professional librarian | 3.44 | Very Effective |
| 5. Presence of continuing learning and development program for library personnel | 3.48 | Very Effective |
| ***Overall Mean*** | ***3.24*** | ***Moderately Effective*** |

Legend: 1.00 - 1.49  Not Effective, 1.50 to 2. 49  Slightly Effective, 2.50 - 3.49  is Moderately Effective, 3.50 - 4.00 Very Effective

Table 7 shows that on the level of  effectiveness of the case HEI on Library Services, they rate themselves as moderately effective only, with a overall mean of 3.24. The presence of continuing learning and development program for library personnel got the highest mean of 3.48, which is closely followed by library services office is managed by a licensed professional librarian (3.44) and these two indicators; rating is within very effective range. The indicator with the lowest mean,on the other hand, is  on the construction of a state of the art, air-conditioned library building that is conducive for learning with a mean of 2.85.

On the overall mean of 3.24 for library services, this falls under somewhat effective only which goes to show that the institution achieves most of its key result areas indicators with occasional lapses or challenges, but generally meets its targets and outcomes with moderate satisfaction is observed, with some areas requiring improvement to fully meet expectations. Looking closely into the table it is observes that the case HEI is compliant and are effective along its human resources component but poor along library facility - which could be considered the lapses and challenges experienced. The HEI could also be lacking along

facilities for hybrid access among its users. According to Ajith, Ramanayaka, and Weerasooriya (2023), educational landscape if rapidly evolving with rapid development of internet and the accelerating rate of information technology. So that libraries need to continually upgrade it physical as well as virtual library systems and facilities that are progressively transforming into hybrid library improving its traditional and electronic means. An insightful planning toward a strong library service is necessary and the need to continuously evaluate the effectiveness of library services is imperative. Also, another study result that the case HEI to consider is that library services affect the learning of college students and it influences the academic success of college students. The study recommend that administrators must treasure the library - its physical facilities and services, because without a functional the library, valuable and authentic information on needed in teaching and learning may be hardly accessible ( Malinog, 2023).

With the two indicators with highest mean ratings; The presence of continuing learning and development program for library personnel (3.48) and, The library services office is managed by a licensed professional

librarian (3.44), are both in the very effective level. This means that, the case institution consistently achieves or exceeds expectation. demonstrating high levels of performance and success in academic, administrative, and extra-curricular activities. The stakeholders (students, staff, parents, and the community) frequently express satisfaction and positive outcomes related to the institution's objectives, goals and directions. It could be extracted from this the high level of support and commitment of the administration on adhering to the regulating body's requirement such as professional librarians and trained service providers - which could have been highly appreciated by the students and teachers. On the other hand, there seem to be low level of effectiveness as shown by low appreciation of the physical facilities of the library, like its building, facilitates and environment. This is evident by very low level of effectiveness rating along the construction of a state of the art, air-conditioned library building that is conducive for learning (2.85). The study of Ajith, Ramanayaka, and Weerasooriya (2023) revealed that library user satisfaction is measured along; conducive building and set-up, collection development, management and staff contributions, service efficiency, and accessibility, and are considered as the top and key evaluation criteria that school administrators must be aware of.

This study result show that, administrators should learn to strike balance between the two main component of library - the state-of-the art library building & set-up/facilities that is conducive for learning, and the manpower & service excellence component to assist students with excellent service. Thus, it is recommended that a conceptual framework for assessing academic library service effectiveness be developed. Such framework could also be used to guide school administrators and planners in the planning of library total development. Such development should include service effectiveness along modern hybrid academic libraries. Also a continuous development and updating of library collection, including library software, electronic resources and enhancement of e-library system that is responsive to the changing education landscape of today (Eljay, Malinog, Tinaco, Gidor and Caayaman, 2023).

### Laboratories

Laboratory facilities is also important in ensuring hands-on and experiential learning particularly on courses that requires scientific, technical, or skill-based competencies. Effective laboratories must support student learning, faculty teaching, and compliance with academic and regulatory standards. The findings identified the gaps that affect the quality of instruction delivery and is presented in table 8.

***Table 8.*** *Case HEI Level of Effectiveness on KRA#8- Laboratories*

| Indicators | Mean | Interpretation |
|---|---|---|
| 1. Retrofitted laboratory facilities considering state- of the art technologies, facilities, instruments and consumables | 2.95 | Moderately Effective |
| 2. Properly lighted and ventilation of laboratories with visible safety and emergency instruction | 3.16 | Moderately Effective |
| 3. Student-centered laboratories are well planned with enough space that allows students to carry out experiments without overcrowding and promoting better focus and efficiency | 2.92 | Moderately Effective |
| 4. There are laboratory manuals, standard processes and procedures accessible and oriented to students | 3.12 | Moderately Effective |
| 5. Laboratories are maintained and operated by qualified staff that are regularly sent to trainings for updating and up-skilling | 2.93 | Moderately Effective |
| ***Overall Mean*** | ***3.01*** | ***Moderately Effective*** |

*Legend: 1.00 - 1.49  Not Effective, 1.50 to 2. 49  Slightly Effective, 2.50 - 3.49  is Moderately Effective, 3.50 - 4.00 Very Effective*

It is revealed in table 8 that, the same with other KRAs, level of effectiveness on school laboratories is also moderately effective with an overall mean of 3.01. The indicator with the highest mean of 3.16 is that the properly is lighted and there is ventilation in laboratory facilities with visible safety and emergency instruction. And the two lowest rated indicators are; Student-centered laboratories are well planned with enough space that allows students to carry out experiments without overcrowding and promoting better focus and efficiency (2.92) and closely followed by the indicator that laboratories are maintained and operated by qualified staff that are regularly sent to training for updating and up-skilling (2.93).

Laboratory is highly recognized and given prominent place in science instruction. Thus, it is suggested that schools should have five-year laboratory development plan that is periodically evaluated to determine the current state of science teaching laboratories in higher education establishments (Mabini, 2022). The current level of effectiveness on laboratories of the case HEI which is somewhat effective (3.01). This means that the case HEI laboratories achieves most of its key result areas or indicators, but with occasional lapses or challenges along some indicators. Although it could be seen that it generally meets its targets and outcomes but only a moderate satisfaction is observed, with some areas requiring improvement to fully meet expectation. Looking closer to the data, only three indicators are with somewhat elevated mean scores. These are related to lighting and ventilation of the physical laboratories safety and emergency signage, and the laboratory manuals, standard processes & procedures that orients the students - these mostly are minimum acquirement by the Commission on Higher Education (CHED). This is also true on the national level, thus, it is part of CHED's efforts to elevate the status of higher education institutions here in the Philippines as regard laboratory to support scientific courses delivery by pushing higher quality standard on laboratories. The United Nations Educational, Scientific, and Cultural Organization (UNESCO) promotes innovation in

response to the same global scenario (Mabini, 2022; Nuevo, 2024).

The study result also indicate that, student-centered laboratories are is not properly planned to have enough space to allow students perform their experiment without overcrowding and promoting better safety and efficiency, thus the lowest rating of 2.92. Another lapse observed is that these laboratories are not properly maintained and operated by qualified staff that are regularly trained to up-skill as required by present technology advancement. It worth to note that the case HEIs have submitted themselves for periodic assessment and evaluation utilizing PACOCOA survey instrument. In the survey, one of the important component that it looks for is laboratory - one that give students many chances to use scientific reasoning, manipulate equipment, record data, analyze results, and talk about what they've learned. But study shows that, this remains a challenge to most private and family-owned HEIs in the Philippines, which is true also globally (Lunag Jr. Et al., 2023).

On the lapses along qualified and regularly trained staff to manage laboratory, a conducted in the country revealed that most teachers handling sciences and laboratory courses, significant portion of them lacks in-service training, potentially limiting their effectiveness in using laboratory resources and teaching methods as well as managing the laboratory of the school, which hinders teachers' ability to conduct hands-on experiments and practical demonstration crucial for teaching these subjects Lunag Jr., 2023; Malinog, 2023).

### Community Involvement

Community involvement is also a vital component of an HEI's mission to extend its knowledge, resources, and expertise beyond the classroom and into the society. As per CHED mandate, institutions of higher learning are expected to contribute to social development and public service, active engagement with communities becomes a measure of their relevance and responsiveness, data is presented in table 9.

**Table 9.** *Case HEI Level of Effectiveness on KRA#10- Community Involvement*

| Indicators | Mean | Interpretation |
|---|---|---|
| 1. There is collaboration with local institutions (businesses, religious, LGUs, etc) to engage students in real-world problems and solutions and encourages students' participation in community service in the spirit volunteerism and nationalism | 3.34 | Moderately Effective |
| 2. There is strong school-family partnership ensuring that families are involved in the academic progress and social development of learners | 2.77 | Moderately Effective |
| 3. There are awards and recognition programs for students who actively contribute to their community through volunteerism for social causes | 3.28 | Moderately Effective |
| 4. Addressing inequality by eliminating discrimination, and inequality; providing equal opportunities for all learners, including access to academic resources, extracurricular activities, and social programs, regardless of their background. | 3.28 | Moderately Effective |
| 5. The institution has green initiatives, integrating sustainability into the curriculum, promoting environmental awareness and encouraging students to contribute to making the world a better place through environmental education | 3.20 | ModeratelyEffective |
| ***Overall Mean*** | ***3.17*** | ***Moderately Effective*** |

*Legend: 1.00 - 1.49 Not Effective, 1.50 to 2.49 Slightly Effective, 2.50 - 3.49 is Moderately Effective, 3.50 - 4.00 Very Effective*

The overall rating of 3.17 (moderately effective) suggests that the case HEI achieves most of its key result areas indicators with occasional lapses or challenges and a moderate satisfaction is observed. The indicator that there is collaboration with local institutions (businesses, religious, LGUs, etc) to engage students in real-world problems and solutions and encourages students' participation in community service in the spirit volunteerism and nationalism, got the highest mean rating of 3.34 (moderately effective). While the indicator which says that there is a strong school-family partnership ensuring that families are involved in the academic progress and social development of learners, got the lowest mean score of 2.77.

The data suggests that the HEI has been implementing community involvement programs achieves most of its key result areas or indicators, but with occasional lapses or challenges along some indicators. Although it could be seen that it generally meets its targets and outcomes but only a moderate satisfaction is observed, with some areas requiring improvement to fully meet expectation. These initiatives may not yet be consistently strong, widespread, or sustainable enough to be rated as very effective. The participants may have remembered the community activities undertake, but sees it as mere outreach activities, partnerships with local communities, and student participation in extension activities. However, the result implies that these efforts may be limited in terms of its qualification as extension program or activity, also in terms of frequency and depth, or integration with academic programs. In our country, members of the academic community, according to literature, are generally have very high level of awareness and high level of motivation doing community outreach, but involvement has yet to be enhanced. A study suggest that HEIs has to revisit regularly their community extension program and implementation plan. As there is a need to enrich its strategies to attain a more inclusive and progressive involvement among the institutions' stakeholders (Calimpos, Verdeprado-Mangga and Madrigal, 2023). It is also very important for the HEI to look into this

seriously as this level of effectiveness can lead to potential gaps, like; insufficient planning or documentation of community projects, limited stakeholder engagement, inconsistent monitoring and evaluation of extension outcomes, lack of long-term community partnerships, or resource constraints affecting implementation. Overall, the institution is performing moderately well in fulfilling its community service mandate but needs to strengthen program continuity, impact measurement, and collaboration with local sectors to move toward a fully effective rating.

On the indicator with the highest mean rating of 3.34, that there is collaboration with local institutions (businesses, religious, LGUs, etc) to engage students in real-world problems and solutions and encourages students' participation in community service in the spirit volunteerism and nationalism signify that, the case HEI already strong community involvement effort. These can be taken as an opportunity for  real to goodness community extension services that is based on the need of partner communities based on research outputs and expertise of the HEI (Llenares &  Deocaris, 2018), and, there should be an office to handle the program to be headed by qualified extensionists.

One good practice of the HEI, although the rating is low (2.77), is the school-family connection to help the student to properly perform with strong involvement of their respective families. There should be a well crafted program for that so that it could be well felt by the internal community of the HEI. And the HEI consider *Community Extension* as legally defined by the Commission on Higher Education (CHED) as the institutional social responsibility of higher education institutions to apply their knowledge, resources, and expertise to improve the lives of communities through relevant, responsive, and sustainable extension program (CHED Memorandum Order No. 52, Series of 2016). And in the academic literature, community extension is defined as "the process by which higher education institutions engage with partner communities to transfer knowledge, technologies, and services aimed at improving social, economic, and environmental conditions" (Alvarez & Calabio, 2020). Thus this KRA denotes a program based community action that are anchored on the application of the HEH's expertise (like in education and criminal justice) programmed to provide need base service to marginalized sector of the society of partner community, that is sustainable and relevant - these are the indicators that the case HEI need to have in place and develop. For example, the La Salle University designed platforms to train students in higher education to be caring and responsible citizens as their academe extension mission and tap their expertise and its knowledge to help empower their surrounding community (Llenares &  Deocaris, 2018).

### Linkages and Collaborations

On linkages and collaborations, higher education institutions must take into account the critical role it plays in strengthening its academic quality, research productivity, and community engagement. International networks have become essential mechanisms for enhancing institutional performance and student outcomes. The present findings examine the extent to which the case HEI's existing collaborations are functional, strategic, and mutually beneficial, and is presented in table 10.

**Table 10.** *Case HEI Level of  Effectiveness on KRA#10- Linkages and Collaborations*

| Indicators | Mean | Interpretation |
|---|---|---|
| 1. There is an office that takes charge of developing linkages and collaboration with academic, research and development organization and government locally and internationally | 3.05 | Moderately Effective |
| 2. Memorandum of agreement/understanding with other institutions on research and extension are in place | 3.52 | Very Effective |

| | | |
|---|---|---|
| 3. Strong student and teachers exchange programs with other local and international institutions are forged | 3.16 | Moderately Effective |
| 4. Strong linkage with the institution's graduates through the alumni affairs office that manages organizational activities like meeting and home coming events institutionalized | 4.00 | Very Effective |
| 5. There are qualified personnel that manage the alumni office and the alumni affairs. | 3.12 | Moderately Effective |
| *Overall Mean* | *3.36* | *Moderately Effective* |

**Legend: 1.00 - 1.49  Not Effective, 1.50 to 2. 49  Slightly Effective, 2.50 - 3.49  is Moderately Effective, 3.50 - 4.00 Very Effective**

Table 10 show that, the case HEI is moderately effective along Linkages and Collaborations as manifested in its overall mean of 3.36. Strong linkage with the institution's graduates through the alumni affairs office that manages organizational activities like meeting and home coming events institutionalized got the highest mean score of 4.00. The indicator that received the lowest rating is that there is an office that takes charge of developing linkages and collaboration with academic, research and development organization and government locally and internationally (3.05) - moderately effective.

Very effective rating means that, the case HEI consistently achieves or exceeds expectation along building linkages and collaboration with partner organizations and communities. Further, the HEI demonstrates a high levels of performance and success in getting support along academic, administrative, and extracurricular activities that the internal stakeholders (students, staff, parents, and the management) frequently express satisfaction and positive outcomes related to the institution's objectives, goals and directions, along collaboration. Relating it to KRA #9, this strong standing along linkage and collaboration is a very significant opportunity for community extension partnerships. The institution likely pursues partnerships that are explicitly linked to its VMGO (teaching, research, extension), making collaborations not just an ad-hoc but a structure that contribute directly to institutional priorities (e.g., student internship pipelines, curriculum enrichment partners, co-research partners). Studies show that HEIs with linkages aligned to strategy record stronger,

measurable outcomes and higher stakeholder satisfaction (Bayudan-Dacuycuy, Orbeta and Ortiz, 2023). Thus, the need to make this linkage and collaboration be properly manged and make it institutional wide functional.

On the indicator with highest mean score of 4.00 -  it the strong linkage with the institution's graduates through the alumni affairs office that manages organizational activities like meeting and home coming events institutionalized. The case HEI has a strong program on alumni home coming and able to organize its graduates for conterminous engagement and other opportunities. It was also noted the alumni is organized and its alumni association is with government recognition and are actively functioning and support the case HEI in their capacity.  A study reviewed say that, the industry and academia utilize the alumni organization's potential to facilitate communication among and between them. Such research result is good material that can be used by policymakers and school administrators to innovate and strengthen the partnership between industry and academia in the society. Alumni associations strengths can enrich the collaboration and enhance the HEI linkages for research, extension and instruction enhancement - both content and delivery (Malhotra, Massoudi & Jindal, 2022).

There is an office that takes charge of developing linkages and collaboration with academic, research and development organization and government locally and internationally got the lowest mean rating of 3.05. This is somewhat effective, meaning the institution achieves most of its key result areas indicators with occasional lapses or challenges, meets its

targets and outcomes, but a moderate satisfaction is observed, with some areas requiring improvement to fully meet expectations. Along that, one lapse that may be in connection to the rating is the issue on a designated office that handles developing and managing linkages and collaboration. This office must be functional ad dedicated to that specific concern and is managed by a qualified and capable person to do the task. In relation to that, a study reviewed focused on partnerships between HEIs and community because they specifically help HEIs meet engagement mandates, as well as enable alignment of HEI functions with community needs (Groulx et al. 2021).This calls for knowledge-based institutions such as universities to act as catalysts for this opportunity of multifaceted collaboration.

### Summary Rating on the Effectiveness of the Case Higher Education Institution's Key Result Areas (KRAs) of their Strategic Plan

On the overall, this section presents the consolidated summary rating of the Case Higher Education Institution (HEI) based on the effectiveness of its Key Result Areas (KRAs) as outlined in its strategic plan. This synthesizes performance of the institution across ten (10) core institutional domains—ranging from instruction to external linkages providing an overall picture of how well the institution meets its strategic objectives. This summary offers valuable insights into the HEI's operational capacity, organizational priorities, and readiness for sustainable governance.

***Table 11.*** *Summary Table of Effectiveness of the Case Higher Education Institution's Key Result Areas (KRAs) of their Strategic Plans*

| Indicators | Mean | Interpretation |
|---|---|---|
| 1. Institutional Philosophy | 3.13 | Moderately Effective |
| 2. Faculty Competence and Development | 3.17 | Moderately Effective |
| 3. Standard of Instruction | 3.17 | Moderately Effective |
| 4. Research and Development | 3.14 | Moderately Effective |
| 5. Physical Plant | 3.12 | Moderately Effective |
| 6. Student Services | 3.16 | Moderately Effective |
| 7. Library Services | 3.24 | Moderately Effective |
| 8. Laboratories | 3.01 | Moderately Effective |
| 9. Community Involvement | 3.17 | Moderately Effective |
| 10. Linkages and Collaboration | 3.36 | Moderately Effective |
| ***Overall Mean*** | ***3.16*** | ***Moderately Effective*** |

*Legend: 1.00 - 1.49 Not Effective, 1.50 to 2. 49 Slightly Effective, 2.50 - 3.49 is Moderately Effective, 3.50 - 4.00 Very Effective*

For the overall effectiveness of the case HEI of their KRAs of the strategic plan, as perceived by the administrators, the middle managers and employees, table 11 shows that

it is only moderately effective with an overall weighted mean of 3.16. During the conduct of this study, it shows that linkages and collaboration got the highest weighted mean of 3.36 which is the highest mean still considered as moderately effective. On the other hand, the institution's laboratories got the lowest weighted mean of 3.01 which is also within moderately effective.

This overall picture of the case institution show that the case HEI is achieving most of its key result areas' indicators but with occasional lapses or challenges hinders effectiveness that needs to be addressed. The case HEI generally meets its targets and outcomes, but only moderate satisfaction is observed among its stakeholders and observed that there are some areas requiring improvement to fully meet expectations. Linkages and collaboration, as discussed in table 10, got the highest weighted mean of 3.36 -very effective which means that the institution consistently achieves or exceeds expectation. Their community involvement demonstrated high level of performance and success extracurricular activities. The stakeholders (students, staff, parents, and the community) frequently express satisfaction and positive outcomes related to the institution's objectives, goals and directions towards bringing the institution to the community. On the other hand, as presented in table 8, the institution's KRA with the lowest weighted mean is their laboratories but still within the moderately effective range.

In general, institutions can better meet student expectations and foster a more supportive and engaging learning environment, thus the need for continuous improvement in service quality to ensure that private higher education institutions to remain competitive and capable of delivering exceptional educational experiences, by considering these KRAs (De Leon et al., 2015). And along these, key issues include balancing family interests with institutional goals and managing conflicts of interest as it is in this study (Gómez-Mejía et al. (2020). Furthermore, literature highlights how family influence can lead to governance practices that prioritize family needs over institutional goals, affecting long-term business

sustainability of a private family owned learning institution, according to Lubatkin et al. (2020).

## The Current Governance Practices and Challenges Faced by Family Owned and Managed Higher Education Institutions Towards Sustainability

Family-owned and managed higher education institutions operation is compounded within a dual dynamics; the academic organization and a family business, making governance environment to thread along its unique challenges while working on their long-term sustainability. While these institutions share the same regulatory, academic, and quality assurance expectations as other HEIs, they also navigate internal family interests, leadership traditions, and relational norms that influence how decisions are made, how resources are distributed, and how future leadership is prepared fro succession. As a result, the governance structure of family-run HEIs is often characterized by informal processes, centralized authority, and overlapping family and organizational roles, which can either strengthen institutional stability or introduce vulnerabilities.

This section presents the current governance practices of the case family-owned HEI and examines the challenges that arise in five critical dimensions: governance structures, decision-making processes, conflict resolution mechanisms, resource allocation systems, and succession planning strategies. These areas are essential as they form the backbone of the institution, thus understanding them is very important to performance and long-term viability the HEI. By looking into the current practices and the challenges encountered, this section provides insights that is useful in defining the need for an enhanced sustainable governance framework tailored to the realities of the case family- owned-managed higher education institutions.

## Leadership Practices and Challenges

Among the themes that emerged during key informant interview along leadership is implementation of ***Corporate Governance***

*system*, and that the highest policy making body is the board of director. There is agreed decision hierarchy implemented by the case HEI and dependent the weight or the magnitude of an issue or problem, decision are made. Like there are issues that are handled at the college deans/ department chair and directors level. Bigger issues are resolved at the Vice Presidents level, then the Executive Vice President to the president and the Board. Family members that are not part of the day to day management of the case HEI are not involved in the governance process.

Another prominent leadership practice in the case HEI is the holding of the ***monthly Board Meeting and Academic Council meeting***. Monthly Board of Directors meeting discusses highest operation concerns and coming up of actionable policies on issues that arise on the day to day operation. Likewise, board of directors meeting are also focused on reviewing current policies and programs of the HEI, both for academic and operation concerns and review of the strategic direction of the HEI. According to them, they discuss academic and institutional updates, like academic performance, curriculum revisions, program compliance to CHED/DepEd requirements, faculty performance reports, research and community extension updates. They also monitor and discuss financial reports and budgets such as financial statements, collection performance and receivables, budget realignments, financial risks and sustainability issues, and approval of major expenditures. They also act on institutional and academic policies when there is a need to review and realign, such as employee performance and development, instruction and student services provision, research and extension performance and capacity building. Physical plant, facilities, laboratory and technology procurement concerns - especially on improvement plans and budgetary requirement & source. Program accreditation are also discussed on institution wide scope. Family related concerns such as avoiding overlap between family interests and institutional policies and the on the long-term investments, campus development, and academic program enhancement and expansion. According to them, succession planning is already being talked about as a need but not yet discussed as to when and how.

On the other hand, the Academic Council - which is composed of academic deans and directors, their meetings are more focused on academic concerns like curriculum and delivery of instruction. Admin concerns related to academic program and activities are also addressed during academic council meeting that is conducted monthly. academic and institutional updates, like academic/ board exams performance, curriculum revisions, program compliance to CHED/DepEd requirements, faculty performance reports and requirement, faculty development and promotions, student activities, organizations, discipline, and support services. Another area of concerns tackled during monthly academic council meeting is on research and extension culture development and updates. They also discuss matters about physical plant, facilities, and laboratory needs. Accreditation status and strategies on compliance requirements and opportunities for collaboration or consortium participation.

The conduct of an ***Annual Stockholders' Meeting*** is another practice of the case HEI along its governance. Stakeholder meeting that is conducted annually, focused more on family issues and concerns that is intertwined with the academe realm of the institution. Annual stakeholder meeting is also significant in the management of the institution as these stakeholders has demand that is anchored on their being member of the clan (family owners).

It is observed in the narratives of the key informants that, family involvement has impact on governance, it is most impactful when a family member occupies top management position in the institution (Kellermanns & Eddleston, 2019), as in the case of the case HEI. The study noted that family members' *emotional investments* can interfere in the governance of the school, operation and resources. Thus, the need for a strong policy and implementing guidelines that are understood and supported by members of the family involve in the management of the school. Such policy should also be backed by a clear-cut mechanisms on proper decorum and consensus and the process managing and taking a stand on all plans and strategic direction that shall lessen friction

among families - stakeholders (Kellermanns & Eddleston, 2019).

As to the challenges experienced along governance, ***Making Objective Decision*** when the decision will affect employed family members and family members who are direct stockholders but are not actively involve in the day-to-day operation of the school - either in the academe or in the management of the operation. According to the narratives of the family members who are involve in the operation of the case HEI, specially now with the 4th generation, jealousy in terms of benefits of one family over the other family (the 3rd generation clan) is a recurring problem in decision making. They said that taking aside sentiment of family in favor of what is best for the school and the benefit of the whole clan can be very tasking to top management.

In relation that narrative by key informants, balancing family interests with institutional goals and managing conflicts of interest is very challenging in the absence of mechanism, such as family constitution - because socio-emotional wealth affects governance practices in family owned and managed firms. The personal interests of family members can influence shaping of the governance structures of the institution (Lubatkin et al., 2020). Furthermore,studies shows that, family influence can lead to governance practices that prioritize family needs over institutional goals, which has a strong influence on the long-term business sustainability of a private family owned-managed learning institution.

It is observed in the narratives of the key informants that, family involvement has impact on governance, it is most impactful when a family member occupies top management position in the institution (Kellermanns & Eddleston, 2019), as in the case of the case HEI. The study noted that family members' emotional investments can skew rational decision-making processes. They further cite the need for a strong policy and implementing guidelines understood by members of the family in the management that are involve in decision making. There must be a clear-cut mechanisms on proper decorum and consensus decision making process to lessen friction. Further, family influence on decision-making, the article

stressed that there is great impact in decision making the family values on strategic choices. It also explore how family involvement impacts decision-making, noting that family members' emotional investments can skew rational decision-making processes (Kellermanns & Eddleston, 2019).

## Decision Making Practices and Challenges

In the case HEI, interview revealed that the ***Key or Major Decisions*** are made by the ***Board of Directors (BOD)***. They also said that they follow certain protocol and agreed rules of engagement to avoid personal disagreement and ensure professionalism among the Board. On the other hand, academic and schools related decision starts from the program heads where certain issues and concerns emanates. Then it is passes through the concerned VP and the final decision is made by the HEI President. It is also practiced, according to the case HEI president that, in some cases where the matters to be decided on, she consider it to be major and need collegial decisions, she elevates it to the Board for deliberation and action.

According to middle managers, whenever the administration receives feedback or inquiries from employees, they promptly call for meeting to address the issue and come up with better decision by considering the issues around the concern. Also as deduced from their narratives, the administration also capacitates the middle manager down to the supervisor level to decide and go through decision making process to concerns that can be resolved or acted upon on their level.

Another decision making practices that can be considered beneficial is that, according to rank and file employees is that they are given voice to participate in decision making. According to them, the administration listens to their employees' ideas, concerns and grievances. There is an organized and regular consultation meeting conducted, but in most cases some employees do not speak-out in bigger venue. But there are special consultative meetings also for specific department or unit only when need arises, and it is usually in this venue where employees voices out as they feel more safe in this venues.

As a family owned and managed HEI, they said that, there are decisions that involves a family member, family members or family concerns that arises from time to time. When this happens, the concern is first processed by a AdHoc Committee that is composed of non family members for neutrality and objectivity. Once issues and concerns are already established, it is then passed to the immediate head of a concerned unit or to the president if it is an institution wide concern. Then it is elevated to the BOD depending upon the magnitude of the issue or concerns for Board decision.

Challenges are experienced as expected. And among the challenges they experience according to the administration is - attaining greater professionalism among employed family members some times. And this usually happens when a certain employed family member feel the sentiment of being an owner or an heir has the right to special treatment. Also, according to administrators that are family member, sometimes it can not be avoided that there are some family members, or employees and even departments that would feel they are less favored - thus they are emotionally charged when dealing with the administration. Handling situations like this in the decision making process can sometimes be challenging as you have to guard your emotion also to professionally handle the situation, according to one in the top management.

In the eyes of employees, conservative management in decision making is most of the time a challenge to them. Because according to them, it result to slow approval on request for academic needs like instructional materials and aids - specially those that involve budget. There are times when decisions still have to come from top management, even for those they consider as actionable decisions from lower level management.

According to literature, family-owned and managed higher education institutions often experience unique challenges in decision making due to the overlapping of family sentiment and organizational decision making. Studies show that when family roles and business roles are blurred, decisions may be influenced more by emotions, hierarchy, or kinship loyalties rather than by strategic or evidence-based

considerations, which must be addressed by clear policies and decision structure (Nordqvist & Melin, 2020). Literature further says that, it can result in slower decision processes, resistance to change, or difficulty reaching consensus, especially when multiple generations are already at stake. Moreover, family leaders often centralize authority, which limits participatory decision making and can hinder professionalization within the institution (Neubauer & Lank, 2021). These dynamics, when not addressed or sometimes ignored can create tension between maintaining family control and meeting the operational demands of an academic institution. It can complicate the much needed timely and effective governance decisions towards competitiveness and sustainability.

## Conflict Resolution

Conflict resolution is a crucial component of governance in family owned and managed higher education institutions, where personal relationships often intersect with organizational roles. As the findings of this study show, the institution faces recurring challenges in managing disagreements among family members and between family and non-family employees that arise from overlapping roles, ambiguous authority lines, and emotionally charged decision-making environments. This section discusses how the case HEI addresses conflict, the effectiveness of existing mechanisms, and areas where governance structures may need strengthening.

Along conflict resolution, one practice that were culled from the narratives of informants is that - only relevant and rational conflict is entertained and addressed properly by the administration. According to them, lot of conflict arises in the day - to - day operation of the institutions. There are some that looks big but, if it is not affecting the bottom line, top management dismissed them as petty things as it will only cause them stress and waist of time. Petty conflict are not ignored but they deal with it subtly to die down and not to cause further conflict. But qualified and serious conflict are addressed in professional manner. Professionally talking with the concerned family member or employee in the confine of the office is very

effective practice. According to them, conflicting parties need to be heard so that objective understanding of the conflict can be achieved and resolution can be arrived at.

Conflict in the department level are addressed right away and during regular department of unit meetings - the heads are encouraged to do that. Holding of the annual year end departmental assessment also helped in surfacing hidden conflict and in addressing them.

As to the family conflict that can have impact on the school operations, there is an existing practice or a mechanism in handling them - though it is not easy, at least there is already a practice to it. Annual Family dialogue is also practiced to address internal family conflicts and be resolve them. - again it is not easy as this are usually deep rooted between families conflicts or personal differences against demand in the business side of the school.

The family dynamic related conflict according to them are very challenging to handle. This is so because, the challenge is that conflicts in the institutions arise from various, unreasonable and sometimes urgent demands by family members. Unreasonable demand that causes conflict if their demand considers only their personal circumstances and ignores policies and agreement due to their current circumstance. Also conflicting decisions due to untoward family circumstance in the 3$^{rd}$ generation. For example, when a family member pass away, the immediate family member of said specific family - conflict and concerns are resolved through open communication, which is most of the times tedious and painful.

On repair and upgrading of school facilities, tuition fee increase and employee salary, conflict arise due to personal differences. Concerns like this that requires budgetary allocations, resources and the question on who shall benefit can create conflict. But according to informants' narrative, concerns like this are resolved right away along the different managerial level through official meetings that are documented (minutes) for future references.

Literature agrees that family firms face unique conflict and conflict resolution challenges due to overlapping family and business roles, which can exacerbate tensions and governance red flags according to Keer and Kuo

(2021). They suggests that there is a need to investigate how conflicts arise and the strategies employed to manage them - which is different if conflict is among employees and procedures only. It is totally different when family member is involve due to roles. But there is also articles saying that conflict resolution in family owned academic institutions - family conflicts often require distinct approaches compared to non-family organizations that are managed more professionally than popularity in the organization. Conflict is inevitable, thus, private institutions must have an effective professional approach in managing the conflicts faced to increase performance effectiveness and achievement of the institutions short-term and long-term goals. The application of conflict management procedure in schools clearly written in the manual of operation, according to the study, can ultimately improve harmony between family and school governance (Alderson, 2022).

## Resource Allocation

For family owned HEI that relay heavily on tuition fees and have personal interest to serve, resource allocation becomes a significant challenge to administrators. More so, financial decisions are influenced by both organizational needs and family priorities. Recent research indicates that family-controlled institutions often struggle with balancing reinvestment in facilities and academic quality against the need to maintain family dividends or manage internal financial expectations (Calabrò et al., 2022). Result of interview conducted are presented in this section of the study.

According to the key informants, the institution's resources are allocated based on CMOs, and guided by institutional policies. The Board of Directors as a body approves the general allocation of resources. It the case HEI, they claim that they are generally conservative in their decisions as practiced in resource allocation. But they also claim that they are able to strike a healthy balance between academic operation resources needs and the business operations resources. It was noted further that the BOD is conservative in its decision as to resources allocation.

As practiced, resources are distributed based on specific areas' need, it is also appropriated based on the limited budget and other resources considering the operation in the short term while insuring achievement of the agreed long term plan.

On the challenges, they said that sometimes confrontation would arise when the Board and the Administrators would have different personal views as to academic needs and business goals based needs. They claim that it happens because the institution do not have fixed budget per department/ areas making it harder to balance priorities and equity. Thus, striking the balance between academic and business goals in terms of resource allocation is the most of all the challenges that both BOD and Administrators experiences perpetually, that is sometime also is experienced in the lower level of school administrators even up to the faculty and staff. Along that, family generational based demands of these families who are heirs to the business interest of the institution contributes to challenges being faced by the Board of Directors.

Down the ranks, the teaching and non-teaching personal have a common challenge experienced along resource allocation. They said that slow review and approval process for request for materials and financial resources to fund classroom instructions delivery, student activities and office urgent outputs affects performance. It does not only delay implementations but also affects the quality of services to the clientele. Aside from that it causes anxiety and stress to the personnel that some times can be connected to employee turnover.

Resource allocation especially among family-owned institutions is most likely influenced by family interests, which may lead to inefficiencies and conflicts. Chrisman et al. (2021) in their exploratory study suggests that family owned academic institutions must explore how family values impact resource allocation decisions and the implications on their operations and family relations - where ethics is of utmost value. Resource allocation challenges family firms, with emphasis on the need for transparent and fair processes (Starr & Yadav, 2023).

**Succession and Succession Planning**

Succession planning is a critical governance function for family-owned and managed higher education institutions (HEIs), as leadership transitions directly affect institutional image in the academe community, stability, mission continuity, and long-term sustainability. It is more challenging family-run schools as sentiment, emotions and relations intertwines with relational and managerial dynamics that influence how successors are identified, prepared, and eventually empowered to assume key leadership roles. This section presents the institution's existing practices in succession planning and explores the specific challenges encountered by both the management and family members.

The case HEI had already been in the academic community for eighty two (82) solid years, but up to the present there is no framed succession plan. As to the current practice - leadership of the school (The members of the BOD, the presidency and top managerial position) are selected based on trust and confidence of the stockholders who votes for the BOD and selects the next president. Furthermore, the institution is able to handle succession by opening lines communication and the vote of popularity and probably seniority - this practice still work with the 3rd generation of the clan. The major challenge foreseen, is with the next generation and the generations to come, will this be functional still or would be chaotic in the absence of written and accepted succession plan backed by policies and a family constitution. According to one of the administrators, challenge is with the fourth generation who are already getting involve in the management of the school - are they going to eventually have the shared passion for the VMGO of the institution like that of the the 3rd generation - is the pressing concern of the case HEI now.

Succession planning is critical in family-owned institutions but most of the time is complicated, due to the desire every individual families with their own way of valuing and direction to preserve family legacy while family interest gets in. Thus, the family dynamics is avoidance instead of confronting professionally (Zellweger & Eddleston in 2020).

Zellweger & Eddleston discussed the impact of family dynamics on succession planning - the conflicts and challenges in preparing the next generation of school administrators from within the family and in creating a strong policy on qualification and procedure. Another article reviewed said that there is a need to highlight strategies for effective succession planning in family-owned institutions, focusing on balancing legacy concerns with institutional goals and needs, ensuring competitiveness and sustainability of the legacy (Vormedal and Taran, 2022).

**Issues and Challenges Besetting the Management and Employees of the Family Owned-Managed Higher Education Institution**

As already mentioned earlier in this paper and in most literature reviewed, family owned and managed educational institutions often face unique issues and challenges due to the overlapping of family interests and the academe-business priorities. Research shows that decisions in family businesses tend to be influenced by informal processes, emotional ties, and generational differences, which can slow down or complicate administrative actions. In this section there are few themes that were harvested and were screened from the narratives as most of the narratives already fall in the governance practices and challenges. As to the issues and challenges that besets the management and employees of the case HEI, that stems from the overlapping of family interests, educational governance requirements, and institutional sustainability, the result is presented in this section.

The first issue and challenge identified is *Governance Role Ambiguity*, this is taken from the narratives both from the management and the employees. They said that there are confusions due to unclear boundaries between family roles and institutional governance roles, and the family members who are active in the management confirms such issue because they experienced it by themselves sometimes. Some faculty narrated that, consulting a family member in the top management is confusing at times - they experience some confusion if their instruction is coming from authority of the

business owner or as high official of the institution. When ownership and academic leadership overlap, decision-making becomes centralized and informal, limiting professionalized processes, according to Aldamiz-Echevarría et al. (2020). Family-run institutions frequently operate with blurred governance structures, leading to inconsistent policies and overlapping responsibilities. Professional governance is often challenged by strong family dynamic influences (Le Breton-Miller & Miller, 2022).

The case HEI is also having issues on *Resource Allocation Constraints.* Both administrators and regular employees claim that, for years, they operate on limited resources because they just relay on collection from tuition fee of students. In the region there are new player HEIs that opened and offers the same program that affect their enrolment in terms of numbers according to the management. Also, big State Universities that take in student with no tuition fee scheme started offering courses that the case HEI monopolized for the long time it resulted to smaller enrollment and eventually conservative finance policies affecting resource allocation. This constrain is felt mostly by academic units that undergoes accreditation, ranking for competitiveness and other enhancement in the delivery of their programs, plus government regulatory requirements. Further, facilities like laboratories and programs like faculty development lacks funding according to both the administration and the employees. And according to the administrators, they had been prioritizing operational cost for survival while considering long-term development. The influence and demands of family as owners also impacts resource allocation in varied ways.

This is confirmed by literature reviewed, where they said that resource constraints are common in private institutions, affecting infrastructure and service delivery (Joaquin et al., 2022). More so, family enterprises, like family owned educational institutions also tend to adopt conservative financial strategies, that affects resource allocation due to profit maximization interest and limiting investment in innovation as they sometime view this as cost (Craig & Moores, 2020).

Another challenging issue that surfaced is *Organizational Conflicts and Internal Tensions*. Mostly, according to them, conflicts arise when family members involved in administrative roles implements familial leadership and systems in the operation. The non-family employees, considering that it is one of the big schools in the area, wants to be managed professionally. With this set-up, there are times that they experience communication breakdown, finding difficulty in leveling up family management approach to professional corporate approach. Aside from communication breakdown, they also has concern on perceived favoritism as casing internal conflicts and tension.

Family management approach to handling people by member of the family in the management is sometime are hocked on "familiarity" - where they find certain individual as their confidant and close work allies. Conflict arise when employees and even some family members saw this as favoritism According to literature, family businesses experience unique interpersonal conflicts due to emotional attachments and family loyalty, which affect organizational climate (Danes et al., 2019) as compared to highly corporate managed schools where employer - employee relations is mostly professional.

Another issue is *Succession Uncertainty*. At present the management of the case HEI expressed their concern about succession towards sustaining the legacy of the founder. They are concerned about the management of the institution in the future generations. Among the employees of the case HEI, they are aware and express their concern that their institution lack formal succession plans. Planning as to who will lead the institution in the next generation is one of the most difficult challenges according the the HEI management people along so may issues like family member's interest, credential requirement, management capacity and policy and process.

And for the teaching and non-teaching personnel, this has something to do with their employees concern about their work arrangement and tenure specially for the employees who had been with the HEI for long years already. Concerns about leadership readiness of next-generation family members also surfaced

during interview. Literature says that succession remains the most critical challenge in family organizations, especially in educational institutions where leadership requires specialized competencies as required by the academe distinct requirements (Alayo et al., 2021). Studies emphasize that without formal succession policies and institutionalized plan, leadership transitions become disruptive (Miller & Le Breton-Miller, 2021) and that is something that concerns employees.

## Propose Enhanced Sustainable Governance Framework for Family Owned-Managed Higher Educational Institutions

According to literature, family owned and managed higher education institutions often encounter governance challenges as they transition across generations, making a family constitution essential for ensuring clarity, continuity, and family unity. There are quite a number of studies that gave emphasis on the importance of a formal family constitution - it helps institutionalize shared values, outline decision-making protocols, manage conflicts, and define roles among family members that are active in the academe, thereby reducing the risks of power struggles and safeguarding institutional sustainability. Family constitutions provide a structured organizational framework that professionalizes its governance, minimizes inter-generational disputes, and strengthens alignment between the family's vision and the organization's long-term goals (Suess, 2021).

This tool becomes even more critical as leadership transitions to younger generations, ensuring stability and preserving the founding educational mission. Thus this proposed *Enhanced Strategic Framework for Sustainable Governance* for family-owned and managed higher education institutions, that is based on the case HEI's effectiveness of their strategic plan's key result areas (KRAs), governance practices & challenges and issues & challenges besetting the management and employees of the family owned-managed case higher education institution.
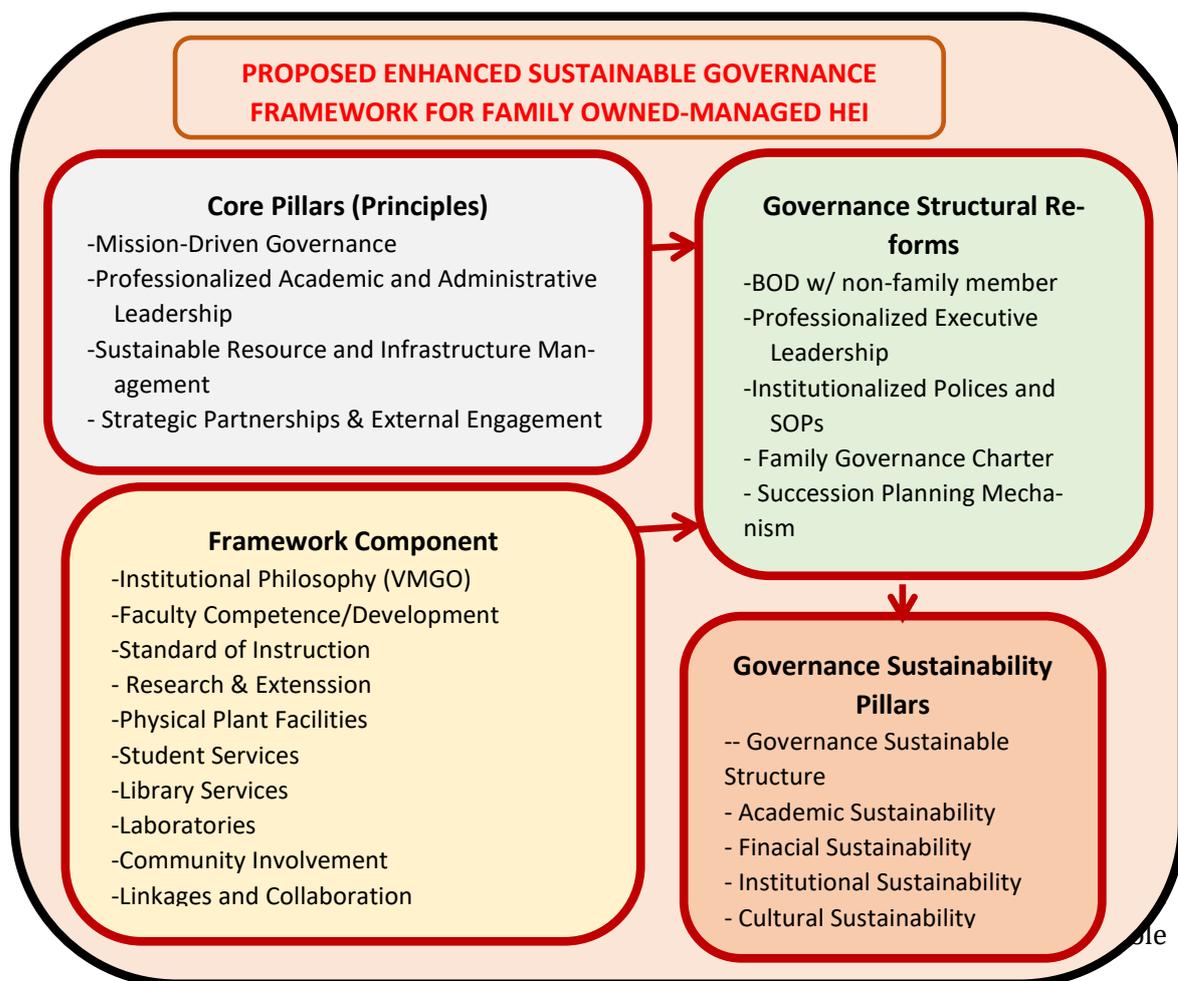
## Sustainable Governance Framework for Family-Owned and Managed

## Higher Education Institutions

Family owned and managed higher education institutions (FO-M HEIs) are significant to government mandate of expanding educational access in the Philippines. However, studies shows that they are facing unique governance challenges, including concentrated decision-making, limited professionalization, resource constraints, conflict of interest, and succession issues.

## I - The Paradigm of the Sustainable Governance Framework

**PROPOSED ENHANCED SUSTAINABLE GOVERNANCE FRAMEWORK FOR FAMILY OWNED-MANAGED HEI**

**Core Pillars (Principles)**
-Mission-Driven Governance
-Professionalized Academic and Administrative Leadership
-Sustainable Resource and Infrastructure Management
- Strategic Partnerships & External Engagement

**Governance Structural Reforms**
-BOD w/ non-family member
-Professionalized Executive Leadership
-Institutionalized Polices and SOPs
- Family Governance Charter
- Succession Planning Mechanism

**Framework Component**
-Institutional Philosophy (VMGO)
-Faculty Competence/Development
-Standard of Instruction
- Research & Extenssion
-Physical Plant Facilities
-Student Services
-Library Services
-Laboratories
-Community Involvement
-Linkages and Collaboration

**Governance Sustainability Pillars**
-- Governance Sustainable Structure
- Academic Sustainability
- Finacial Sustainability
- Institutional Sustainability
- Cultural Sustainability

This case family owned and managed HEIs operate within dual systems: the e*ducational governance system* and the *family business system* which demonstrate strong relational capital and community ties; however, they also face challenges such as centralized family decision-making, succession issues, role ambiguity, limited professionalization, and constrained resources.

To ensure long-term sustainability, the HEI must adopt a sustainability centered governance framework that strengthens

## II - The Core Pillars of the Enhanced Sustainable Governance Framework

This framework is grounded in the four governance pillars, each linked to strategic KRAs:

### *Pillar 1: Mission-Driven Governance*

That is aligned with the VMGO, Instruction, Research & Extension, Student Services and Community Involvement.

Ensures that decisions and KRAs are rooted in the institutional philosophy. Maintains fidelity to the school's moral identity. And, aligns academic quality with long-term societal relevance by putting mechanism such as policies and practices of always considering the clear VMGO statements.

### Pillar 2: Professionalized Academic and Administrative Leadership

This is aligned with the Faculty Development, Instruction Standards, Physical Plant, Laboratories, Library, Student Services Define and adapt professional management practices by clarifying roles between family and non-family administrators through a written management operation manual. Strengthens human resource systems. And ensure academic quality assurance through established standards.

### Pillar 3: Sustainable Resource and Infrastructure Management

This is aligned with the Physical Plant, Laboratories and Library Services. Ensures sound financial and physical resource stewardship through a well established plans and systems. Prioritizes sustainable infrastructure investments and adopts risk management and environmental responsibility.

### Pillar 4: Strategic Partnerships and External Engagement

Aligned with Linkages & Collaborations and Community Involvement Expands local, national, and global networks and leverages partnerships for curriculum enhancement, research, community programs, and student development. Increase institutional visibility and relevance.

### III - Components of the Proposed Sustainable Governance Framework

As the main objective of this study is to propose an enhanced sustainable governance framework for family-owned higher educational institutions integrating governance, sustainability, and solutions to known operational challenges the study come up with this framework.

Below is the full framework arranged by KRA to respond to the current need of the case HEI.

### 1. Institutional Philosophy (VMGO)
### The Governance Challenges:

Misalignment between VMGO and operational decisions and practices. Weak dissemination among stakeholders. And, limited integration in academic programs

### Sustainable Governance Strategies:

Institutionalize an annual VMGO Review and Validation involving faculty, students, alumni, and external partners and experts and translate VMGO to local dialect. Institutionalize VMGO integration in curriculum maps, syllabuses, research and extension agenda, student services and community collaboration activities. Develop a dashboard for monitoring VMGO-aligned key performance indicators.

### 2. Faculty Competence and Development
### The Challenges:

Absent of Planed/Programmed Faulty Development and the limited budget for training and development. Uneven faculty qualifications and High dependency on part-time faculty.

### Faculty Enhancement Strategies

Develop and institutionalize a Structured Faculty Development Plan (FDP) and Programs, Merit-based promotion system, Partnership-driven Faculty Upskilling (CHED, HEIs, NGOs, LGUs) and Context based faculty compensation program. Provide Incentives for research, extension, and professional membership and

### 3. Standard of Instruction
### The Challenges:

Inconsistent teaching quality and lack of instruction delivery monitoring, evaluation and mentoring. Limited use of technology.

### Instruction Standard Strategies:

Outcomes-Based Education (OBE) and quality assurance (QA) integration. Peer review and instructional mentoring. Learning analytics for monitoring student performance, And provision for Teaching Innovation Grants.

### 4. Research and Extension

***The Challenges:***
Low research output due to limited funds and linkage. Difficulty sustaining institutional journals. And weak community extension framework.

***Research and Extension Strategies:***
Establish an Institutional Research Agenda linked to CHED direction and local to national issues. Develop program and linkage on shared services with partner HEIs (e.g., journal hosting, ethics review, etc.). Community extension plans and programs responsive to SDGs and local needs. Enhanced institutionalization of research colloquium and faculty mentorship.

### 5. Physical Plant and Facilities
***The Challenges:***
Limited funds allocation for facility upgrades (management political will). Ageing buildings& facilities and poor maintenance maintenance due to limited funds. Unable to comply with safety audits.

***Physical Plant & Facilities Strategies:***
Institutionalization of Five-year Infrastructure Development Plan and Fund Allocation Plan that is regularly revisited. Pioneer green campus initiatives (energy efficiency, waste reduction). Conduct an Annual Safety and Accessibility Audit and establish Public–Private Partnerships and Private to Private Partnerships (PPP) to fund InfraDev Plans and for facility enhancement and maintenance.

### 6. Student Services
***The Challenges***
Fragmented student development programs. Limited counselors or student support staff.And, weak tracking of graduates and outcomes.

***Student Service Enhancement Strategies***
Comprehensive Student Development Framework and acquisition of digitized student services (enrollment, guidance, career portals). Mental health and well-being programs. And, Alumni Tracking and Employability Monitoring System.

### 7. Library Services
***The Challenges:***
Limited acquisitions budget on library resources and the need for digital resources. Aged library building. Under utilization of library services.

***Library Servicies Enhancement Strategies:***
Modernize Library building with Smart Library Technologies offering blended library system (print + e-resources). Consortia membership to reduce subscription cost. And the integration of Information Literacy as component of courses with faculty training component.

### 8. Laboratories
**The Challenges:**
Aged laboratory building and outdated equipment. Insufficient lab technicians and technician re-tooling. Compliance gaps with CHED, PRC and Accreditation regulatory requirements.

***Laboratory Enhancement Strategies:***
Periodic laboratory audit and modernization plan. Industry partnerships for equipment and skills sharing, And, strengthened laboratory safety protocols and training

### 9. Community Involvement
***The Challenges:***
Programs often episodic, not sustained and absence of planed program. Limited stakeholder participation

***Community Involvement Strategies:***
Community Engagement Framework, plans and programs aligned with SDGs and the VMGO. HEI–LGU and other program specific partnership with Memorandum of Understanding. Service-learning integration in academic courses. Impact assessment tools for community initiatives

### 10. Linkages and Collaborations
***The Challenges:***
Not institutionalized partnerships that is dependent on personal networks and not institution based.

***Linkages & Collaboration Strategies:***

Establishment of Partnership Development Office (PDO) manned by qualified personnel. Development of local and international collaborations for teaching, research, and extension. Annual linkages assessment and renewal.

*11. Governance System Enhancement* (Cross-cutting for all KRAs)
*The Challenges of the Case FO-M HEIs:*
Decision-making concentrated among family members, Blurring of administrative and family roles, Succession planning issues (no concrete plan), endemic resistance to change from employees and the administrators.

*Governance Solutions & Enhancement Strategies:*
Professionalization of governance structure (with manual of operation facilitated by an external consultant). Board re-structuring by infusion of External (Non-family) Members. Draw Clear Accountability Lines from top down. Policy-based governance instead of personality-based governance. Development of Succession Planning Framework with clear leadership pipeline for both the family and non-family members (Facilitated by an external consultant). Leadership competencies enhancement and Employee Engagement Strategies. Institutionalization of Grievance Mechanisms and Incentive & Recognition programs.

The Enhanced Sustainable Governance Framework provides the Case HEI and FO-M HEIs with a holistic, future-proof governance roadmap. It strengthens quality assurance, professionalizes leadership, integrates sustainability in all KRAs, and addresses common governance challenges such as resource limitations, centralized decision-making, and succession issues. Implementing this framework will help FO-M HEIs achieve long-term stability, quality academic outcomes, stakeholder trust, and institutional resilience.

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**APPENDICES**
**Appendix A- Research Instrument**
**Survey Questionnaire**

**Semi-Structured Interview Guide**
(For Family Members Employed by the HEI)
This semi-structured interview guide is consists of key questions categorized under themes that align with the research objectives. Each section explores different aspects of governance, decision-making, conflict resolution, resource allocation, and succession planning. Follow-up questions and probes will be used based on the participants' responses to ensure depth and clarity.

**Section 1: Introduction and Consent**
1. **Introduction to the Study -** Briefly explain the purpose of the study, ensuring participants understand its focus on governance, decision-making, and sustainability in a family-owned academic institution.
2. **Consent -** Confirm that the participant understands the terms of participation and has signed the informed consent form.

**Section 2: General Background Information**
1. **Participant's Role in the Institution**:
   - Can you briefly describe your role in the institution?
   - How long have you been involved in governance or decision-making?
2. **Family's Involvement in the Institution**:
   - How is your family involved in the institution's governance and operations?

**Section 3: Governance Challenges (**To establish the unique challenges faced by BC in governance)
1. **Governance Challenges**:
   - What governance challenges does the institution face, particularly those arising from its family-owned structure?
2. **Decision-Making Challenges**:
   - How are key decisions made in the institution? What challenges do you encounter in making decisions that involve family members?
3. **Conflict Resolution**:
   - How are conflicts, particularly those involving family members, resolved in the institution?
   - Can you give an example of a recent conflict and how it was addressed?
4. **Resource Allocation**:
   - How are resources allocated in the institution, and what factors influence those decisions?
5. **Succession Planning**:
   - What plans are in place for leadership succession in the institution?
   - How does the family navigate succession decisions, and what challenges have emerged?

**Section 4: Existing Decision-Making Framework (**To define the existing decision-making framework and its implications on family-business relations)
1. **Governance Structure**:
   - Can you describe the institution's current governance structure?
   - Who is involved in major decision-making, and what roles do family members play?
2. **Implications on Family Relations**:
   - How do decision-making processes affect family relationships, both positively and negatively?
3. **Conflict Management Framework**:
   - What mechanisms or frameworks exist to manage conflicts in governance and decision-making?
4. **Resource Allocation Practices**:
   - How does the current decision-making framework affect resource allocation and the balance between academic and business goals?

**Section 5: Effectiveness of Current Strategies (**To identify the level of effectiveness of current strategies in promoting sustainable governance for the institution's business sustainability)
1. **Current Governance Strategies**:
   - What strategies are currently in place to ensure effective governance? How well do they work?
2. **Sustainability**:

- How do you ensure that governance decisions promote long-term sustainability for the institution?
- What are the key success factors or challenges in maintaining this sustainability?

3. **Effectiveness of Decision-Making**:
   - In your opinion, how effective is the current decision-making framework in balancing family and institutional goals?

4. **Recommendations for Improvement**:
   - What improvements would you suggest to enhance the ethical governance of the institution, especially in terms of decision-making and conflict resolution?

**Section 7: Conclusion**
1. **Summary of Key Points**:
   - Recap the main points discussed to ensure accuracy and completeness.
2. **Final Thoughts**:
   - Do you have any additional insights or suggestions related to governance, decision-making, or the sustainability of the institution?
3. **Thank You**:
   - Thank the participant for their time and contribution.